

Department of Elder Affairs

September 15, 2021

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

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

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Elder Affairs 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 2022-23 fiscal year.

This submission has been approved by Richard M. Prudom, Secretary.

Sincerely,



Richard M. Prudom
Secretary



Department of
**ELDER
AFFAIRS**

STATE OF FLORIDA

**Temporary Special Duty
General Pay Additives Implementation Plan
For Fiscal Year 2022-2023**

NOT APPLICABLE



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: | Department of Elder Affairs | | |
| Contact Person: | Richard Tritschler | Phone Number: | (850) 414-2342 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | N/A | | |
| Court with Jurisdiction: | N/A | | |
| Case Number: | N/A | | |
| Summary of the Complaint: | N/A | | |
| Amount of the Claim: | \$ N/A | | |
| Specific Statutes or Laws (including GAA) Challenged: | N/A | | |
| Status of the Case: | N/A | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | N/A | Agency Counsel | |
| | N/A | Office of the Attorney General or Division of Risk Management | |
| | N/A | 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 | | |

Department of Elder Affairs
07/01/2021

Secretary
10-1011-03 (PB 25)
65000001 (950) (8925) 1.00

Advisory Council
ADI

Advisory Council
DOEA

Long-Term Care Ombudsman
Program
State Ombudsman
11-1021-02 (PB 20)
65000008
See Pages 19-22

Personal Secretary II-SES
43-6011-03 (PB 05)
65000302 (120) (9714) 1.00

Chief of Staff
10-1021-02 (PB 24)
65000002 (940) (8289) 1.00

**Director of Statewide
Community Based Services**
10-9151-01 (PB 23)
65000030 (930) (8765) 1.00

Chief Financial Officer
10-3031-01 (PB23)
65000054 (930) (9095) 1.00

Inspector General
10-1021-02 (PB 24)
65000097 (920) (8868) 1.00

General Counsel
10-9199-02 (PB 24)
65000023 (930) (8914) 1.00

Dementia Director - SES
13-1111-04 (PB 10)
65000378 (426) (2300) 1.00

**Statewide Public Guardianship
Program Director- SES**
11-9199-03 (PB 21)
65000375 (530) (7794) 1.00

**Government Operations
Consultant III-SES**
13-1111-04 (PB 10)
65000093 (425) (2235) 1.00

Senior Legal Assistant - SES
23-2011-02 (PB 06)
65000085 (022) (3127) 1.00

Deputy General Counsel
11-9199-04 (PB 22)
65000148 (240) (8416) 1.00

Regulatory Specialist II
13-1041-02 (PB 06)
OPS 65650002 1.00

Communications
See Page 2

Government Analyst II
13-1111-04 (PB 10)
65000347 (026) (2225) 1.00

Admin Assistant II- SES
43-6011-03 (PB 05)
65000122 (418) (0712) 1.00

**Contract Administration
& Purchasing**
See Page 4

**Senior Management Analyst II
- SES**
13-1111-04 (PB 10)
65000005 (426) (2225) 1.00

OPS Legal Assistant
23-2011-01 (PB 05)
OPS 65650144 .50

Senior Attorney - SES
23-1011-04 (PB 14)
65000140 (230) (7738) 1.00

Administrative Assist. II
43-6011-03 (PB 05)
65000395 (18) (0712) 1.00

Legislative Affairs
See Page 2

Govt Ops Consultant II
13-1111-04 (PB 10)
65000070 (25) (2236) 1.00

**Long-Term Care
And Support**
See Page 6

Revenue Management
See Page 4

**Operations & Mgmt Consultant
I- SES**
13-1111-03 (PB 07)
65000026 (421) (2234) 1.00

OPS Paralegal Specialist
23-2011-01 (PB 05)
OPS 65650288 1.00

Senior Attorney - SES
23-1011-04 (PB 14)
65000076 (230) (7738) 1.00

Operations Analyst II
13-1111-03 (PB 07)
65000534 (019) (2212) 1.00

**Office of Human
Resources**
See Page 3

Govt Ops Consultant II
13-1111-04 (PB 10)
65000072 (23) (2236) 1.00

CARES
See Pages 6, 9-18

Accounting
See Page 4

OPS Senior Attorney
23-1011-04 (PB 14)
OPS 65650170 1.00

Senior Attorney -SES
23-1011-04 (PB 14)
65000530 (230) (7738) 1.00

Ops & Mgmt Cons II-SES
13-1111-04 (PB 10)
65000379 (423) (2236) 1.00

**Office of Strategic
Initiatives**
See Page 3

**Community & Support
Services**
See Page 8

Elder Rights
See Page 7

Budget
See Page 4

OPS Senior Attorney
23-1011-04 (PB 14)
OPS 65650287 1.00

Senior Attorney -SES
23-1011-04 (PB 14)
65000530 (230) (7738) 1.00

Government Analyst I
13-1111-03 (PB 07)
OPS 65650331 1.00

OPS Government Analyst I
13-1111-03 (PB 07)
OPS 65650064 1.00

**Community & Support
Services**
See Page 8

Elder Rights
See Page 7

**General Services and
Emergency
Management**
See Page 5

Government Analyst I
13-1111-03 (PB 07)
OPS 65650072 1.00

**Office of Strategic
Initiatives**
See Page 3

**Community & Support
Services**
See Page 8

Elder Rights
See Page 7

Information Technology
See Page 5

**Monitoring & Quality
Assurance**
See Page 5

DEPARTMENT OF ELDER AFFAIRS
OFFICE OF THE SECRETARY & CHIEF OF STAFF

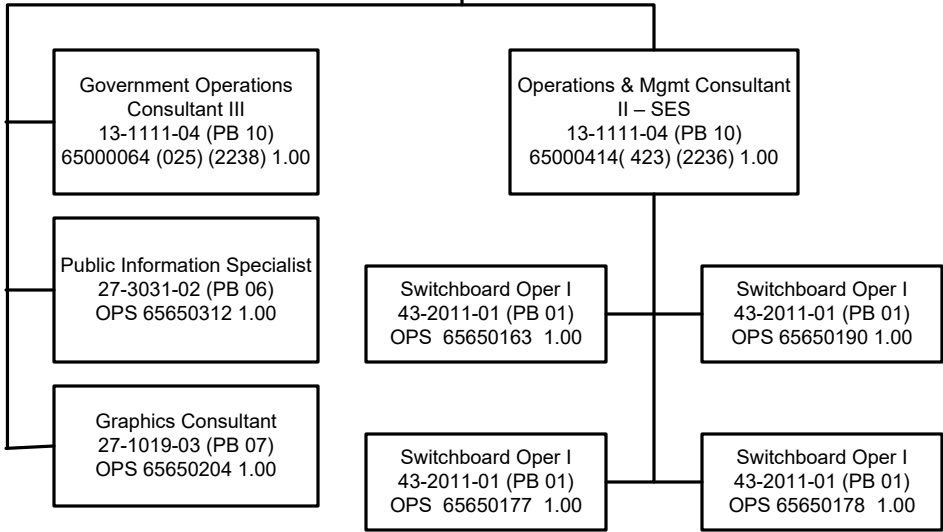
Chief of Staff
 10-1021-02 (PB 24)
 65000002 (940) (8289) 1.00

OFFICE OF COMMUNICATIONS

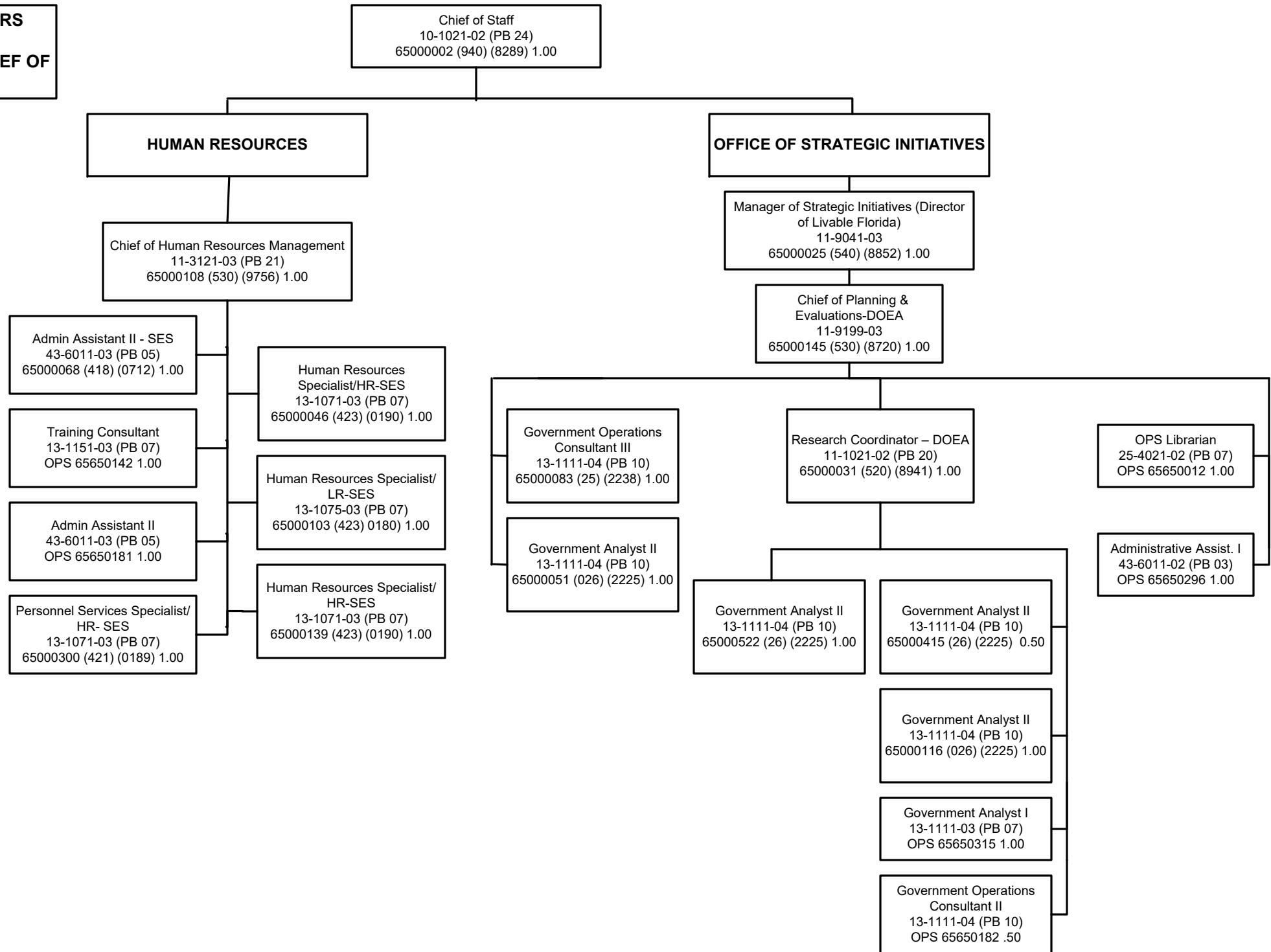
LEGISLATIVE AFFAIRS

Communications Coordinator - DOEA
 11-2031-04 (PB 22)
 65000117 (520) (8999) 1.00

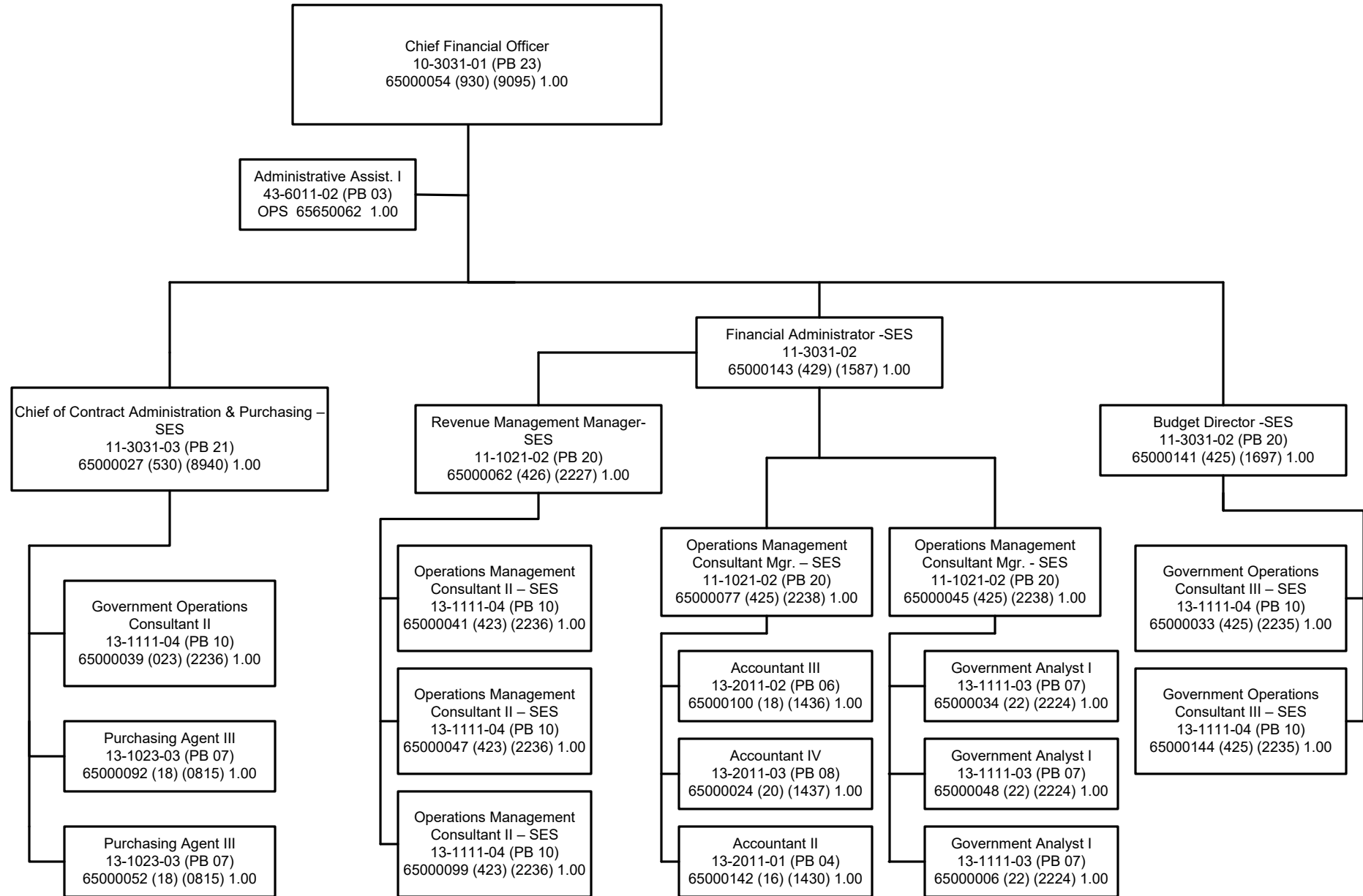
Legislative Affairs Administrator DOEA
 11-1021-02 (PB 20)
 65000147 (150) (8698) 1.00



DEPARTMENT OF ELDER AFFAIRS
OFFICE OF THE SECRETARY & CHIEF OF STAFF



Department of Elder Affairs
DIVISION OF FINANCIAL AND SUPPORT SERVICES



Department of Elder Affairs
DIVISION OF FINANCIAL AND SUPPORT SERVICES

Chief Financial Officer
 10-3031-01 (PB 23)
 65000054 (930) (9095) 1.00

GENERAL SERVICES AND EMERGENCY MANAGEMENT

MONITORING AND QUALITY ASSURANCE

INFORMATION TECHNOLOGY

Government Operations
 Consultant III - SES
 13-1111-04 (PB 10)
 65000040 (425) (2235) 1.00

Senior Mgmt Analyst Supv-SES
 13-1111-04 (PB 10)
 65000063 (426) (2228) 1.00

Chief Information Officer
 11-3021-04
 65000326 (540) (8738) 1.00

Admin Assistant I
 43-6011-02 (PB 03)
 OPS 65650011 1.00

Government Operations
 Consultant II
 13-1111-04 (PB 10)
 65000069 (23) (2236) 1.00

DATA MANAGEMENT & SUPPORT

ENTERPRISE SYSTEMS SUPPORT

APPLICATIONS DEVELOPMENT & SUPPORT

Property Consultant
 13-1023-03 (PB 07)
 OPS 65650212 1.00

Government Analyst II
 13-1111-04 (PB 10)
 65000071 (26) (2225) 1.00

Senior Mgmt Analyst II-SES
 13-1111-04 (PB 10)
 65000078 (426) (2225) 1.00

Distributed Computer Systems
 Admin- SES
 11-3021-02 (PB 20)
 65000036 (425) (2053) 1.00

Sys Programming Administrator – SES
 11-3021-02 (PB 20)
 65000280 (427) (2117)

Government Analyst I
 13-1111-03 (PB 07)
 OPS 65650292 1.00

Administrative Assist. II
 43-6011-03 (PB 05)
 65000084 (18) (0712) 1.00

Systems Programmer III
 15-1142-04 (PB 09)
 65000079 (25) (2115) 1.00

Distributed Computer Systems
 Analyst
 15-1142-02 (PB 06)
 65000094 (22) (2052) 1.00

Computer Network Support
 Specialist IV
 15-1152-04 (PB 09)
 65000037 (024) (2066) 1.00

Systems Programmer III
 15-1142-04 (PB 09)
 65000061 (25) (2115) 1.00

Distributed Computer
 Systems Analyst
 15-1142-02 (PB 06)
 OPS 65650018 1.00

Government Operations
 Consultant II
 13-1111-04 (PB 10)
 65000297 (23) (2236) 1.00

Senior Data Base Analyst
 15-1141-04 (PB 09)
 65000110 (25) (2122) 1.00

Distributed Computer Systems
 Analyst
 15-1142-02 (PB 06)
 65000044 (22) (2052) 1.00

Distributed Computer
 Systems Analyst
 15-1142-02 (PB 06)
 65000059 (22) (2052) 1.00

Systems Project Analyst
 15-1121-03 (PB 08)
 65000115 (24) (2107) 1.00

Systems Programmer III
 15-1142-04 (PB 09)
 OPS 65650005 1.00

Government Analyst II
 13-1111-04 (PB 10)
 65000321 (26) (2225) 1.00

Government Operations
 Consultant I
 13-1111-03 (PB 07)
 OPS 65650186 1.00

Office Automation Specialist I
 15-1151-01 (PB 04)
 OPS 65650206 1.00

Distributed Computer
 Systems Analyst
 15-1142-02 (PB 06)
 65000494 (22) (2052) 1.00

Computer Programmer
 Analyst II
 15-1131-02 (PB 06)
 65000322 (22) (2103) 1.00

App. Design & Support
 Process Manager
 11-3021-03 (PB 21)
 OPS 65650299 1.00

Administrative Assist. II
 43-6011-03 (PB 05)
 OPS 65650149 1.00

Government Operations
 Consultant I
 13-1111-03 (PB 07)
 OPS 65650141 .50

Distributed Computer Systems
 Analyst
 15-1142-02 (PB 06)
 65000338 (22) (2052) 1.00

Distributed Computer
 Systems Consultant
 15-1142-04 (PB 09)
 OPS 65650158

Senior Web Page Design
 Specialist
 15-1134-02 (PB 06)
 65000086 (20) (2099) 1.00

Department of Elder Affairs
Statewide Community Based Services

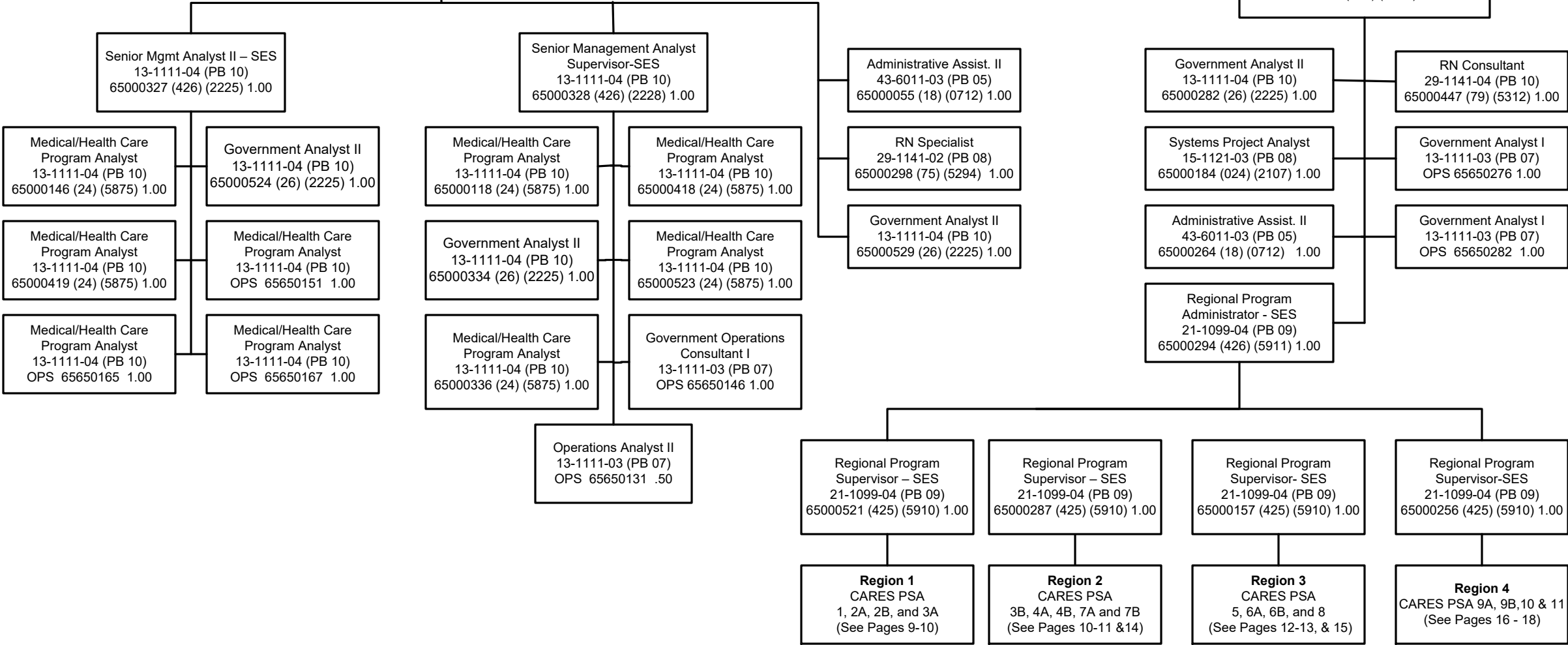
Director of Statewide Community Based Services
10-9151-01 (PB 23)
65000030 (930) (8765) 1.00

Long-Term Care & Support

Comprehensive Assessment and Review for Long-Term Care Services (CARES)

Chief of Long-Term Care and Support
11-9151-03 (PB 21)
65000111 (530) (9133) 1.00

Chief of CARES
11-9151-03 (PB 21)
65000303 (530) (8950) 1.00



Department of Elder Affairs
Statewide Community Based Svcs

Director of Statewide Community Based Svcs
 10-9151-01 (PB 23)
 65000030 (930) (8765) 1.00

ELDER RIGHTS

Chief of Elder Rights
 11-9151-03 (PB 21)
 65000004 (530) (8744) 1.00

Administrative Assistant II
 43-6011-03 (PB 05)
 OPS 65650140 1.00

Administrative Assistant II
 43-6011-03 (PB 05)
 OPS 65650155 1.00

Administrative Asst I
 43-6011-02 (PB 03)
 OPS 65650188 1.00

Government Operations
 Consultant II
 13-1111-04 (PB 10)
 65000420 (023) (2236) 1.00

Legal Services

Program Manager
 11-1021-03 (PB 21)
 OPS 65650323 1.00

Dementia Care & Cure (DCC)

Government Operations
 Consultant II
 13-1111-04 (PB 10)
 65000489 (023) (2236) 1.00

Government Operations
 Consultant II
 13-1111-04 (PB 10)
 65000339 (023) (2236) 1.00

Government Operations
 Consultant II
 13-1111-04 (PB 10)
 65000495 (023) (2236) 1.00

Communities for a Lifetime (CFAL)

Government Operations
 Consultant I
 13-1111-03 (PB 07)
 OPS 65650145 1.00

Government Analyst II
 13-1111-04 (PB 10)
 65000335 (026) (2225) 1.00

Volunteer & Community Services

Government Analyst II
 13-1111-04 (PB 10)
 65000056 (026) (2225) 1.00

Serving Health Insurance Needs of Elders (SHINE)

Operations & Management
 Consultant Mgr - SES
 11-1021-02 (PB 20)
 65000081 (425) (2238) 1.00

SHINE VOLUNTEERS

Title V Employment

Senior Management Analyst
 Supv. - SES
 13-1111-04 (PB 10)
 65000123 (426) (2228) 1.00

Operations & Mgmt Consultant
 II - SES
 13-1111-04 (PB 10)
 65000490 (423) (2236) 1.00

Government Operations
 Consultant III
 13-1111-04 (PB 10)
 65000343 (025) (2238) 1.00

Government Operations
 Consultant II
 13-1111-04 (PB 10)
 65000497 (023) (2236) 1.00

Government Operations
 Consultant III
 13-1111-04 (PB 10)
 65000491 (025) (2238) 1.00

Government Analyst II
 13-1111-04 (PB 10)
 65000075 (026) (2225) 1.00

Government Operations
 Consultant III
 13-1111-04 (PB 10)
 65000492 (025) (2238) 1.00

Government Operations
 Consultant II
 13-1111-04 (PB 10)
 OPS 65650069 1.00

Training Consultant
 13-1151-03 (PB 07)
 OPS 65650333 0.50

Public Information Specialist
 27-3031-02 (PB 06)
 65000493 (019) (3738) 1.00

Government Operations
 Consultant II
 13-1111-04 (PB 10)
 65000102 (023) (2236) 1.00

Department of Elder Affairs
Community and Support Services

Chief of Community and Support Services
11-9151-03 (PB 21)
65000029 (530) (9205) 1.00

**ARC IMPLEMENTATION, CONTRACT
MANAGEMENT, TECHNICAL
ASSISTANCE**

NUTRITION

Administrative Assist. II
43-6011-03
65000028 (18) (0712) 1.00

Senior Management Analyst Supv-SES
(ARC Project Manager)
13-1111-04 (PB 10)
65000098 (426) (2228) 1.00

Operations & Management
Consultant Mgr – SES
11-1021-02 (PB 20)
65000340 (425) (2238) 1.00

Government Analyst II
13-1111-04 (PB 10)
65000058 (26) (2225) 1.00

Administrative Assist. II
43-6011-03 (PB 05)
65000304 (18) (0712) 1.00

Government Operations
Consultant III
13-1111-04 (PB 10)
65000067 (25) (2238) 1.00

Government Operations
Consultant III
13-1111-04 (PB 10)
65000114 (25) (2238) 1.00

Government Operations
Consultant III
13-1111-04 (PB 10)
65000090 (25) (2238) 1.00

Operations & Management
Consultant II
13-1111-04 (PB 10)
OPS 65650056 1.00

Government Operations
Consultant III
13-1111-04 (PB 10)
65000073 (25) (2238) 1.00

Government Operations
Consultant III
13-1111-04 (PB 10)
65000113 (25) (2238) 1.00

Operations & Management
Consultant II
13-1111-04 (PB 10)
OPS 65650277 1.00

Government Operations
Consultant I
13-1111-03 (PB 07)
OPS 65650073 1.00

Administrative Assist. I
43-6011-02 (PB 03)
OPS 65650070 .50

Government Operations
Consultant I
13-1111-03 (PB 07)
OPS 65650314 1.00

Government Analyst I
13-1111-03 (PB 07)
OPS 65650335 .50

Government Operations
Consultant I
13-1111-03 (PB 07)
OPS 65650133 1.00

Government Analyst I
13-1111-03 (PB 07)
OPS 65650337 1.00

Government Operations
Consultant II
13-1111-04 (PB 10)
65000299 (23) (2236) 1.00

Government Operations
Consultant II
13-1111-04 (PB 10)
65000065 (23) (2236) 1.00

Research Assistant
15-2091-02 (PB 05)
OPS 65650134 .50

Department of Elder Affairs
Bureau of CARES

CARES Regional Program Supervisor -SES
21-1099-04 (PB 09)
65000521 (425) (5910) 1.00

CARES PSA 1
Program Operations Administrator- SES
21-1099-04 (PB 09)
65000151 (424) (5912) 1.00
Escambia, Okaloosa, Walton, Santa Rosa

CARES PSA 2A
Program Operations Administrator- SES
21-1099-04 (PB 09)
65000252 (424) (5912) 1.00
Bay, Calhoun, Gulf, Jackson, Washington, Holmes

CARES PSA 2B
Program Operations Administrator- SES
21-1099-04 (PB 09)
65000167 (424) (5912) 1.00
Leon, Franklin, Gadsden, Madison, Taylor, Wakulla,
Liberty, Jefferson

Staff Assist.
43-6011-02 (PB 03)
65000152 (13) (0120) 1.00

Staff Assist.
43-6011-02 (PB 03)
65000389 (13) (0120) 1.00

RN Specialist
29-1141-02 (PB 08)
65000156 (75) (5294) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000390 (19) (5754) 1.00

Senior CARES Assessor
21-1099-03 (PB 07)
65000154 (20) (5755) 1.00

CARES Assessor
21-1099-03 (PB 07)
OPS 65650275 1.00

RN Specialist
29-1141-02 (PB 08)
65000155 (75) (5294) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000388 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 03)
65000158 (19) (5754) 1.00

Staff Assistant
43-6011-02 (PB 03)
OPS 65650164 1.00

Senior CARES Assessor
21-1099-03 (PB 07)
65000159 (20) (5755) 1.00

CARES Assessor
21-1099-03 (PB 03)
65000454 (19) (5754) 1.00

RN Specialist
29-1141-02 (PB 08)
65000160 (75) (5294) 1.00

Staff Assist.
43-6011-02 (PB 03)
65000296 (13) (8744) 1.00

RN Specialist
29-1141-02 (PB 08)
65000163 (75) (5294) 1.00

RN Specialist
29-1141-02 (PB 08)
65000353 (75) (5294) 1.00

Staff Assist.
43-6011-02 (PB 03)
65000164 (13) (0120) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000169 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000165 (19) (5754) 1.00

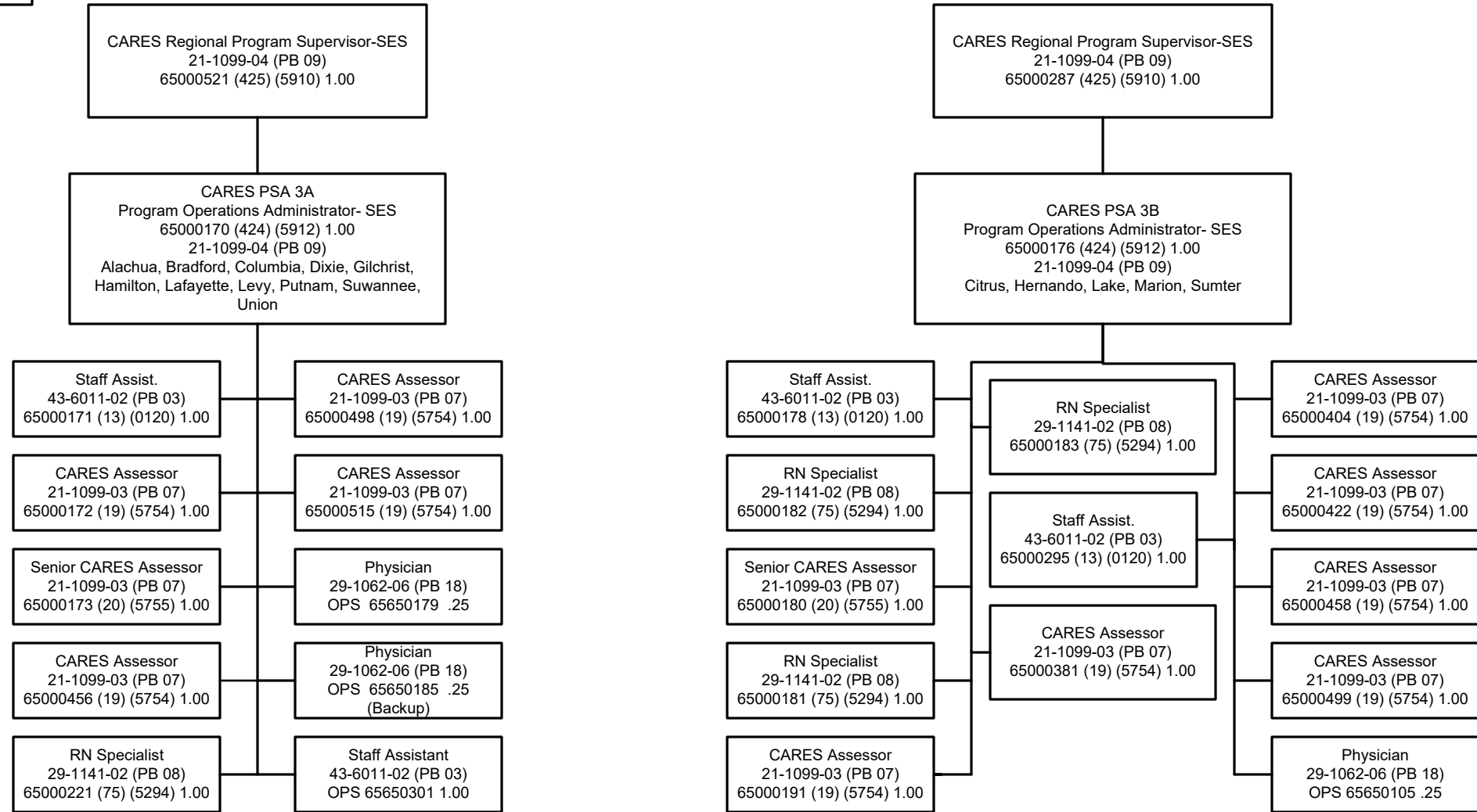
Staff Assist.
43-6011-02 (PB 03)
OPS 65650103 1.00

Senior CARES Assessor
21-1099-03 (PB 07)
65000166 (20) (5755) 1.00

Senior Physician
29-1062-06 (PB 18)
OPS 65650104 .25

Department of Elder Affairs

Bureau of CARES



Department of Elder Affairs
Bureau of CARES

CARES Regional Program Supervisor-SES
21-1099-04 (PB 09)
65000287 (425) (5910) 1.00

CARES PSA 4A
Program Operations Administrator- SES
21-1099-04 (PB 09)
65000190 (424) (5912) 1.00
Baker, Clay, Duval, Nassau, St. Johns

CARES PSA 4B
Program Operations Administrator- SES
21-1099-04 (PB 09)
65000197 (424) (5912) 1.00
Flagler, Volusia

Staff Assist.
43-6011-02 (PB 03)
65000185 (13) (0120) 1.00

RN Specialist
29-1141-02 (PB 08)
65000449 (75)(5294) 1.00

CARES Assessor Supervisor -
SES
21-1099-03 (PB 07)
65000517 (422) (5756) 1.00

Senior CARES Assessor
21-1099-03 (PB 07)
65000187 (20) (5755) 1.00

Physician
29-1062-06 (PB 18)
OPS 65650080 .25

CARES Assessor
21-1099-03 (PB 07)
65000186 (19) (5754) 1.00

Staff Assist.
43-6011-02 (PB 03)
65000373 (13) (0120) 1.00

Physician
29-1062-06 (PB 18)
OPS 65650081 .25

CARES Assessor
21-1099-03 (PB 07)
65000189 (19) (5754) 1.00

RN Specialist
29-1141-02 (PB 08)
65000445 (75) (5294) 1.00

RN Specialist
29-1141-02 (PB 08)
OPS 65650330 1.00

CARES Assessor
21-1099-03 (PB 07)
65000215 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000368 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000423 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000424 (19) (5754) 1.00

RN Specialist
29-1141-02 (PB 08)
65000161 (75)(5294) 1.00

RN Specialist
29-1141-02 (PB 08)
65000425 (75) (5294) .50

CARES Assessor
21-1099-03 (PB 07)
65000188 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000459 (19) (5754) 1.00

Staff Assistant
43-6011-02 (PB 03)
65000194 (13) (0120) 1.00

Staff Assistant
43-6011-02 (PB 03)
OPS 65650065 1.00

Senior CARES Assessor
21-1099-03 (PB 07)
65000195 (20) (5755) 1.00

RN Specialist
29-1141-02 (PB 08)
OPS 65650079 1.00

CARES Assessor
21-1099-03 (PB 07)
65000196 (19) (5754) 1.00

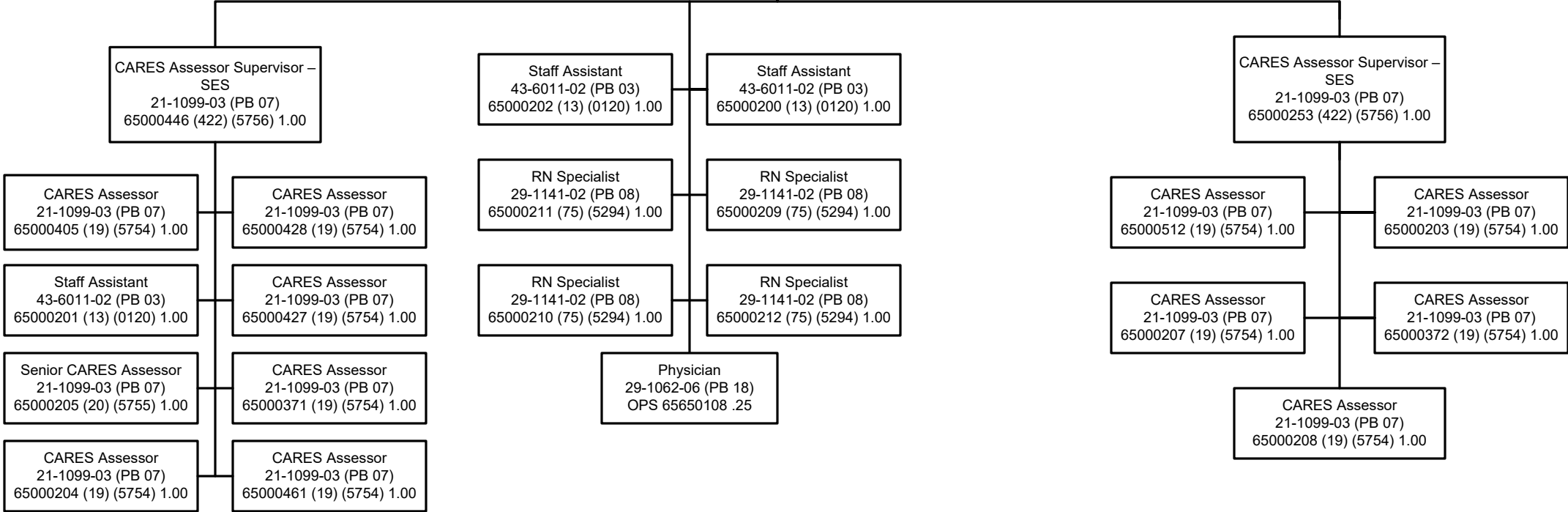
RN Specialist
29-1141-02 (PB 08)
OPS 65650106 .50

RN Specialist
29-1141-02 (PB 08)
65000198 (75) (5294) 1.00

Department of Elder Affairs
Bureau of CARES

CARES Regional Program Supervisor-SES
21-1099-04 (PB 09)
65000157 (425) (5910) 1.00

CARES PSA 5
Program Operations Administrator-SES
21-1099-04 (PB 09)
65000199 (424) (5912) 1.00
Pinellas and Pasco



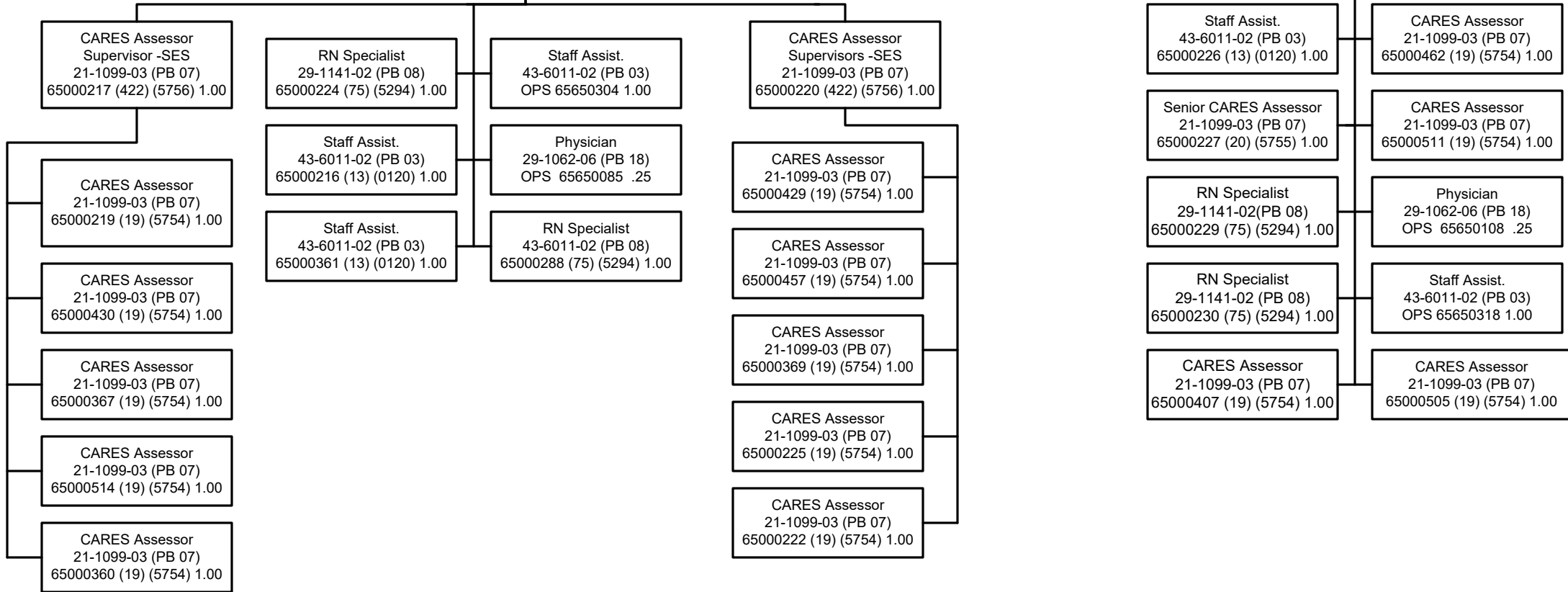
Department of Elder Affairs

Bureau of CARES

CARES Regional Program Supervisor-SES
21-1099-04 (PB 09)
65000157 (425) (5910) 1.00

CARES PSA 6A
Program Operations Administrator- SES
21-1099-04 (PB 09)
65000214 (424) (5912) 1.00
Hillsborough, Manatee

CARES PSA 6B
Program Operations Administrator- SES
21-1099-04 (PB 09)
65000319 (424) (5912) 1.00
Hardee, Highlands, Polk



Department of Elder Affairs
Bureau of CARES

CARES Regional Program Supervisor - SES
21-1099-04 (PB 09)
65000287 (425) (5910) 1.00

CARES PSA 7A
Program Operations Administrator- SES
21-1099-04 (PB 09)
65000231 (424) (5912) 1.00
Orange, Seminole

CARES Assessor Supervisor - SES
21-1099-03 (PB 07)
65000308 (422) (5756) 1.00

Staff Assist.
43-6011-02 (PB 03)
65000232 (13) (0120) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000309 (19) (5754) 1.00

Staff Assistant
43-6011-02 (PB 03)
OPS 65650157 1.00

CARES Assessor
21-1099-03 (PB 07)
65000411 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000432 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000434 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000455 (19) (5754) 1.00

Senior CARES Assessor
21-1099-03 (PB 07)
65000234 (20) (5755) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000516 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000236 (19) (5754) 1.00

RN Specialist
29-1141-02 (PB 08)
65000528 (75) (5294) 1.00

RN Specialist
29-1141-02 (PB 08)
65000238 (75) (5294) 1.00

Physician
29-1062-06 (PB 18)
OPS 65650086 .25

Senior Physician
29-1062-06 (PB 18)
OPS 65650102 .25

CARES Regional Program Supervisor - SES
21-1099-04 (PB 09)
65000287 (425) (5910) 1.00

CARES PSA 7B
Program Operations Administrator- SES
21-1099-04 (PB 09)
65000241 (424) (5912) 1.00
Brevard, Osceola

RN Specialist
29-1141-02 (PB 08)
65000242 (75) (5294) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000468 (19) (5754) 1.00

RN Specialist
29-1141-02 (PB 08)
65000243 (75) (5294) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000503 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000383 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000508 (19) (5754) 1.00

Senior CARES Assessor
21-1099-03 (PB 07)
65000384 (20) (5755) 1.00

CARES Assessor
21-1099-03 (PB 07)
OPS 65650205 1.00

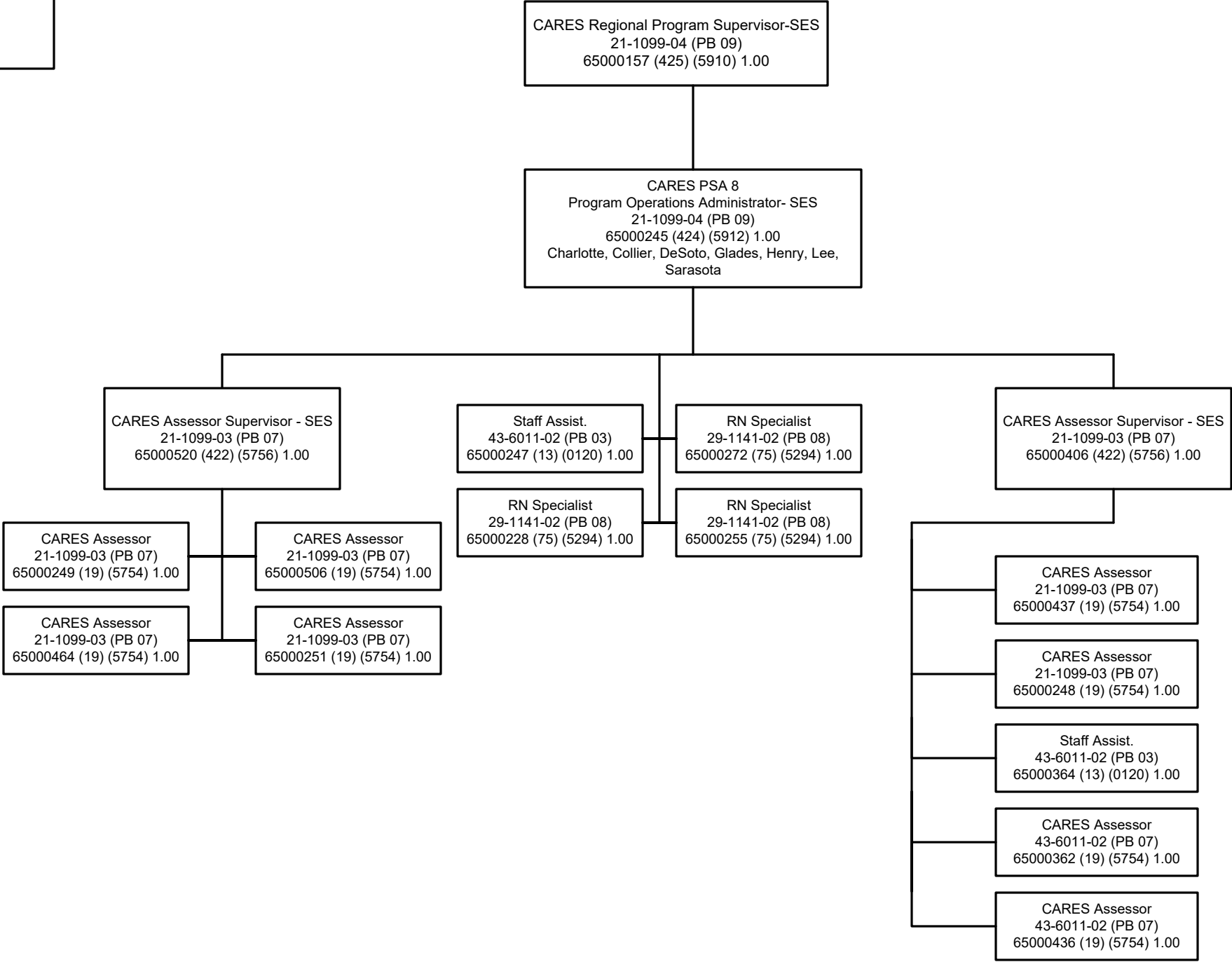
Staff Assist.
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65000393 (13) (0120) 1.00

Physician
29-1062-06 (PB 18)
OPS 65650109 .25

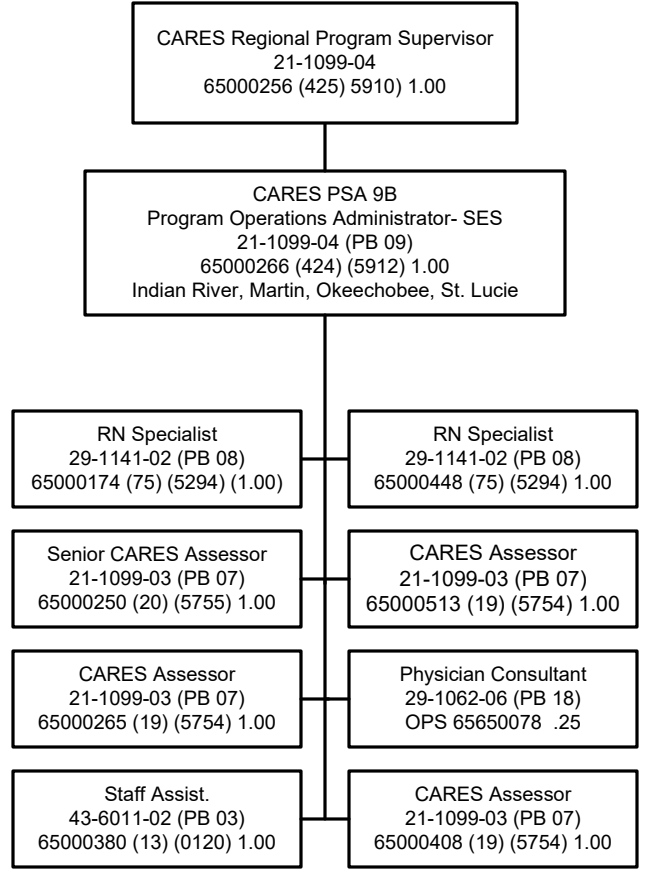
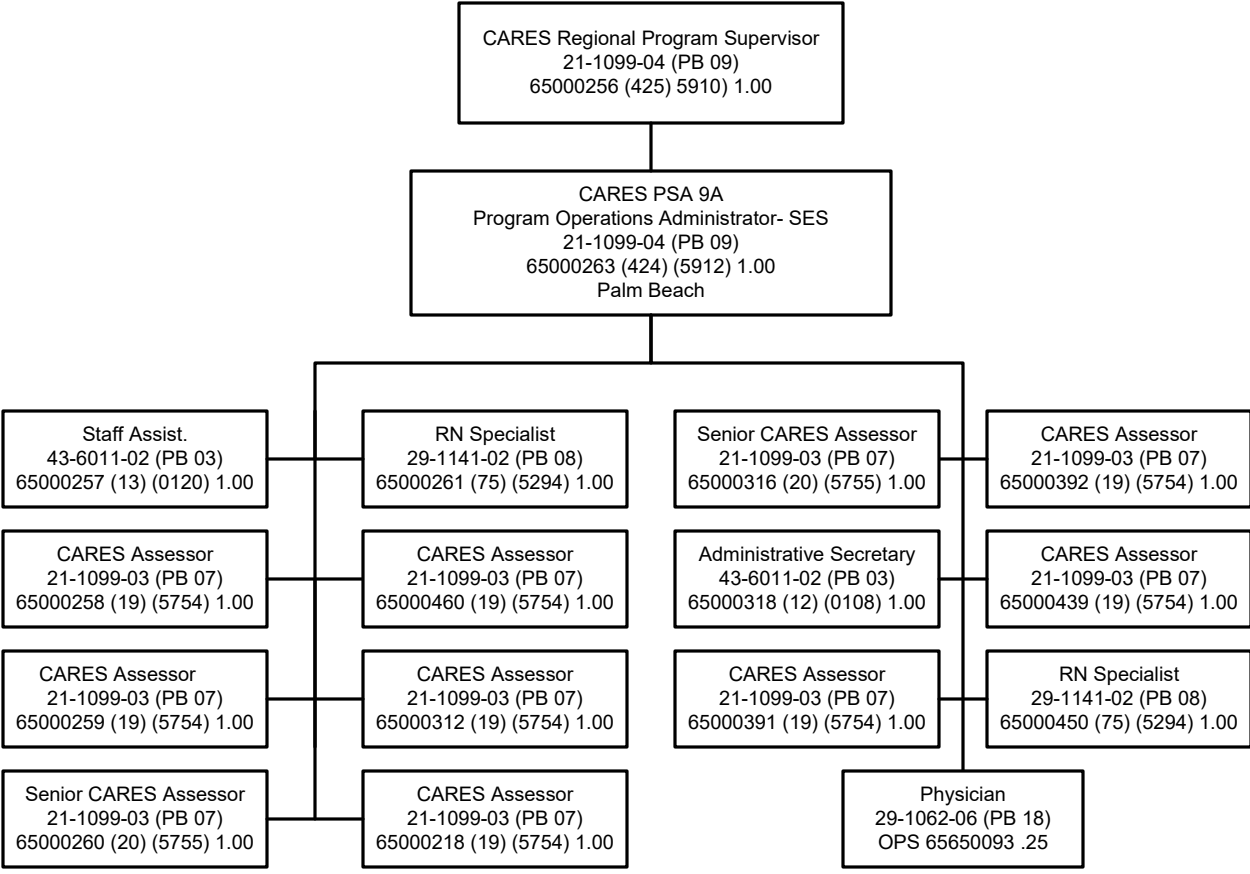
CARES Assessor
21-1099-03 (PB 07)
65000435 (19) (5754) 1.00

Staff Assistant
43-6011-02 (PB 03)
OPS 65650171 1.00

Department of Elder Affairs
Bureau of CARES

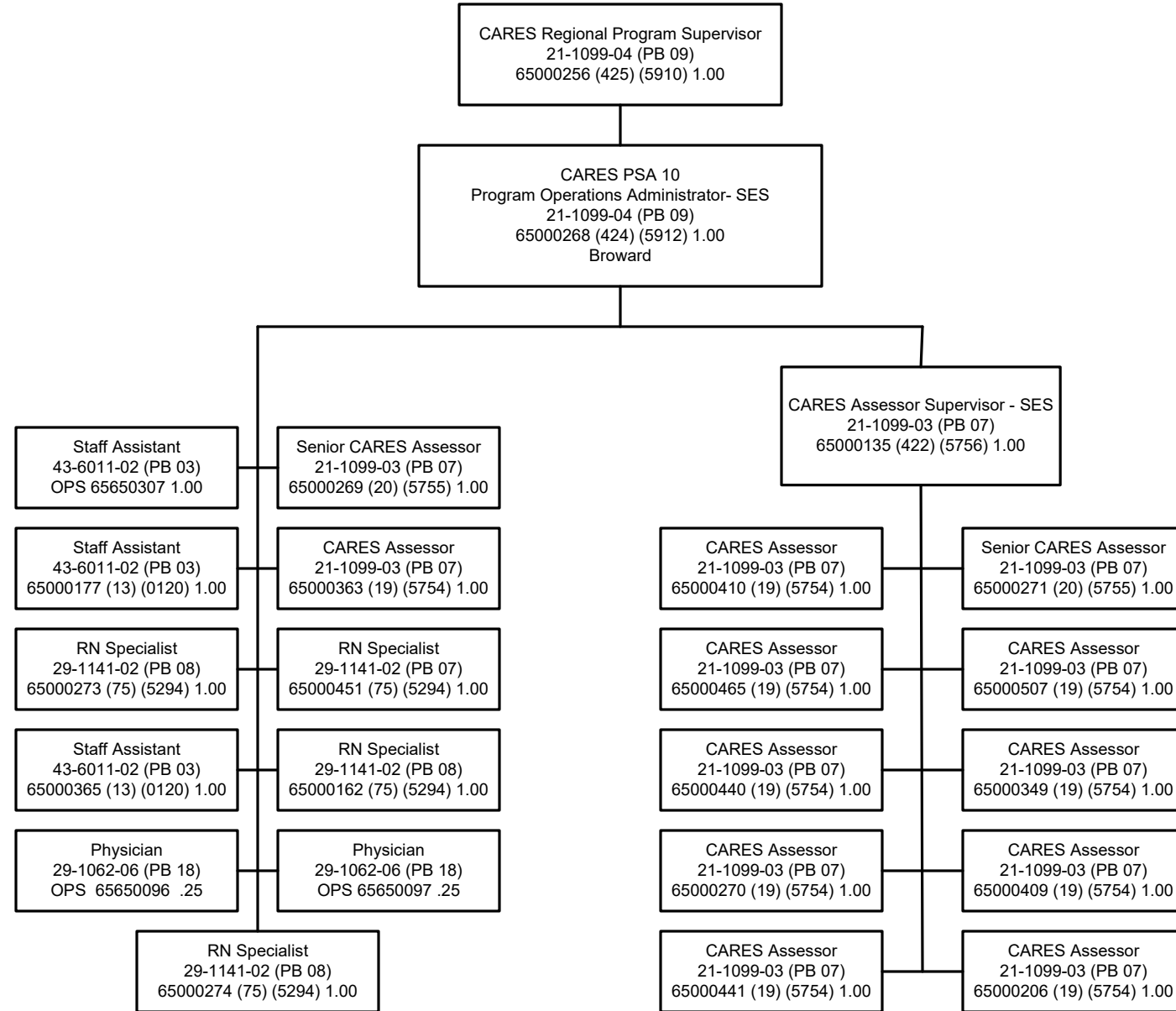


Department of Elder Affairs
Bureau of CARES



Department of Elder Affairs

Bureau of CARES



Department of Elder Affairs
Bureau of CARES

CARES Regional Program Supervisor-SES
21-1099-04 (PB 09)
65000256 (425) 5910) 1.00

CARES PSA 11
Program Operations Administrator- SES
21-1099-04 (PB 09)
65000276 (424) (5912) 1.00

Registered Nurse Supervisor
29-1141-03 (PB 09)
65000518 (75) (5306) 1.00

CARES Assessor Supv- SES
21-1099-03 (PB 07)
65000320 (422) (5756) 1.00

CARES Assessor Supv- SES
21-1099-03 (PB 07)
65000413 (422) (5756) 1.00

CARES Assessor Supv - SES
21-1099-03 (PB 07)
65000310 (422) (5756) 1.00

CARES Assessor Supv - SES
21-1099-03 (PB 07)
65000433 (422) (5756) 1.00

RN Specialist
29-1141-02 (PB 08)
65000307 (75) (5294) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000193 (19) (5754) 1.00

RN Specialist
29-1141-02 (PB 08)
65000519 (75) (5294) 1.00

Staff Assist.
43-6011-02 (PB 03)
65000278 (13) (0120) 1.00

RN Specialist
29-1141-02 (PB 08)
65000292 (75) (5294) 1.00

RN Specialist
29-1141-02 (PB 08)
65000244 (75) (5294) 1.00

RN Specialist
29-1141-02 (PB 08)
65000452 (75) (5294) 1.00

RN Specialist
29-1141-02 (PB 08)
65000175 (75) (5294) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000235 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000509 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000527 (19) (5754) 1.00

Staff Assistant
43-6011-02 (PB 03)
OPS 65650198 1.00

Staff Assistant
43-6011-02 (PB 03)
65000277 (13) (0120) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000254 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000386 (19) (5754) 1.00

Staff Assistant
43-6011-02 (PB 03)
OPS 65650200 1.00

CARES Assessor
21-1099-03 (PB 07)
65000286 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000526 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000525 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000350 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000289 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000352 (19) (5754) 1.00

Staff Assist.
43-6011-02 (PB 03)
65000279 (13) (0120) 1.00

CARES Assessor
21-1099-03 (PB 07)
OPS 65650281 1.00

CARES Assessor
21-1099-03 (PB 07)
65000467 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000315 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000284 (20) (5755) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000351 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000293 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000466 (19) (5754) 1.00

Staff Assistant
43-6011-02 (PB 03)
OPS 65650319 1.00

CARES Assessor
21-1099-03 (PB 07)
65000153 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000470 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000291 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000438 (19) (5754) 1.00

Senior Clerk
43-9061-02 (PB 03)
65000366 (11) (0004) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000469 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
OPS 65650286 1.00

CARES Assessor
21-1099-03 (PB 07)
65000444 (19) (5754) 1.00

CARES Assessor
21-1099-03 (PB 07)
65000463 (19) (5754) 1.00

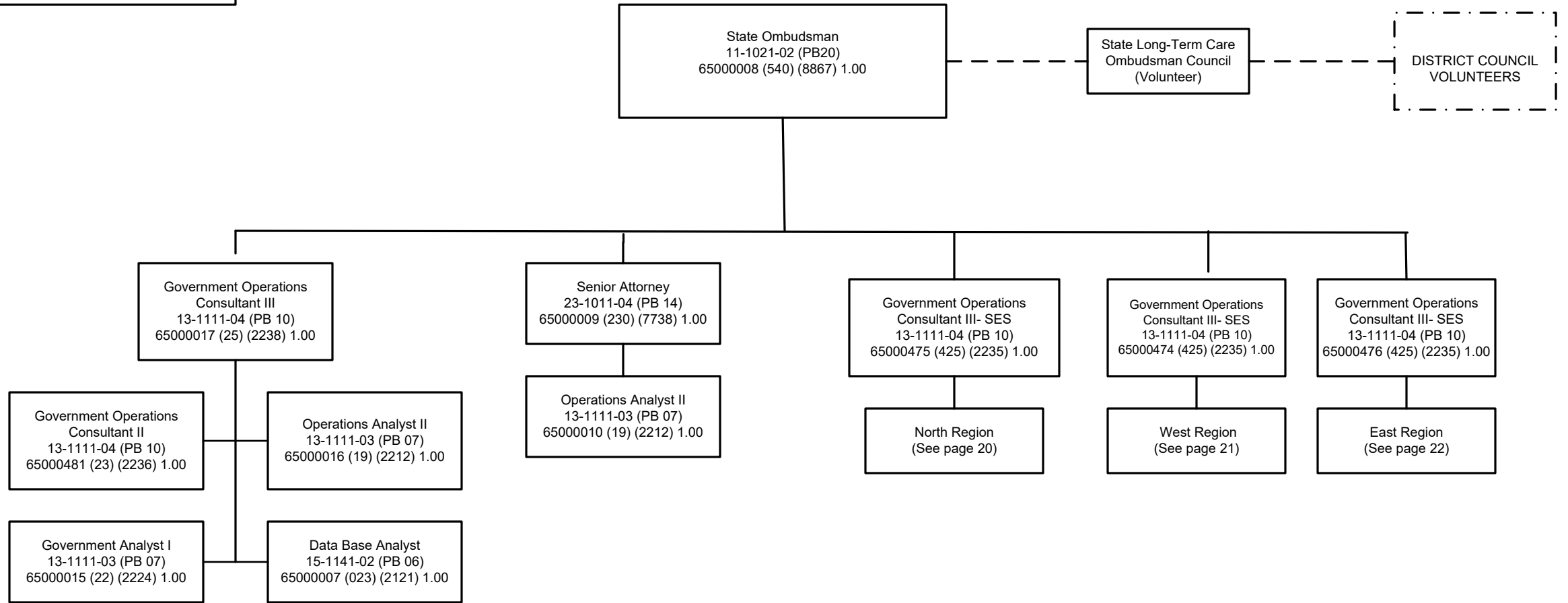
Admin Assist. I
43-6011-02 (PB 03)
65000283 (15) (0709) 1.00

Staff Assistant
43-6011-02 (PB 03)
OPS 65650138 1.00

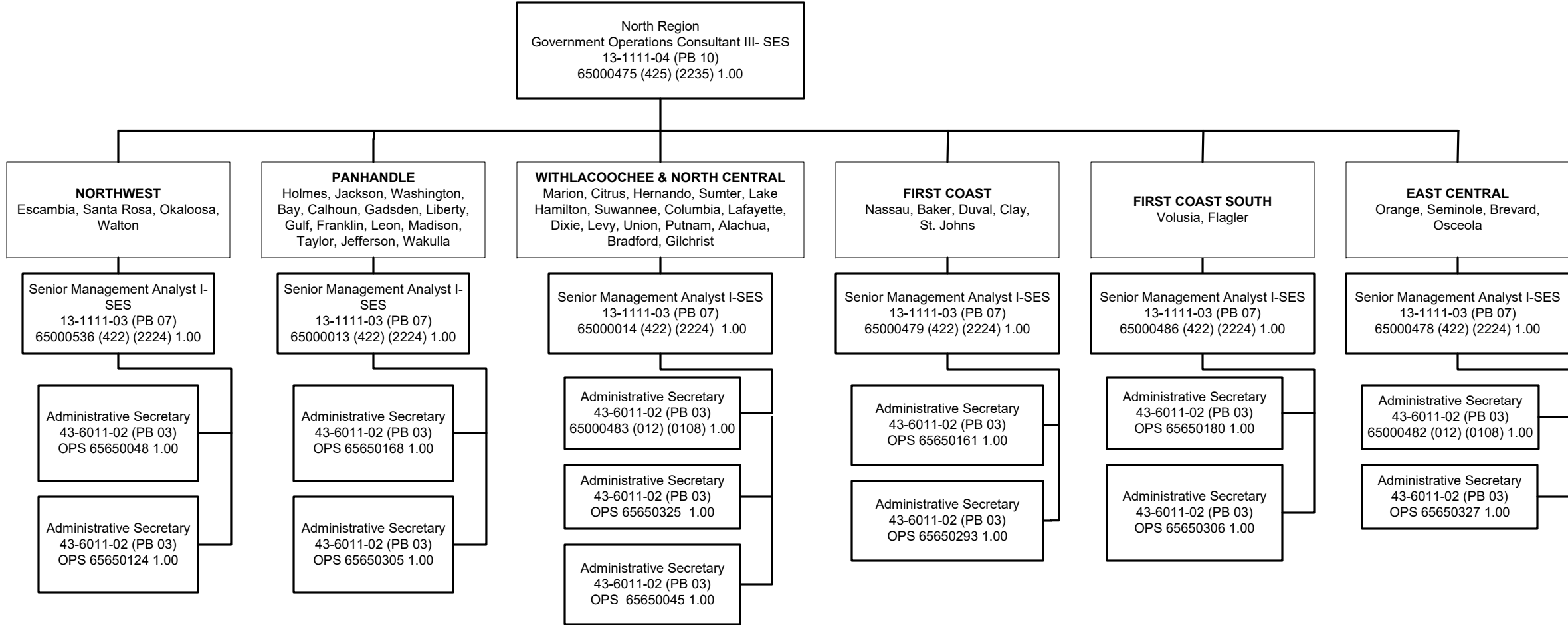
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Physician Consultant
29-1062-06 (PB 18)
OPS 65650099 .25

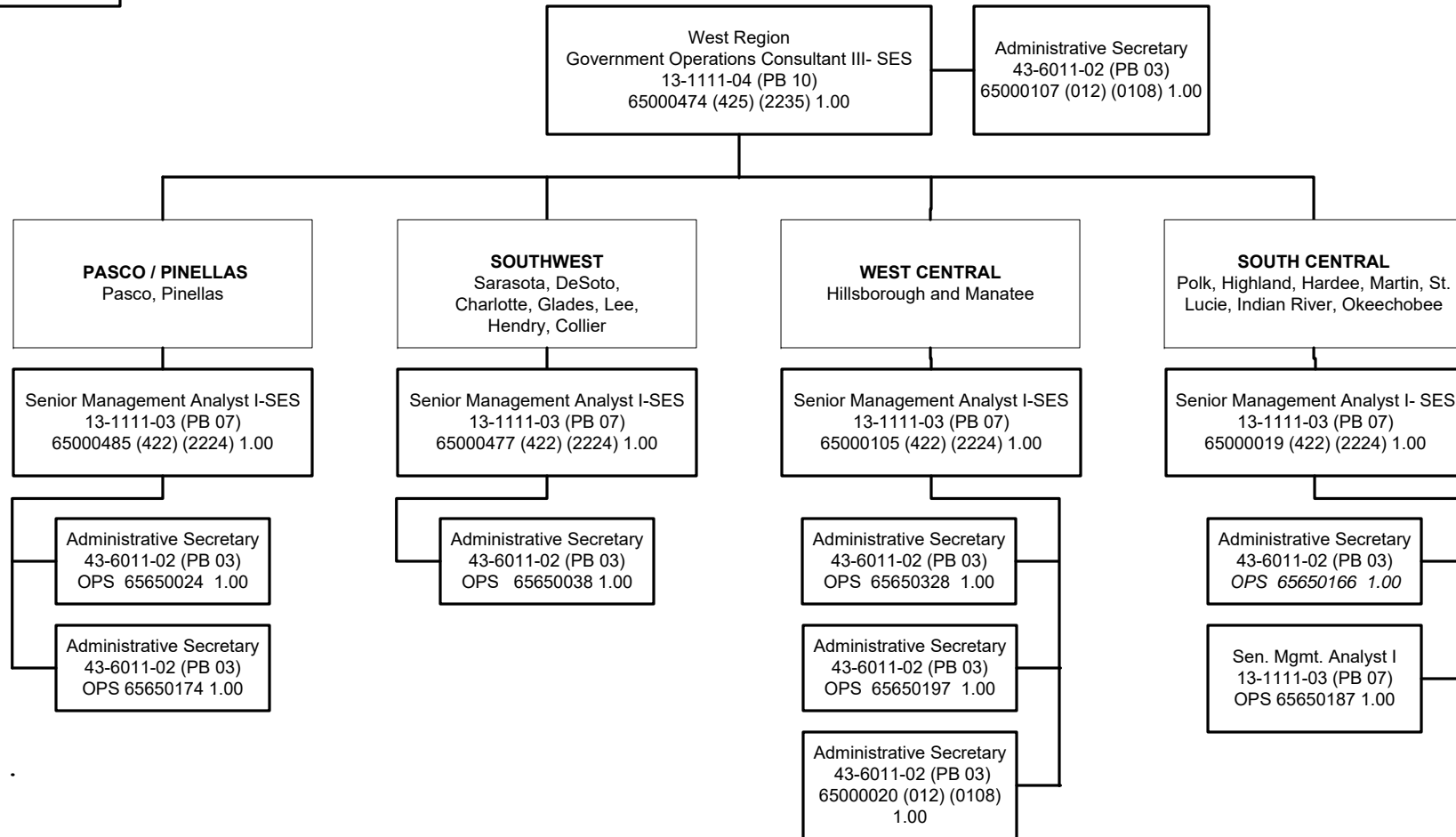
Department of Elder Affairs
Long-Term Care Ombudsman



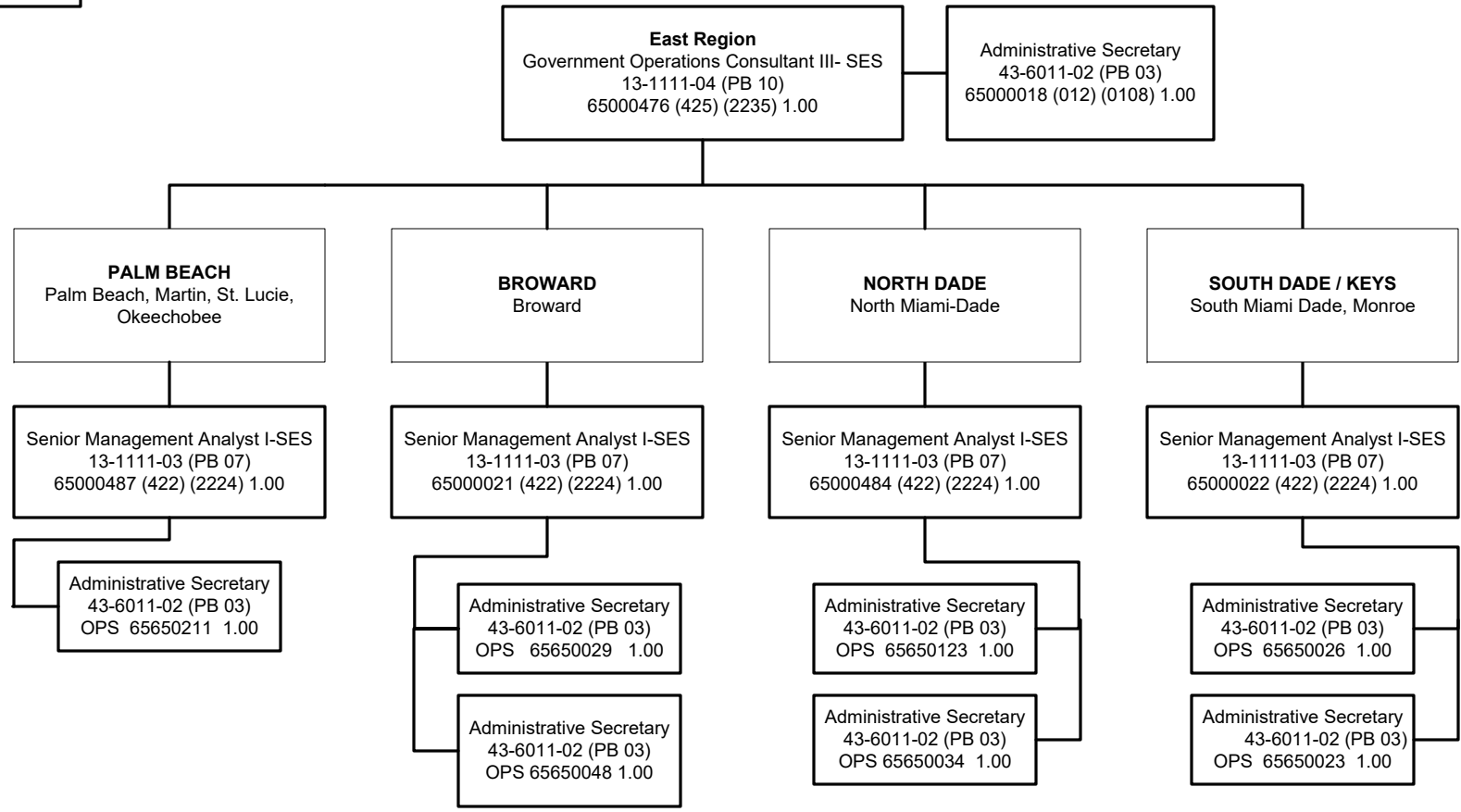
Department of Elder Affairs
Long-Term Care Ombudsman



Department of Elder Affairs
Long-Term Care Ombudsman



Department of Elder Affairs
Long-Term Care Ombudsman



Schedule XIV Variance from Long Range Financial Outlook

Agency: Department of Elder Affairs

Contact: Sonya Smith, Budget Director

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

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2021 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 2022-2023 and list the amount projected in the long range financial outlook and the amounts projected in your Schedule I or budget request.

| | Issue (Revenue or Budget Driver) | R/B* | FY 2022-2023 Estimate/Request Amount | |
|-----|--|------|--------------------------------------|----------------------------|
| | | | Long Range Financial Outlook | Legislative Budget Request |
| (a) | Elderly Services | B | 12.5 | 0.5 |
| (b) | Human Services Information Technology/Infrastructure - Enterprise Client Information and Registration Tracking System (eCIRTS) Project | B | 2.7 | 2.3 |
| | | | | |

- 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.

(a) Department's request does not include a funding increase for the following.

1. Reduction of waitlists for the Community Care for the Elderly and Home Care for the Elderly programs
2. Respite services for Alzheimer's clients
3. Aging Resource Centers

(b) Department's request reflects the FY 2022-2023 estimated cost to continue the replacement of CIRTS as well as to maintain and operate the new system.

* R/B = Revenue or Budget Driver



SERVICES TO ELDERS PROGRAM

Exhibits or Schedules



Schedule I Series

Administrative Trust Fund - 2021

Schedule I Narratives

Schedule I Inter-Agency Transfer Form

Schedule IA Detail of Fees and Related Program Costs

Schedule IC Reconciliation of Unreserved Fund Balance

Schedule IC Reconciliation of Beginning Trial Balance to Schedule IC

Federal Grants Trust Fund – 2261

Schedule I Narratives

Schedule I Inter-Agency Transfer Form

Schedule IC Reconciliation of Unreserved Fund Balance

Schedule IC Reconciliation of Beginning Trial Balance to Schedule IC

Grants and Donations Trust Fund – 2339

Schedule I Narratives

Schedule IC Reconciliation of Unreserved Fund Balance

Schedule IC Reconciliation of Beginning Trial Balance to Schedule IC

Operations and Maintenance Trust Fund – 2516

Schedule I Narratives

Schedule I Inter-Agency Transfer Form

Schedule IC Reconciliation of Unreserved Fund Balance

Schedule IC Reconciliation of Beginning Trial Balance to Schedule IC

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Department of Elder Affairs **Budget Period:** 2022-2023
Program: Administrative Trust Fund
Fund: 2021
Specific Authority: 744.1083;744.534
Purpose of Fees Collected: Public Guardianship Registration Fees, Abandon Property

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 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 2020 -2021 | FY 2021 -2022 | FY 2022-2023 |
| <u>Receipts:</u> | | | |
| Public Guardianship Unclaimed Property | 147,496 | 150,000 | 150,000 |
| Public Guardianship Registration Fees | 27,400 | 30,250 | 30,250 |
| | | | |
| | | | |
| Total Fee Collection to Line (A) - Section III | 174,896 | 180,250 | 180,250 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|----------------|----------------|----------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | | | |
| Other Personal Services | 124,074 | 126,301 | 126,301 |
| Expenses | 4,827 | 3,238 | 3,238 |
| Operating Capital Outlay | 314,663 | 318,806 | 318,806 |
| Service Chg. 310322 | 3,304 | 2,680 | 2,680 |
| | | | |
| Indirect Costs Charged to Trust Fund | | | |
| Total Full Costs to Line (B) - Section III | 446,868 | 451,025 | 451,025 |

Basis Used: _____

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|-----|------------------|------------------|------------------|
| TOTAL SECTION I | (A) | 174,896 | 180,250 | 180,250 |
| TOTAL SECTION II | (B) | 446,868 | 451,025 | 451,025 |
| TOTAL - Surplus/Deficit | (C) | (271,972) | (270,775) | (270,775) |

EXPLANATION of LINE C:
 Deficits in estimated columns, Section III Summary (above), will be covered by unreserved fund balance, if necessary.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2022 - 2023 |
| Trust Fund Title: | Department of Elder A |
| Budget Entity: | Aministrative Trust Fund |
| LAS/PBS Fund Number: | 650000 |
| | 2021 |

| | Balance as of 6/30/2021 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 695,912.00 | (A) | (218,714.00) | 477,198.00 |
| ADD: Other Cash (See Instructions) | 0 | (B) | | 0 |
| ADD: Investments | 0 | (C) | | 0 |
| ADD: Outstanding Accounts Receivable | 370,977.00 | (D) | (113,429.00) | 257,548.00 |
| ADD: _____ | | (E) | | 0 |
| Total Cash plus Accounts Receivable | 1,066,889.00 | (F) | (332,143.00) | 734,746.00 |
| LESS Allowances for Uncollectibles | | (G) | | - |
| LESS Approved "A" Certified Forwards | 6,361.00 | (H) | | 6,361.00 |
| Approved "B" Certified Forwards | 52,897.00 | (H) | | 52,897.00 |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 201,755.00 | (I) | | 201,755.00 |
| LESS: Unreserved Fund Bal June 30 Before Adj | | (J) | | - |
| Unreserved Fund Balance, 07/01/21 | 805,876.00 | (K) | (332,143.00) | 473,733.00 ** |

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: 2022 - 2023

Department Title: Department of Elder Affairs
Trust Fund Title: Administrative Trust Fund
LAS/PBS Fund Number: 2021

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/21

Total all GLC's 5XXXX for governmental funds; 853,179.00 (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 (218,714.00) (C)

SWFS Adjustment # and Description (113,429.00) (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS 52,897.00 (D)

Approved FCO Certified Forward per LAS/PBS (D)

A/P not C/F-Operating Categories 5,594.00 (D)

 (D)

 (D)

 (D)

ADJUSTED BEGINNING TRIAL BALANCE: 473,733.00 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 473,733.00 (F)

DIFFERENCE: 0.00 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2022 - 2023

| | |
|-----------------------------|--------------------------|
| Department Title: | Department of Elder A |
| Trust Fund Title: | Federal Grant Trust Fund |
| Budget Entity: | 650000 |
| LAS/PBS Fund Number: | 2261 |

| | Balance as of 6/30/2021 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 8,544,172 | (A) | (7,790,133) | 754,039 |
| ADD: Other Cash (See Instructions) | | (B) | | - |
| ADD: Investments | | (C) | | - |
| ADD: Outstanding Accounts Receivable | 7,489,494 | (D) | 341,322 | 7,830,816 |
| ADD: Anticipated Receivables or "Bs" | 24,823,119 | (E) | | 24,823,119 |
| Total Cash plus Accounts Receivable | 40,856,785 | (F) | (7,448,811) | 33,407,974 |
| LESS Allowances for Uncollectibles | | (G) | | - |
| LESS Approved "A" Certified Forwards | 4,232,124 | (H) | (96,323) | 4,135,801 |
| Approved "B" Certified Forwards | 24,823,119 | (H) | | 24,823,119 |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 6,610 | (I) | | 6,610 |
| ADD: Rounding | 1.00 | (J) | | 1.00 |
| Unreserved Fund Balance, 07/01/21 | 11,794,933 | (K) | (7,448,811) | 4,442,444 ** |

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: 2022 - 2023

Department Title: Department of Elder Affairs
Trust Fund Title: Federal Grants Trust Fund
LAS/PBS Fund Number: 2261

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/21

Total all GLC's 5XXXX for governmental funds; 11,391,032 (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) 0 (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (7,790,133) (C)

SWFS Adjustment # and Description 341,322 (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS 24,823,119 (D)

Approved FCO Certified Forward per LAS/PBS (D)

A/P not C/F-Operating Categories 500,223 (D)

Anticipated Revenue "Bs" (24,823,119) (D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 4,442,443 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 4,442,443 (F)

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2022 - 2023 |
| Trust Fund Title: | Department of Elder A |
| Budget Entity: | Grants and Donations |
| LAS/PBS Fund Number: | 650000 |
| | 2339 |

| | Balance as of 6/30/2021 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 68,134.00 | (A) | | 68,134.00 |
| ADD: Other Cash (See Instructions) | 0 | (B) | | - |
| ADD: Investments | | (C) | | - |
| ADD: Outstanding Accounts Receivable | 0 | (D) | | - |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 68,134.00 | (F) | 0 | 68,134.00 |
| LESS Allowances for Uncollectibles | | (G) | | - |
| LESS Approved "A" Certified Forwards | 0 | (H) | | - |
| Approved "B" Certified Forwards | 0 | (H) | | - |
| Approved "FCO" Certified Forwards | 0 | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 3.60 | (I) | | 3.60 |
| Rounding _____ | 0.40 | (J) | | 0.40 |
| Unreserved Fund Balance, 07/01/21 | 68,130.00 | (K) | 0 | 68,130.00 ** |

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 2021

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2022 - 2023

Department Title: Department of Elder Affairs
Trust Fund Title: Grants and Donations
LAS/PBS Fund Number: 2339

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/21

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

Budget Period: 2022 - 2023

| | |
|-----------------------------|-------------------------------------|
| Department Title: | Department of Elder A |
| Trust Fund Title: | Operations & Maintenance Trust Fund |
| Budget Entity: | 65000000 |
| LAS/PBS Fund Number: | 2516 |

| | Balance as of 6/30/2021 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|------------------------|
| Chief Financial Officer's (CFO) Cash Balance | \$ 807,400 | (A) | | \$ 807,400 |
| ADD: Other Cash (See Instructions) | | (B) | | \$ - |
| ADD: Investments | | (C) | | \$ - |
| ADD: Outstanding Accounts Receivable | \$ 2,798,323 | (D) | | \$ 2,798,323 |
| ADD: _____ | | (E) | | \$ - |
| Total Cash plus Accounts Receivable | \$ 3,605,723 | (F) | \$ - | \$ 3,605,723 |
| LESS Allowances for Uncollectibles | | (G) | | \$ - |
| LESS Approved "A" Certified Forwards | \$ 1,479,007 | (H) | | \$ 1,479,007 |
| Approved "B" Certified Forwards | | (H) | | \$ - |
| Approved "FCO" Certified Forwards | | (H) | | \$ - |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | \$ - |
| LESS: _____ | | (J) | | \$ - |
| Unreserved Fund Balance, 07/01/21 | \$ 2,126,716 | (K) | \$ - | \$ 2,126,716 ** |

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 2021

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2022 - 2023

Department Title: Department of Elder Affairs
Trust Fund Title: Operations & Maintenance Trust Fund
LAS/PBS Fund Number: 2516

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/21

Total all GLC's 5XXXX for governmental funds; 2,126,716 (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 0.00 (D)

A/P not C/F-Operating Categories 0.00 (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 2,126,716 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 2,126,716 (F)

DIFFERENCE: 0.00 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IV-B FOR ENTERPRISE CLIENT INFORMATION AND REGISTRATION TRACKING SYSTEM

For Fiscal Year 2022-23




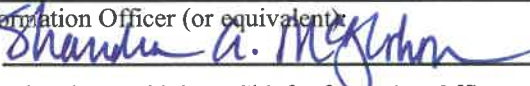



September 1, 2021

DEPARTMENT OF ELDER AFFAIRS

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I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval | |
|---|--|
| Agency: Department of Elder Affairs | Schedule IV-B Submission Date: September 15, 2021 |
| Project Name: Enterprise Client Information and Registration Tracking System (eCIRTS) | Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| FY 2022-23 LBR Issue Code: 36207C0 | FY 2022-23 LBR Issue Title: Enterprise Client Information and Registration Tracking System (eCIRTS) Project |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Laura Anderson, 850-414-2149, andersonl@elderaffairs.org Shandra McGlohon, 850-414-2317, mcglohonsa@elderaffairs.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: 9/10/2021 |
| Printed Name: Richard Prudom, Secretary | |
| Agency Chief Information Officer (or equivalent):  | Date: 9/8/2021 |
| Printed Name: Shandra McGlohon, Chief Information Officer | |
| Budget Officer:  | Date: 9/7/2021 |
| Printed Name: Sonya Smith, Budget Director | |
| Planning Officer:  | Date: 9/9/21 |
| Printed Name: Bridget McKay, Chief of Planning and Evaluation | |
| Project Sponsor:  | Date: 9/8/21 |
| Printed Name: Glenn Elmer, Financial Administrator | |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address): | |
| Business Need: | Ginnifer Barber, 850-414-2031, barberg@elderaffairs.org Gary Didio, 508-740-5025, g.didio@outlook.com |
| Cost Benefit Analysis: | Gary Didio, 508-740-5025, g.didio@outlook.com Shandra McGlohon, 850-414-2317, mcglohonsa@elderaffairs.org |
| Risk Analysis: | Gary Didio, 508-740-5025, g.didio@outlook.com Shandra McGlohon, 850-414-2317, mcglohonsa@elderaffairs.org |
| Technology Planning: | Gary Didio, 508-740-5025, g.didio@outlook.com Shandra McGlohon, 850-414-2317, mcglohonsa@elderaffairs.org |
| Project Planning: | Gary Didio, 508-740-5025, g.didio@outlook.com |

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 Elder Affairs (Department/DOEA) is to promote the well-being, safety, and independence of Florida's seniors, their families, and caregivers with the goal of helping Florida's older adults remain healthy, safe, and independent. Per Section 430.02, Florida Statutes, DOEA has the lead responsibility for administering human service programs for the elderly. To fulfill the legislative intent, DOEA, in conjunction with other state agencies and contracted Area Agencies on Aging (AAAs) which operate as Aging and Disability Resource Centers (ADRCs), advise, assist, and protect the state's elderly citizens to the fullest extent possible. The Department plays a critical role in the advocacy for and provision of health and human services to Florida's 5.5 million older residents and is focused on the social determinants of health. Designated as the State Unit on Aging, the Florida Department of Elder Affairs serves as the primary state agency for administering human and nutrition services to Florida's older adults and their caregivers. These services include home delivered meal programs (Meals-on-Wheels), nutrition programs, in-home services, elder abuse prevention, and caregiver support. By developing programs and services implemented in an easily accessible manner, DOEA ensures Florida's older adults maintain a state of maximum independence and quality of life.

In September 2016, DOEA underwent a process to update its Long-Range Program Plan (LRPP) for the 2017-2020 fiscal years. The updated LRPP outlines the Department's priorities by setting the goals needed to fulfill DOEA's mission and align with the Governor's priorities for improving education, increasing economic development, creating jobs, and ensuring public safety. These goals include:

- Enable older adults, individuals with disabilities, their families, and other consumers to choose and easily access options for existing mental and physical health, as well as long-term and end-of-life care;
- Provide home and community-based services to enable individuals to maintain the highest level of independence for as long as possible, including supports for family caregivers;
- Empower older adults, individuals with disabilities, and their caregivers to live active, healthy lives to improve their overall health status;
- Ensure the legal rights of older adults are protected and prevent their abuse, neglect, and exploitation;
- Promote planning and collaboration at the community level that recognize the benefits and needs of its aging population; and
- Maintain effective and responsive management.

To accomplish the goals outlined above, DOEA must overcome existing and future challenges. One of the primary challenges to DOEA is the anticipated precipitous increase in clients needing services. Demographic projections stated in the Florida State Plan on Aging 2017-2020, indicate

approximately one-quarter of Florida's current population are baby boomers and are expected to age into retirement within the next 10 years. Providing services that will effectively respond to the needs of the baby boomers and will require innovation, creativity, process optimization and enhanced technical capabilities.

In the Florida State Plan on Aging 2017-2020, DOEA identified several strategies to assist with the changes in the existing service model. These include:

- Develop innovative ways to get information to older adults on how to access health and long-term care services, including mental, cognitive, and behavioral health services;
- Maximize the responsiveness of Elder Helplines;
- Enhance resources to address, coordinate, and facilitate Long Term Care needs;
- Enhance an existing partnership with the Department of Children and Families (DCF) to automate service eligibility processes;
- Enhance an existing partnership with the Agency for Persons with Disabilities (APD) to collaborate on intellectual disability and mental illness services;
- Provide information and referral services to underserved individuals;
- Provide a clearinghouse for evidence-based programs for elders in Florida;
- Identify target populations using technology;
- Participate in statewide efforts to develop a uniform statewide reporting system;
- Develop and automate complaint intake procedures;
- Ensure federal and state funds are used to serve effectively and efficiently to facilitate DOEA client needs;
- Prepare for elder needs through planning, collaboration, and policy development through advanced analytics and reporting;
- Provide information to empower elders, adults with disabilities, caregivers, and their families to make informed decisions about long-term care options; and
- Strengthen the state's ability to prevent and report on elder abuse, neglect, and exploitation.

Implementation of these 14 strategies is critical to the continued success of DOEA. Based on the expanding elder population in Florida and the demand placed on existing resources, increased efficiency in providing services to our clients ranks as one of the Department's top priorities. DOEA will need to equip staff with the appropriate technology tools thereby enabling them to continue to meet client demands.

The Client Information and Registration Tracking System (CIRTS) is the current technology used by DOEA to provide services including medical eligibility determination of the State's older adult population for home and community-based services. CIRTS is a 25+ year old system using an obsolete and no longer supported technology. The impact of continuing to use older technology is reduced stability, dependability, extensibility, and supportability. Years of extensive programmatic changes have resulted in conflicting modifications and workarounds in code, creation of additional external "shadow" databases, and paper-based processes severely convoluting the workflow, data

management, and security processes resulting in significant inefficiencies in the system thereby reducing employee efficiency and productivity.

An example contributing to workload increases is the inability of the employee to have reliable mobile access. An online assessment optimally should take approximately 45 minutes. Oftentimes, staff start the online assessment only to discover it cannot be completed due to various technical problems. This requires staff to revert to a manual assessment which can add an additional hour to the assessment process. The inefficiency is further exacerbated in performing manual assessments which then must be entered manually resulting in increased labor and significant processing delays. Thus, reducing efficiency in performing the assessment results in lessening the ability to perform timely assessments and adds to a backlog of assessments to be completed each year. This inhibits DOEA's goal of effectively and efficiently serving Florida's 5.5 million older adults.

With the planned next generation of CIRTS (eCIRTS), workers can use today's modern technology including the provision of checkpoints and offline processing from their laptop, tablet, or phone to effectively perform assessments and have the data securely and accurately updated either immediately or upon the next available connection.

To determine the best approach for the next generation of CIRTS, DOEA contracted with an IT strategy firm to develop a market analysis report and recommendation for technical solutions to best assist DOEA with its challenges. Based on the findings of the report, DOEA's goal is to transition to an enterprise Commercial-Off-The-Shelf (COTS) or Framework-based customer relationship management (CRM) system. This modernization coupled with a business process reengineering initiative will allow DOEA to perform the core functions more efficiently providing an increase in worker productivity.

Implementation of a robust CRM platform allows DOEA to achieve its goals of standardizing and optimizing processes, improving client service, enhancing client data management and accountability. This will provide the opportunity for increasing the efficiency and effectiveness of staff as well as advanced data analytics and reporting. These improvements along with improved information technology will facilitate the ability to leverage the functionality described below.

a) Improved Client Service

The Department's goals for client service would be significantly improved with a solution providing the following capabilities:

- Easy and intuitive client access to DOEA information, services, and programs;
- Consolidated client record providing a holistic view of client activity and interaction;
- Automated workflow functionality streamlining the processing of service requests thereby decreasing client assessment wait times;
- An integrated resource directory web page to facilitate searching for various home and community-based services in the selected service area;
- Ability for DOEA clients to query their application status online rather than needing to call DOEA directly;

- Robust mobile device functionality supporting collection of all necessary client data streamlining the assessment process; and
- Increased reporting and analytics capability allowing DOEA leadership to monitor client service levels and plan strategically to meet their changing needs.

Based on the improvements described above, eCIRTS will allow DOEA to provide better access to client services. In addition, overall client satisfaction will be improved due to faster responsiveness in client requests. DOEA will gain numerous efficiency benefits from enhancing online service offerings to clients.

b) Increased Staff Efficiency

The Department is faced with meeting the needs of a growing client population without corresponding increases in staff resources. To effectively address this challenge, staff efficiency will need to increase by eliminating manual processes and implementing reengineered business processes designed for optimal productivity. Increased staff efficiency would be realized with a solution providing the following capabilities:

- Consolidated client record for managing all client-related information, documentation, and contacts (case notes, medical information, caregiver contact information, etc.);
- Master data management system to improve access to client-related information and reduce duplication of data;
- Efficient user interface providing a staff-specific work queue dashboard displaying current assignments, alerts, unified calendaring and scheduling, workflow, and automated communication and collaboration tools;
- Enhanced workflow minimizing or eliminating manual processes and increasing staff collaboration and efficiency;
- Better management capabilities via a staff management dashboard allowing supervisors to monitor staff work queues, assign tasks, and access productivity analytics and reports;
- Enhanced mobile capability allowing staff to complete work assignments remotely via Wi-Fi or cellular and/or work offline with automatic system synchronization;
- Enhanced and automated scheduling based on staff-defined business rules with appointment reminders and route mapping optimization for assessors who travel to client locations;
- Ability for electronic signatures on required documentation submission thereby eliminating several of the current paper processes regarding the printing, scanning, faxing, and mailing of relevant documentation; and
- Automated correspondence generation and delivery thereby reducing manual entry errors as well as mailing and faxing costs.

Enhanced technology using proactive notifications of assigned work, tracking, and case status, reduction of redundant data entry, and prevention of errors and repeat work will reduce manual processes and save valuable staff time.

c) Enhanced Data Management, Analytics, and Reporting

Effective and efficient management of client-centric data will enhance the capture, accuracy, integrity, security, and reporting of data tied to critical DOEA functions through the following:

- Improved data capture, accuracy, and integrity with standardized entry screens and forms;
- Field and screen level validations ensuring required data is entered and validated;
- Pre-defined, standardized drop-down list values significantly reducing or eliminating data entry errors;
- Enhanced data security with the encryption of all data in transit and at rest;
- Role-based access controls to restrict access to Health Insurance Portability and Accountability Act (HIPAA) Protected Health Information (PHI) and other confidential data to only those with a business need to know; and
- Improved data reporting and analytics allows for more advanced reporting capabilities. Using ad hoc and customizable reports facilitate the ability for trend analysis by using bar graphs, charts, and heat maps.

d) Increased Efficiency and Effectiveness of Information Technology Resources

Operation and maintenance of CIRT is resource-intensive, inflexible, and costly. The Department’s Bureau of Information Technology is being asked to do more with existing resources. Choosing the right technology solution as well as an appropriate operations and maintenance strategy augmenting Information Technology’s strengths and reducing demands would provide the following benefits:

- Optimizes IT resources with the reduction of operation and maintenance support;
- Reduces the need to recruit and retain resources with out-of-date and costly skill sets;
- Enables key resources to provide timely configuration and customizations to address internal and external stakeholder requirements;
- Increases the reliability and security of remote system access by mobile users;
- Improves system performance by using multiple highly available, redundant, load-balanced web servers;
- Ensures all data is continually and reliably backed up by the vendor; and
- Provides robust disaster recovery and business continuity plans.

2. Business Objectives

The following key business objectives to improve process efficiencies were developed from the business process reengineering and “To-Be” requirements definition initiatives as well as input from key executive leadership, stakeholders, and operational staff:

- Standardize and optimize key business processes to improve operational efficiencies;
- Enhance overall DOEA staff efficiency and effectiveness with applicable technology tools;

- Reduce or eliminate manual tasks for DOEA, Area Agencies on Aging (AAAs), Aging and Disability Resource Centers (ADRCs), and Lead Agencies staff resulting in greater efficiency and faster response to client needs;
- Enhance intra- and inter-departmental workflow functionality allowing DOEA staff to provide services faster with greater efficiency;
- Increase data integrity, standardization, accuracy, and security toward improved operational efficiency, monitoring, reporting, and analytics;
- Facilitate better collaboration and communication among the DOEA Comprehensive Assessment and Review for Long-Term Care Services (CARES) program, AAAs, ADRCs, and Lead Agencies which increase the efficiency and accuracy of the intake and referral, assessment, staffing, monitoring, and compliance processes across DOEA;
- Improve access to client data by using document management while reducing duplication of data in disparate systems;
- Provide mobile monitoring and assessments workforce capabilities including real-time and offline data capture, scheduling, and Global Positioning System (GPS) route planning support; and
- Improve analytical and reporting capabilities by providing DOEA leadership with the tools to plan resource allotments and operational efficiencies tactically and strategically across the Department thereby increasing efficiencies and reducing operational costs.

The key components to assist with achieving the Department's objectives include:

- A business process reengineering and optimization effort designed to standardize, automate, and streamline the Department's processes;
- An enhanced technology infrastructure thereby increasing reliability and extensibility while reducing technical support needs;
- An enterprise CRM including a single intake, referral, and assessment platform with workflow and document management;
- A system which uses role-based security control to manage access to confidential client data;
- A robust mobile solution including GPS route mapping; and
- A master data management architecture which reduces or eliminates duplication of data among DOEA and partner organizations.

A CRM system implementation will greatly improve efficiency by consolidating several core business processes which are currently on disparate platforms thereby reducing IT support maintenance and cost for DOEA. A CRM system will result in decreasing the number of external system interactions and increasing productivity by implementing automated workflow processes. Regardless of the channels of access (phone calls, emails, faxes, internet, or in-person scheduling), implementing a CRM system will allow DOEA to provide clients with a more personalized and proactive service.

Implementing a CRM system creates efficient open communication channels between DOEA and partner organizations thereby reducing redundant data collection and enhancing monitoring and

client service across DOEA. Efficient process management is critical in effectively responding to increasing caseloads, potential emergencies or other issues affecting the well-being of Florida's older adult population. Improved analytical abilities will lead to efficient resource allotment and operational efficiencies within DOEA resulting in reduced support costs.

Departmental improvements with the optimizations of business processes and streamlined data normalization will provide improved operational efficiency, reporting, and monitoring. Capturing key analytical metrics will facilitate better proactive decision support and strategic planning for DOEA.

In alignment with the Department's strategic objectives, the deployment of an enterprise CRM System will empower its staff and allow DOEA to be more responsive to changing operational and environmental demands.

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)

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

A description of the Department's current business processes, including workflow analysis, is included as Attachment C.

a) Specific Performance, Operational and/or Fiscal Issues

The Department has two defined groups which execute its core business processes. The first group consists of CARES personnel who collaborate with the AAA and ADRC offices located in the 11 Planning Service Areas (PSAs) throughout Florida. Introduction of a CRM system will streamline and improve the efficiency and effectiveness of interaction between DOEA, CARES, AAAs, and ADRCs by simplifying and automating intra-group workflows.

A summary of current (As-Is) business processes is listed below.

- CARES Intake Process
- CARES On-Site Assessment Process
- CARES Medical Case File Review
- CARES Staffing Process (Level of Care)
- CARES Level of Care Recommendation
- CARES Follow-Up Schedule
- ADRC Intake and Follow-Up Process

- AAA and Lead Agency Budget and Care Plans
- Grievance Handling
- Monitoring CARES, ADRCs and Lead Agencies

These mission critical process flows are fully described in Appendix C: Business Process Reengineering.

(1) Comprehensive Assessment and Review for Long-Term Care Services (CARES)

The Department is responsible for the federal CARES Program through an interagency agreement with the Agency for Health Care Administration (AHCA). CARES is Florida's federally mandated pre-admission screening program for nursing home applicants. A registered nurse and/or assessor performs client assessments. A physician or registered nurse reviews each application to determine the level of care that is most appropriate for the applicant. The assessment identifies long-term care needs, establishes the appropriate level of care (medical eligibility for nursing facility care), and recommends the least restrictive, most appropriate placement.

Federal law mandates the CARES Program to perform an assessment or review of everyone who requests Medicaid reimbursement for nursing facility placement or who seeks to receive home and community-based services through all Medicaid waivers. A CARES assessment is also mandatory if a private-pay applicant is applying for placement in a nursing facility receiving Medicaid funding. Any person or family member can initiate a CARES assessment by applying for the Medicaid Institutional Care Program (ICP). These assessments include:

- Medical eligibility for the Medicaid ICP;
- Medical eligibility for Medicaid waivers providing community-based services;
- Medical assessment for all mentally ill individuals requesting ICP; and
- Medical assessment for individuals with intellectual disabilities requesting ICP services.

CARES field offices are located throughout the state. CARES personnel include registered nurses and assessors, administrative support staff, office supervisors, and regional program supervisors. Physicians are used as consultants as part of the staffing process.

(2) Area Agencies on Aging (AAAs) and Aging and Disability Resource Centers (ADRCs)

Section 430.2053, F.S., authorizes DOEA to work, in conjunction with AAAs and ADRCs, to serve the elderly population in Florida. The state's ADRCs provide information and referral to elders and adults age 18 and older who have severe and persistent mental illnesses (such as bipolar disorder, schizophrenia, or clinical depression).

The primary functions of the AAAs and ADRCs include:

- Provide information and referral services;
- Ensure medical eligibility determinations are done properly and efficiently;
- Triage clients who require assistance; and
- Manage the availability of financial resources for certain key long-term care programs for elders to ensure financial viability and stability.

To complete the primary functions, all of Florida's AAAs and ADRCs use a common information and referral (I&R) software application, ReferNET, which is a centralized database accessible via remote desktop connection comprised of two components. The first component is an online resource database available to the public and a private, confidential client information database. The second component provides individual ADRCs the ability to use the system for recording and tracking individual call information and using the information to make referrals and to schedule follow-up appointments.

The Department's performance issues within the current system consists of a growing backlog in client assessments to be completed on an annual basis by using older unsupported technology. Operational issues include the inconsistent application of business processes and lack of automated workflow along with the duplication of data and effort. One of the main fiscal issues is a projected 2.5% increase of needed client assessments each year without increasing staff or improving technology to offset the workload increase.

b) Explain Why the Current Process is not Desirable and Note the Drivers of Change

The client service-related applications for CARES, the AAAs, and the ADRCs currently in place use differing technologies, standards, processes, and interfaces. There are multiple databases that are unique to individual PSA functions and operate without centralized enterprise oversight. Several of these systems were created for certain PSA programs as workarounds for the shortcomings found in the legacy system. All of these systems house duplicate redundant data across PSAs thereby creating a challenging environment to effectively communicate and collaborate consistent client information.

Overlying the issues of the current systems, DOEA also identified four key strategic challenges.

- The proliferation of inefficient and redundant processes (manual and automated), along with the disparate supporting systems, databases and spreadsheets, exposed DOEA to operational challenges which have increased administrative and support costs while decreasing operational efficiency and effectiveness.
- The existing systems lacked the efficient functionality that is available in current technologies and are insufficient to meet the changing needs and demands of staff and clients. This is primarily due to outdated, unsupported, and difficult to modify, enhance, and maintain technologies.
- The age of existing automated processes and the impact of a siloed implementation and operation have made these systems difficult to continue to support and less than ideal in terms of cost-effectiveness to maintain, change, and operate.
- From an external perspective, state and federal legislative changes require DOEA to make frequent system modifications. It has been difficult for the Department to be agile enough to address these changes with outdated, inflexible and expensive-to-modify technologies.

c) Describe the Current Performance Metrics and Performance Data Requirements

The Department's current LRPP has performance indicators which are required to be statutorily reported. DOEA is unable to collect several of these metrics due to limitations of the legacy system. Currently, staff manually collects, analyzes, and assimilates the information needed for timely reporting of available performance metrics.

2. Assumptions and Constraints

The following assumptions and constraints have been identified for consideration in moving forward with the eCIRTS project. As project planning begins and more assumptions and constraints are identified, they will be added accordingly.

| ASSUMPTIONS | CONSTRAINTS |
|--|--|
| The project is the top technology initiative for DOEA and has support from the DOEA Executive Project Sponsor and Business Sponsor. | The effort to replace CIRTS and the ancillary systems will extend over several years with the potential for leadership changes during that time. |
| All of DOEA’s elder services processes fall into the standardized application framework. | The system will focus on a central Enterprise Client Information and Registration Tracking System and not outside functionality (e.g., accounting systems and human resource systems). As necessary, standardized interfaces will be provided for outside functionality. |
| All Divisions, Bureaus, Offices, AAAs, ADRCs, and Lead Agencies will be included in the eCIRTS project and will support the standardization of business processes. | DOEA has attempted large implementations in the past, and some areas may be hesitant to undergo another implementation effort. |
| There will be commitment, coordination, and communication among project teams, DOEA regional offices, and project stakeholders. | Staff availability for project related work will be limited thereby introducing a matrixed project team. |
| The requested funding for the eCIRTS project will be available in line with project expectations. | Funding for the eCIRTS project is subject to approval by the Florida Legislature and U.S. Department of Health and Human Services (HHS), Centers for Medicare and Medicaid Services (CMS). |
| DOEA business functional and technical subject matter experts will be available for project activities. | |

Table 1: Assumptions and 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

As part of the Joint Application Development (JAD) sessions, several DOEA, CARES, AAA, ADRC, and Lead Agency staff conferred to identify and analyze the current state of the client management applications across DOEA and to discuss their desired future state functionality. Over the course of the discussions, there were several overarching processes shared.

The primary business processes will be enhanced by using a scalable, more modern technology solution include the following.

- Information and Referral
- Intake
- Assessment
- Medical Case File Review
- Staffing and Determination of Level of Care
- Recommended Placement
- Follow-Up
- Screening
- Care Plans
- Monitoring
- Complaints
- Contracts and Billing

A detailed list of DOEA's proposed (To-Be) business processes is shown in the attached Business Process Reengineering (BPR) document as Appendix C and Requirements Traceability Matrix (RTM) as Appendix D. Associated descriptions of the functionality of DOEA's Core Processes are listed in the Project Glossary of Terms and Abbreviations attached as Appendix E.

DOEA has defined several requirements enhancing the services delivered to achieve the goals and initiatives defined in the LRPP. These include:

- Addition of central client record;
- Automation of manual and paper processes;
- Addition of staff dashboard for managing work activities;
- Addition of supervisor workforce activity management dashboard;
- Enhanced workflow and document management functionality;
- Enhanced mobile functionality (connected and offline);
- Automated calendaring and route-based scheduling;
- Centralized case management;
- Standardized intake and referral;
- Addition of master data management model;
- Enhanced security through role-based access control; and
- Addition of online claims submission by Lead Agencies and AAAs.

The addition of the requirements mentioned above will allow DOEA the ability to collect, analyze, and assimilate the information needed for timely reporting of available performance metrics.

2. Business Solution Alternatives

Based on the Market Analysis Report, DOEA considered three alternatives to meet the business goals of an enterprise client management system:

- Develop a custom solution;
- Deploy a COTS solution; and
- Deploy a configurable Framework platform.

For the full discussion of the business solution alternatives, refer to Appendix F: CIRTS Market Analysis, Section 6: Market Trends, Public Sector Trends, and Solution Options, and Section 7: Recommendation Report.

3. Rationale for Selection

The priorities, benefits, assumptions, and constraints for the proposed system are fully defined in Appendix F: CIRTS Market Analysis.

DOEA solicited and engaged a consulting company to assist in developing a Market Analysis of possible solutions. Within the Market Analysis, the company analyzed four types of solutions:

- Transfer from another state;
- Custom Application;
- Framework Application; and
- Commercial-Off-The-Shelf (COTS).

When considering a recommended approach to address DOEA's future technology needs, DOEA did so with the following in mind:

- The mission of DOEA and governing statutes, rules, policies, and procedures;
- The limitations and inefficiencies of the current processes and antiquated technology systems;
- DOEA's guiding priorities, goals, and objectives for a technology solution; and
- The knowledge gained into how comparable state government elder care agencies and the technology market have successfully responded to the challenges of implementing an enterprise client management system.

Building on the solutions options identified, the recommendation was structured with consideration of the following four elements:

- Alignment to Vision and Goals;
- Cost of Ownership Comparison;
- Benefits Comparison; and
- Risk Analysis and Mitigation.

4. Recommended Business Solution

The final recommendation, based on the documented analysis, was that it would be beneficial to tailor an agreement towards a COTS or Framework solution but keep an open mind and let the market offer solutions to provide the best value to DOEA, its stakeholders and client population.

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.

The proposed high-level functional and technical requirements are listed below. The detailed functional and technical requirements are attached as Appendix D.

1. Proposed Functional Requirements

During Stage 1 of the eCIRTS project, DOEA underwent an effort to define the functional requirements for a new enterprise CRM system. A summarized list of high-level functional requirements for the proposed system is shown below. A detailed list of the requirements is in Appendix D: Requirements Traceability Matrix.

| AREA | HIGH-LEVEL FUNCTIONAL REQUIREMENTS |
|-----------------------------|--|
| <i>Client Management</i> | <ul style="list-style-type: none"> ▪ Central Client Record ▪ Case Management ▪ Lifecycle Management ▪ Workflow Management ▪ Complaint Management ▪ Case Prioritization ▪ System-Generated Correspondence ▪ Calendaring and Scheduling ▪ Electronic Signatures |
| <i>Financial</i> | <ul style="list-style-type: none"> ▪ Claims Management and Financial Reporting ▪ Provider Claims Adjudication for General Revenue Funding ▪ Reconciliation |
| <i>Workforce Management</i> | <ul style="list-style-type: none"> ▪ Resource Utilization ▪ Task Assignment ▪ Performance Evaluation ▪ Work Prioritization |
| <i>Mobile Work Force</i> | <ul style="list-style-type: none"> ▪ Mobile Device Support (laptop, tablet, or smartphone) ▪ Mobile Assessments (Wi-Fi and Cellular) ▪ Offline Work Capabilities and Subsequent Data Synchronization ▪ Route Management (automated GPS route planning and directions) |
| <i>Intake and Referral</i> | <ul style="list-style-type: none"> ▪ Application ▪ Workflow |

| AREA | HIGH-LEVEL FUNCTIONAL REQUIREMENTS |
|---|--|
| <i>Enterprise Content Management</i> | <ul style="list-style-type: none"> ▪ OCR Scan Capabilities ▪ Custom Document Type Configuration ▪ Document Upload, Storing, Versioning and Access (standard document types) |
| <i>Business Intelligence</i> | <ul style="list-style-type: none"> ▪ Advanced Reporting ▪ Data Analytics ▪ Data Mining ▪ Executive and Worker Dashboards |
| <i>Public Portal for Clients and Caregivers</i> | <ul style="list-style-type: none"> ▪ Easy access to client information, application statuses, and availability of services |

Table 2: Proposed Functional Requirements

2. Proposed Technical Requirements

During Stage 1 of the eCIRTS project, DOEA underwent an effort to define the non-functional requirements needed for a new enterprise system. A summarized list of high-level technical requirements for the proposed system is shown below. A detailed list of the requirements is in Appendix D: Requirements Traceability Matrix.

| AREA | HIGH-LEVEL TECHNICAL REQUIREMENTS |
|-------------------------------|---|
| <i>Infrastructure</i> | <ul style="list-style-type: none"> ▪ The enterprise client management system infrastructure should be cost-effective, flexible, and scalable. ▪ The solution should use the existing DOEA hardware, software, storage, and network to the extent possible to maximize the prior investment in technology. ▪ System should provide integration between State Data Centers and data hosted in the cloud, where applicable. ▪ System should adhere to applicable DOEA, Federal and State of Florida information technology security standards, policies, and procedures. ▪ The overall system should be able to make minor customizations and configuration changes by DOEA personnel after the deployment period and a reasonable amount of knowledge transfer. ▪ System should support integration with mobile device technology currently available in the market. ▪ System should provide data analytics and data mining capabilities in a manner that does not degrade system operations or performance. |
| <i>User Access Management</i> | <ul style="list-style-type: none"> ▪ System should provide the ability to define users’ role-based access. ▪ System should provide the capability for administrators and authorized business users to configure access management. |
| <i>Maintenance</i> | <ul style="list-style-type: none"> ▪ System should allow maintenance activities which do not invalidate the upgrade path. ▪ System should allow DOEA personnel to coordinate planned maintenance activities. |

| AREA | HIGH-LEVEL TECHNICAL REQUIREMENTS |
|---------------------------|--|
| <i>Data</i> | <ul style="list-style-type: none"> ▪ System should provide data segregation for Divisions and Offices defined by DOEA. ▪ System should provide in-transit and at-rest data encryption capabilities for the database for Divisions and Offices defined by DOEA. ▪ System should provide extract, transform, and load (ETL) capabilities for the implementation. ▪ The solution must provide an enterprise data model. |
| <i>Disaster Recovery</i> | <ul style="list-style-type: none"> ▪ System must provide Disaster Recovery capabilities with negotiated SLAs within agreed upon timeframes (Recovery Point Objective and Recovery Time Objective) to return to full operations. ▪ System must provide Data Backups with frequency and retention period defined by DOEA. |
| <i>Technology Roadmap</i> | <ul style="list-style-type: none"> ▪ System should provide foundational releases while not impacting existing customizations. ▪ The Vendor should provide annual and quarterly advance communication for upcoming products and enhancements. |

Table 3: Proposed Technical Requirements

III. Success Criteria

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

A critical initial step in the modernization of the DOEA systems portfolio was the development of clear goals and success criteria which align with the overall mission of DOEA. The goals and success criteria clearly address the key risks and challenges DOEA is facing while performing the statutorily required functions and duties. The format used to document the eCIRTS goals and success criteria were defined with goal descriptions and the business value expected to be realized once a new modernized solution has been fully implemented.

A. eCIRTS Solution Goals/Success Criteria

The following exhibits describe each of the seven identified solution goals.

| Goal 1 |
|--|
| Standardize and optimize key business processes to improve operational efficiencies |
| Goal Description |
| <ul style="list-style-type: none"> ▪ Optimize current business processes. ▪ Provide standardized entry screens, forms, and data as well as efficiency across entities. ▪ Improve functionality and ease of use. |
| Goal Business Value |
| <ul style="list-style-type: none"> ▪ Enhancing intra- and inter-departmental workflow functionality decreases manual process time which improves operational efficiencies. ▪ Eliminates, where possible, the collection of duplicate data. |

| Goal 2 |
|--|
| Enhance overall DOEA staff efficiency and effectiveness with applicable technology tools |
| Goal Description |
| <ul style="list-style-type: none"> ▪ Reduce or eliminate manual tasks for staff. ▪ Provide automated workflow capabilities thereby increasing staff efficiency, intra- and inter-departmental collaboration, and customer response. ▪ Consolidate central client record. |
| Goal Business Value |
| <ul style="list-style-type: none"> ▪ Minimizes or eliminates manual processes thereby increasing staff collaboration and efficiency. ▪ Reduces time spent managing all client-related information, documentation, and contacts. ▪ Automates scheduling and routing and provides mapping optimization to create efficiencies, accuracy, and time optimization for clients and staff. |

| Goal 3 |
|--|
| Increase data integrity, standardization, and security toward improved accuracy, operational efficiency, monitoring, reporting, and analytics |
| Goal Description |
| <ul style="list-style-type: none"> ▪ Provide improved data reporting and data analytics capabilities. ▪ Support enterprise master data strategies reducing duplicative data and improved data capture, accuracy, security and integrity. ▪ Implement interface standards and protocols. |
| Goal Business Value |
| <ul style="list-style-type: none"> ▪ Supports paperless processing. ▪ Improves flexibility, timeliness, and integration of all data transactions. ▪ Reduces complexity of integration by leveraging a more flexible and adaptable technology framework and platform. |

| Goal 4 |
|---|
| Facilitate better collaboration and communication between DOEA, CARES, AAAs, ADRCs, and Lead Agencies which increase the efficiency of the intake and referral, assessment, staffing, monitoring, and compliance processes |
| Goal Description |
| <ul style="list-style-type: none"> ▪ Improve and expand client self-service capabilities. ▪ Enable staff-specific work queue dashboards. ▪ Consolidates central client record for managing all client-related information. |

Goal Business Value

- Standardizes client management interface.
- Allows for proactive notifications of assigned work.
- Reduces redundant data and data entry errors.

Goal 5

Enhance mobile capabilities including remote data capture, scheduling, and GPS route planning support

Goal Description

- Provide robust mobile capabilities including assessments and quality assurance remotely via Wi-Fi, cellular, or offline.
- Provide appointment reminders and route mapping optimization for assessors and QA staff traveling to remote client locations.

Goal Business Value

- Reduces or eliminates manual paper assessments.
- Increases mobile staff efficiency.

Goal 6

Improve analytical and reporting capabilities providing DOEA leadership with the tools to plan resource allotments and operational efficiencies tactically and strategically across DOEA thereby increasing efficiencies and reducing operational costs

Goal Description

- Provide workforce management capabilities.
- Improve data reporting and analytics for workforce oversight and strategic planning.

Goal Business Value

- Provides supervisors with the ability to assign tasks, monitor staff queues, and access productivity analytics.
- Provides executive management the ability to access productivity dashboards and analytics.

| Goal 7 | |
|---|--|
| Improve system flexibility, scalability, reliability, and cost of ownership | |
| Goal Description | |
| <ul style="list-style-type: none"> ▪ Improve system performance, extensibility, and reliability. ▪ Simplify operations and maintenance responsibilities. ▪ Replace outdated hardware and software technologies with widely embraced current technology. | |
| Goal Business Value | |
| <ul style="list-style-type: none"> ▪ Employs technology capable of scaling, evolving, and growing as business needs and demands change. ▪ Increases system security, stability, and recoverability with latest technology standards. ▪ Improves flexibility, timeliness, and integration of all data transaction processing. ▪ Simplifies infrastructure and application maintenance. | |

The following table describes the success criteria and key performance indicators to measure each of the seven identified solution goals.

| SUCCESS CRITERIA TABLE | | | | |
|-------------------------------|--|--|--|--------------------------|
| # | Description of Criteria | How will the Criteria be measured/assessed? | Who benefits? | Realization Date (MM/YY) |
| 1 | Optimize current business processes. | <ul style="list-style-type: none"> ▪ Time spent on manual processes ▪ Time to complete assessments ▪ Number of errors | <ul style="list-style-type: none"> ▪ DOEA ▪ AAAs/ADRCs ▪ Lead Agencies | Upon implementation |
| 2 | Provide standardized entry screens, forms, and data as well as efficiency across entities. | <ul style="list-style-type: none"> ▪ Time to retrieve data ▪ Time to generate reports ▪ Level of effort | <ul style="list-style-type: none"> ▪ DOEA ▪ AAAs/ADRCs ▪ Lead Agencies | Upon implementation |
| 3 | Improve functionality and ease of use. | <ul style="list-style-type: none"> ▪ Time to complete assessments ▪ Number of errors | <ul style="list-style-type: none"> ▪ DOEA ▪ AAAs/ADRCs ▪ Lead Agencies | Upon implementation |
| 4 | Reduce or eliminate manual tasks. | <ul style="list-style-type: none"> ▪ Time to complete assessments ▪ Time to process waitlist releases | <ul style="list-style-type: none"> ▪ DOEA ▪ AAAs/ADRCs ▪ Lead Agencies ▪ Clients | Upon implementation |
| 5 | Provide automated workflow capabilities increasing staff efficiency, intra- and inter-departmental collaboration, and customer response. | <ul style="list-style-type: none"> ▪ Compare against baselined current business processes | <ul style="list-style-type: none"> ▪ DOEA ▪ AAAs/ADRCs ▪ Lead Agencies | Upon implementation |

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| SUCCESS CRITERIA TABLE | | | | |
|------------------------|---|---|--|---------------------|
| 6 | Consolidate central client records. | <ul style="list-style-type: none"> Time spent managing client-related information Number of duplicate records | <ul style="list-style-type: none"> DOEA AAAs/ADRCs Lead Agencies | Upon implementation |
| 7 | Provide improved data reporting and data analytics capabilities. | <ul style="list-style-type: none"> Time to generate reports Accuracy of data Time to retrieve data | <ul style="list-style-type: none"> DOEA AAAs/ADRCs Lead Agencies | Upon implementation |
| 8 | Support enterprise master data strategies thus reducing duplicative data and improving data capture, accuracy, and integrity. | <ul style="list-style-type: none"> Number of duplicate records | <ul style="list-style-type: none"> DOEA AAAs/ADRCs Lead Agencies | Upon implementation |
| 9 | Implement interface standards and protocols. | <ul style="list-style-type: none"> Number of errors or exceptions Data transfer time | <ul style="list-style-type: none"> DOEA AAAs/ADRCs Lead Agencies | Upon implementation |
| 10 | Improve and expand client self-service capabilities. | <ul style="list-style-type: none"> Client satisfaction Time to respond to clients | <ul style="list-style-type: none"> DOEA AAAs/ADRCs Lead Agencies Clients | Upon implementation |
| 11 | Provide staff-specific work queue dashboards. | <ul style="list-style-type: none"> Number of assessments scheduled Number of assessments completed | <ul style="list-style-type: none"> DOEA AAAs/ADRCs Lead Agencies | Upon implementation |
| 12 | Provide robust mobile capabilities including assessments and quality assurance remotely via Wi-Fi, cellular, or offline. | <ul style="list-style-type: none"> Number of paper assessments Number of redundant records Number of assessments completed | <ul style="list-style-type: none"> DOEA AAAs/ADRCs Lead Agencies | Upon implementation |
| 13 | Provide appointment reminders and route mapping optimization for assessors and QA staff traveling to remote client locations. | <ul style="list-style-type: none"> Time to conduct assessments Time to complete assessments | <ul style="list-style-type: none"> DOEA AAAs/ADRCs Lead Agencies | Upon implementation |
| 14 | Provide workforce management capabilities. | <ul style="list-style-type: none"> Number of assessments scheduled | <ul style="list-style-type: none"> DOEA AAAs/ADRCs Lead Agencies | Upon implementation |

| SUCCESS CRITERIA TABLE | | | | |
|------------------------|---|---|---|---------------------|
| | | <ul style="list-style-type: none"> Number of assessments completed Staff efficiency reports | | |
| 15 | Improve data reporting and analytics for workforce oversight and strategic planning. | <ul style="list-style-type: none"> Staff efficiency reports Number of assessments completed | <ul style="list-style-type: none"> DOEA AAAs/ADRCs Lead Agencies | Upon implementation |
| 16 | Improve system performance, extensibility, and reliability. | <ul style="list-style-type: none"> Compare against current baselined system performance | <ul style="list-style-type: none"> DOEA AAAs/ADRCs Lead Agencies | Upon implementation |
| 17 | Simplify operations and maintenance responsibilities. | <ul style="list-style-type: none"> System performance System maintenance | <ul style="list-style-type: none"> DOEA AAAs/ADRCs Lead Agencies | Upon implementation |
| 18 | Replaces outdated hardware and software technologies with widely embraced current technology. | <ul style="list-style-type: none"> System availability System performance System extensibility System maintenance costs | <ul style="list-style-type: none"> DOEA AAAs/ADRCs Lead Agencies | Upon implementation |

B. Successful Procurement

To successfully support the development and execution of the eCIRTS procurement, DOEA is leveraging the Florida Department of Management Services’ (DMS) Alternate Contract Source (ACS). Project artifacts related to the ACS procurement method as well as the selected vendor are located in Appendices M – U. The ACS procurement method will be governed by the following ideals.

- Mitigate the risk of protest:** Address the known steps, procedures, legal requirements, or required reviews of Florida’s state procurement requirements, and in applying a discipline and rigor to the process, this will ensure the procurement moves forward in a technically correct and transparent manner.
- Be precise and be flexible enough to allow for innovation:** Present the requirements in such a way to allow vendors to bring new, innovative technologies or solutions to the procurement process for consideration, while clearly and appropriately addressing DOEA’s needs.
- Use Subject Matter Experts:** Identifying DOEA subject matter experts early is imperative when developing and implementing the procurement process.
- Establish a realistic and achievable procurement plan (schedule):** A realistic and achievable schedule leaves ample room for schedule adjustments without sacrificing critical schedule elements.

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

A. Benefits Realization Table

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

Over the last decade, DOEA has experienced a significant increase in all of its primary intake, referral, and assessment functional areas. Using statistics gathered from DOEA’s Long Range Program Plans, for the period of 2011-2015, the total number of DOEA client interactions increased by an average of 8.15% per year, the number of clients served increased 12.59%, while the number of DOEA FTEs decreased 3.56%. An analysis of these historical trends indicates DOEA must either increase its workforce number or increase the operational efficiency of existing staff with a new enterprise client management system. Implementing a modern CRM will provide a workforce multiplier thereby allowing DOEA to avoid a significant increase in staffing. One of the benefits calculated for the eCIRTS project is an estimate of the savings from not hiring to the staffing levels which would be required across DOEA if the eCIRTS solution was not implemented. A detailed analysis of project costs is referenced in the Cost Benefit Analysis, which is attached as Appendix A.

A summary of the estimated tangible benefits, upon implementation of eCIRTS, is displayed in the following 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 | Implementation of a centralized client data management system that includes master data management supporting data sharing and integrity while reducing data duplication | <ul style="list-style-type: none"> ▪ DOEA ▪ AAAs/ADRCs ▪ Lead Agencies ▪ Clients | <ul style="list-style-type: none"> ▪ Increased data integrity and accuracy ▪ Reduced data duplication ▪ More accurate reporting and decision making ▪ Enhanced client service | Compare against baselined current system data management | Upon implementation |
| 2 | Enhanced functionality for mobile access to systems and information | <ul style="list-style-type: none"> ▪ DOEA ▪ AAAs/ADRCs ▪ Lead Agencies ▪ Clients | <ul style="list-style-type: none"> ▪ Enhanced workforce functionality and efficiency ▪ Access to Wi-Fi, cellular or offline functionality | Compare against baselined current system functionality, accessibility, and processing time | Upon implementation |

| BENEFITS REALIZATION TABLE | | | | | |
|----------------------------|--|--|---|---|---------------------|
| | | | <ul style="list-style-type: none"> ▪ Addition of route-based scheduling | | |
| 3 | Enhanced workflow and workforce management capabilities thus increasing intra- and inter-departmental collaboration | <ul style="list-style-type: none"> ▪ DOEA ▪ AAAs/ADRCs ▪ Lead Agencies ▪ Clients | <ul style="list-style-type: none"> ▪ Reduction or elimination of manual processes ▪ Increased staff efficiency ▪ Increased management oversight, staff accountability, and resource planning | Compare against baselined current processing times | Upon implementation |
| 4 | Addition of advanced reporting and analytics functionality | <ul style="list-style-type: none"> ▪ DOEA ▪ AAAs/ADRCs ▪ Lead Agencies ▪ Clients | <ul style="list-style-type: none"> ▪ Improved staff productivity and efficiency ▪ Enhanced strategic planning and reporting capabilities | Compare against baselined current reporting capabilities and time needed to create statutorily required reports | Upon implementation |
| 5 | Improved system scalability to accommodate increased resource capacity needs, improved system modularity and extensibility with the addition of a business rules engine to expand system functionality | <ul style="list-style-type: none"> ▪ DOEA ▪ AAAs/ADRCs ▪ Lead Agencies ▪ Clients | <ul style="list-style-type: none"> ▪ Enhanced ability to quickly address changing resource capacity needs ▪ More agile system configuration capabilities to address dynamic request for modifications | Compare against baselined capacity planning and development time | Upon implementation |

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

| Cost Benefit Analysis | |
|---|--|
| Form | Description of Data Captured |
| CBA Form 1 - Net Tangible Benefits | <p>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, and/or 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 |

The Cost Benefit Analysis is attached as Appendix A.

V. Schedule IV-B Major Project Risk Assessment

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

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

A project of this scope will have planning, design, and execution risks. To mitigate these risks, quality assurance procedures, including in-progress milestones and deliverable reviews, will be integrated into the routine operations of the project management activities to help ensure the project adheres to the implementation schedule. Ongoing risks and issue management protocols will be adhered to during project status reviews to mitigate potential issues.

Effective upward communication to stakeholders is critical to providing up-to-date project status reports, offering accurate and best judgment risk and issue assessments, and actively managing expectations. Similarly, effective downward communication to the project team is essential to building teamwork and communicating expectations and will guide the success of the project. Having executive, steering committee, and governance support, a dedicated project team, and built-in checkpoints will help ensure DOEA's success in implementing a new CRM system and delivering value to DOEA and the elder population of Florida it serves.

The Risk Assessment Tool and Risk Assessment Summary is referenced in Appendix B: DOEA eCIRTS Project Risk Assessment.xlsx. The resulting Risk Assessment Summary will follow.

| | | |
|--|--|------------------|
| Project | <i>Enterprise Client Information and Registration Tracking System (eCIRTS)</i> | |
| Agency | <i>Department of Elder Affairs</i> | |
| FY 2022-23 LBR Issue Code: | FY 2022-23 LBR Issue Title: | |
| <i>36207C0</i> | <i>ENTERPRISE CLIENT INFORMATION AND REGISTRATION TRACKING SYSTEM (eCIRTS) PROJECT</i> | |
| Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | |
| <i>Shandra McGlohon ----- 850-414-2317 ----- mcglohonsa@elderaffairs.org</i> | | |
| Executive Sponsor | <i>Richard Prudom, Secretary of Elder Affairs</i> | |
| Project Manager | <i>Gary Didio</i> | |
| Prepared By | <i>Shandra McGlohon</i> | <i>8/16/2021</i> |

| | | | | | |
|--------------------------------|--|---|---|--|--|
| Risk Assessment Summary | | | | | |
| Business Strategy | <table border="1"> <tr> <td style="width: 50%; height: 100px;"></td> <td style="width: 50%; height: 100px; text-align: center;">◆</td> </tr> <tr> <td style="width: 50%; height: 100px;"></td> <td style="width: 50%; height: 100px;"></td> </tr> </table> | | ◆ | | |
| | | ◆ | | | |
| | | | | | |
| | Level of Project Risk | | | | |
| Least Risk | Most Risk | | | | |

Exhibit 1: Risk Assessment Summary

The following exhibit illustrates the risk assessment areas that were evaluated and the breakdown of the risk exposure that was assessed in each area. As indicated above, the overall project risk should diminish significantly by the conclusion of the first year when the project structure is in place and the foundational technology elements have been implemented.

| Project Risk Area Breakdown | |
|--|----------------------|
| Risk Assessment Areas | <i>Risk Exposure</i> |
| Strategic Assessment | MEDIUM |
| Technology Exposure Assessment | MEDIUM |
| Organizational Change Management Assessment | MEDIUM |
| Communication Assessment | LOW |
| Fiscal Assessment | MEDIUM |
| Project Organization Assessment | MEDIUM |
| Project Management Assessment | MEDIUM |
| Project Complexity Assessment | HIGH |
| Overall Project Risk | HIGH |

Exhibit 2: Project Risk Area Breakdown

When answering the questions in the risk assessment tool, it was assumed that the current project management and governance structure in place would remain in place throughout the eCIRTS project and DOEA would obtain the services of a qualified vendor to support project management services.

In the following table, there are examples of Risk Assessment (and Business Strategy alignment) areas that will be addressed by the conclusion of the first year of the project.

| Category | Proposed Actions |
|-----------------|---|
| Strategic Risk | <ul style="list-style-type: none"> ▪ All the project objectives will be clearly aligned with DOEA’s legal mission. ▪ The project objectives will be clearly documented and signed off by the stakeholders. ▪ The executive sponsor will sign the project charter. ▪ All the project requirements, assumptions, constraints, and priorities will be defined. |
| Technology Risk | <ul style="list-style-type: none"> ▪ Detailed hardware and software capacity requirements will be defined. |

| Category | Proposed Actions |
|---------------------------------------|--|
| Organizational Change Management Risk | <ul style="list-style-type: none"> ▪ The business process changes will be defined and documented. ▪ Organizational Change Management will be essential for success. ▪ An Organizational Change Management Plan will be developed and approved early in the project. |
| Communication Risk | <ul style="list-style-type: none"> ▪ The Communication Plan will be approved. ▪ The Communication Plan will promote the routine use of feedback (at a minimum). ▪ All affected stakeholders will be included in the Communication Plan. ▪ All key messages will be documented in the Communication Plan. ▪ Desired message outcomes and success measures will be documented in the Communication Plan. ▪ The Communication Plan will identify and assign needed staff. |
| Fiscal Risk | <ul style="list-style-type: none"> ▪ A Spending Plan will be documented and approved for the project lifecycle. ▪ All project expenditures will be identified and documented in the Spending Plan. ▪ The cost estimates for the project will be accurate within +/- 10-100% (Order of Magnitude). ▪ All tangible benefits will be identified and validated during the procurement phase. ▪ The procurement strategy will be reviewed and approved. ▪ A contract manager will be assigned to the project. |
| Project Organization | <ul style="list-style-type: none"> ▪ The project organization and governance structure will be defined and documented. ▪ A project staffing plan will identify and document all staff roles and responsibilities. ▪ The change review and control board will include representation from all stakeholders. |
| Project Management Risk | <ul style="list-style-type: none"> ▪ All requirements and specifications will be defined and documented. ▪ All requirements and specifications will be traceable to business rules. ▪ All project deliverables and acceptance criteria will be identified. ▪ The Work Breakdown Structure will be defined to the work package level. ▪ The project schedule will specify all project tasks, go/no-go decision points, milestones, and resources. ▪ Formal project status reporting will be in place. ▪ All planning and reporting templates will be available. ▪ All known project risks and mitigation strategies will be identified. |
| Complexity Assessment | <ul style="list-style-type: none"> ▪ Organizational Change Management will be essential to mitigate the risks of multiple entities at multiple locations throughout the state. ▪ Communications Planning will be critical to ensure stakeholders are informed and involved. |

Table 6: Project Risk Areas to be Addressed

DOEA's plan to continually identify, assess, and mitigate risks throughout the life of the project is discussed in Appendix G: Project Management Plan, Section 5 (Project Risk Management Plan) and Appendix O: eCIRTS Operational Work Plan.

VI. Schedule IV-B Technology Planning

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

A. Current Information Technology Environment

1. Current System

A detailed description of the current information technology environment, hardware, and software inventory is detailed in Appendix H: DOEA eCIRTS Schedule IV-B Section VI Technology Planning.

2. Information Technology Standards

A detailed description of information technology standards is detailed in Appendix H: DOEA eCIRTS Schedule IV-B Section VI Technology Planning.

B. Current Hardware and/or Software Inventory

A detailed description of hardware and software inventory is detailed in Appendix H: DOEA eCIRTS Schedule IV-B Section VI Technology Planning.

NOTE: Current customers of the state data center would obtain this information from the data center.

C. Proposed Technical Solution

1. Technical Solution Alternatives

The current technology of CIRTS is not effective and drives less than optimal operational efficiency outcomes for DOEA and its clients. There is a business need to leverage new technology to achieve better operational efficiencies. The gains in operational efficiency from the realization of modern, modular, and maintainable technology will provide DOEA with the agility to dynamically meet the Department's changing business needs and growing client base. The new technology approach should meet or exceed DOEA business functional and business process reengineering requirements while adhering to the federal Centers for Medicare and Medicaid Services (CMS) conditions and standards for:

- **Modularity** – Use of a modular, flexible, agile approach including the use of open interfaces;
- **MITA standards** – Aligned and continued advancement in the Medicaid Information Technology Architecture (MITA);
- **Industry compliance** – Alignment with, and incorporation of, industry standards, the Health Insurance Portability and Accountability Act (HIPAA) of 1996 security, privacy, and transaction standards;
- **Leverage** – Promotes sharing, leverage, and reuse;

- **Business results** – Supports accurate and timely processing of eligibility;
- **Reporting** – Has the capability to produce reports supporting program evaluation, continuous improvement in business operations, transparency and accountability; and
- **Interoperability** – Supports integration with the appropriate entities providing eligibility, enrollment, and outreach functions.

There were three viable technical solutions considered to achieve the Department’s goals. The following section provides a description of each option under consideration.

a. COTS Solution

COTS solution is a term referencing non-developmental items sold in the marketplace. A COTS system is typically designed for a unique purpose (e.g., client management) and generally does not require custom development before installation.

COTS solutions are commercially available products typically sold to multiple customers without customization. COTS product evolution, support, and enhancements are provided by the software vendor via recurring maintenance charges. Configuration of a COTS solution are often required to meet detailed business requirements, rules, and policy needs.

b. Custom Development Solution

Software that is specially designed and developed from scratch to accommodate a customer's precise preferences and expectations.

c. Framework Solution

A software Framework is a universal, reusable environment providing a measure of defined functionality as part of a larger platform to facilitate and develop or customize applications, products, and solutions. Framework product evolution, support, and enhancement are provided by the software vendor via recurring maintenance charges. Development and customization to a Framework solution are often required to meet detailed business requirements, rules, and policy needs.

2. Rationale for Selection

The criteria used when comparing alternative solutions to meet the need of the proposed solution, including priorities, benefits, assumptions, and constraints, is described in Appendix F: CIRT Market Analysis, Section 4.3 (Assumptions and Constraints) and Section 7 (Recommendation Report).

The following standards were considered when recommending an approach to address DOEA’s technology needs today and into the future:

- The mission of DOEA and governing statutes, rules, policies, and procedures;
- The limitations and inefficiencies of the current processes and antiquated technology systems;
- DOEA’s guiding priorities, goals, and objectives for a technology solution; and

- The knowledge gained into how comparable state government elder care agencies and the technology market have successfully responded to the challenges of implementing an enterprise client management system.

The following project vision statement was developed in collaboration with DOEA.

- *Implement an enterprise client management system to assist staff efficiency, enable client access to services, and position DOEA to plan for and be responsive to changing environmental and operational demands.*

Building on the solutions options, the recommendation methodology is structured around the following four elements:

- Alignment to Vision and Goals;
- Cost of Ownership Comparison;
- Benefits Comparison; and
- Risk Analysis and Mitigation.

To properly evaluate the solutions available to DOEA to replace their existing system, a minimum set of criteria is critical to ensure all options are compared to a common standard. The common base identified below will allow solution options to be compared in a consistent manner.

a) Evaluation Criteria

As part of the analysis, each option was assessed against the vision statement and solutions goals. This assessment was qualitative with the alignment presented for each option relative to the other options. Each option was given a score of High (3 points), Medium (2 points), or Low (1 point) for how well the option aligned to the vision and solution goal. The average score for each option was then calculated. The following exhibit reflects the output of this qualitative assessment.

| EVALUATION OF QUALITATIVE CRITERIA | OPTIONS CONSIDERED | | |
|--|------------------------------------|------------------------------------|-------------------------------|
| | OPTION 1: CUSTOM DEVELOPMENT | OPTION 2: FRAMEWORK PLATFORM | OPTION 3: COTS PLATFORM |
| Vision: Implement an enterprise client management system to assist staff efficiency, enable client access to services, and position DOEA to plan for and be responsive to changing environmental and operational demands. | Medium | High | High |
| Goal 1: Standardize and optimize key business processes to improve operational efficiencies. | Low | High | Medium |
| Goal 2: Enhance overall DOEA staff efficiency and effectiveness with applicable technology tools. | Low | High | High |

| EVALUATION OF QUALITATIVE CRITERIA | OPTIONS CONSIDERED | | |
|---|------------------------------------|------------------------------------|-------------------------------|
| | OPTION 1: CUSTOM DEVELOPMENT | OPTION 2: FRAMEWORK PLATFORM | OPTION 3: COTS PLATFORM |
| Goal 3: Increase data integrity, standardization, and security toward improved accuracy, operational efficiency, monitoring, reporting, and analytics. | Medium | High | High |
| Goal 4: Facilitate better collaboration and communication between DOEA, CARES, AAAs, ADRCs, and Lead Agencies which increase the efficiency of the intake and referral, assessment, staffing, monitoring, and compliance processes. | Low | High | High |
| Goal 5: Enhance mobile capabilities including remote data capture, scheduling, and GPS route planning support. | Low | High | High |
| Goal 6: Improve analytical and reporting capabilities providing DOEA leadership with the tools to plan resource allotments and operational efficiencies tactically and strategically across DOEA thereby increasing efficiencies and reducing operational costs. | Medium | Medium | High |
| Goal 7: Improve system flexibility, scalability, reliability, and cost of ownership. | Low | Medium | High |
| Average Score | 1.4 | 2.8 | 2.9 |

Exhibit 3: Alignment to Vision and Solution Goals

b) Benefits Comparison

All three options were evaluated for benefits to be realized with the implementation of an enterprise client management system. Each option was given a score of High (3 points), Medium (2 points), or Low (1 point) for how likely or how soon the option would realize each benefit. The average score for each option was then calculated.

| BENEFIT | OPTIONS CONSIDERED | | |
|--|------------------------------------|------------------------------------|-------------------------------|
| | OPTION 1: CUSTOM DEVELOPMENT | OPTION 2: FRAMEWORK PLATFORM | OPTION 3: COTS PLATFORM |
| Increased efficiency via automation of manual tasks and optimization of processes. | Medium | High | High |
| Drives process standardization. | Low | Medium | High |
| Enhanced customer experience and response. | Medium | High | High |
| Enhanced mobile capabilities and functionality. | Low | High | High |
| Enhanced workflow and workforce management. | Low | High | High |
| Flexible solution with the agility to quickly address procedural or statutorily mandated changes as well as environmental and operational needs. | Low | High | Low |
| Easy scalable and extensible solution to address increased environmental and operational demands. | Low | High | High |
| Minimizes support and operations and maintenance responsibilities. | Low | Medium | High |
| Increases data integrity, standardization, and security. | Medium | High | High |
| Improves analytical and dashboard/reporting capabilities. | Medium | High | High |
| Average Score | 1.4 | 2.8 | 2.8 |

Exhibit 4: Benefit Comparison

The full criteria used when comparing alternative solutions to meet the need of the proposed solution, including priorities, benefits, assumptions, and constraints, is described in Appendix F: CIRT Market Analysis, Section 4.3 (Assumptions and Constraints) and Section 7 (Recommendation Report).

3. Recommended Technical Solution

The following exhibit provides a comparison of the three options across each of the key elements of alignment to goals, cost, benefits, and risk. For scoring purposes High = 3 points, Medium = 2 points, and Low = 1 point. The average points for each option are then calculated.

| REVIEW CATEGORIES | OPTIONS CONSIDERED | | |
|-------------------------------|------------------------------------|------------------------------------|-------------------------------|
| | OPTION 1: CUSTOM DEVELOPMENT | OPTION 2: FRAMEWORK PLATFORM | OPTION 3: COTS PLATFORM |
| Alignment to Vision and Goals | Low | High | High |
| Lower Cost of Ownership | Medium | Medium | High |
| Achievement of Benefits | Medium | High | Medium |
| Minimizes Risk | Low | High | High |
| Average Score | 1.5 | 2.75 | 2.75 |

Exhibit 5: Summary Analysis

Based on the overall analysis, the following salient points addressing the Department’s solution options are offered below.

Option 1: While Custom Development solutions can be designed to meet exact program requirements, several notable data points are listed below that make this option less desirable than Framework or COTS.

- Custom Development solutions typically take considerably more time and resources to design, develop and implement than COTS or Framework solutions;
- Custom Development solutions provide fewer benefits and are less likely to achieve project goals than COTS or Framework solutions;
- Custom Development solutions are expensive to implement as well as operate and maintain due to the need to retain IT professionals with the deep and often arcane skills required to support and enhance the system;
- Enhancements, patches, and updates to the solution (infrastructure and application) would be the responsibility of DOEA; and
- Custom Development solutions are inherently riskier primarily for the reasons listed above.

Option 2: A Framework solution provides a solid base upon which the solution can be further customized and configured. The notable data points for using Framework as a solution option to meet the Department’s needs are listed below.

- The flexibility of a Framework solution provides a good balance between highly customizable Custom Development solutions and is more difficult and costly to customize than COTS solutions;
- Framework solutions provide greater benefits and are more likely to achieve project goals than Custom Development solutions;
- Framework solutions are typically implemented more quickly than Custom Development but not as fast as COTS;
- Enhancements, patches, and updates to the base application platform would be the responsibility of the provider;

- The overall costs of a Framework solution are typically less to implement and maintain than Custom Development solutions but more expensive than COTS; and
- There is less risk with Framework solutions compared to Custom Development since a project’s starting point is a base platform rather than building from scratch.

Option 3: Although a COTS solution may not address all of the Department’s program customizations, the available COTS solutions that were reviewed offered feature rich capabilities to address most of the business needs. The notable data points for including COTS as a solution option to meet the Department’s needs are listed below.

- There is less flexibility to customize with a COTS solution than with Custom Development or Framework;
- COTS solutions provide greater benefits and are more likely to achieve project goals than Custom Development solutions;
- A COTS solution can usually be implemented more rapidly than a Custom Development or Framework solution along with meeting most of the business needs;
- Enhancements, patches, and updates to the application would be the responsibility of the provider;
- The overall cost of a COTS solution is typically less than Custom Development and Framework solutions; and
- There is less risk with COTS since the project would be restarting with an established solution rather than building it from scratch or customizing a Framework.

The approach for a technical solution which most closely aligns with the Department’s needs is to implement a COTS or Framework solution which is typically less expensive and lower risk as well as more quickly implemented than a Custom Development solution. A detailed description of the reasons why these proposed alternative solutions meet the Department’s business needs and are in the best interest of the State is detailed in Appendix F: CIRT Market Analysis, Section 7.5 (Recommended Solution).

D. Proposed Solution Description

A detailed description of the technical requirements and features that tie directly to the Department’s core business requirements is described in Appendix C: Business Process Reengineering and Appendix D: Requirements Traceability Matrix.

1. Summary Description of Proposed System

The solution being proposed is a modern enterprise COTS or framework system with the capability to manage the intake and referrals, assessments, or screenings. The scope and key functionalities of the solution will include:

- Case Management and Customer Relationship Management (CRM);
- Business Intelligence;
- Intelligent Workflow;
- Workforce Management;
- Mobile Workforce;

SCHEDULE IV-B FOR ENTERPRISE CLIENT INFORMATION AND REGISTRATION TRACKING SYSTEM

- Unified Calendaring and Scheduling;
- Public Self-Service Capabilities;
- Route Mapping Optimization; and
- Document Management.

The proposed eCIRTS architecture below displays a proposed model system architecture. This may be updated based on the solution chosen by DOEA.

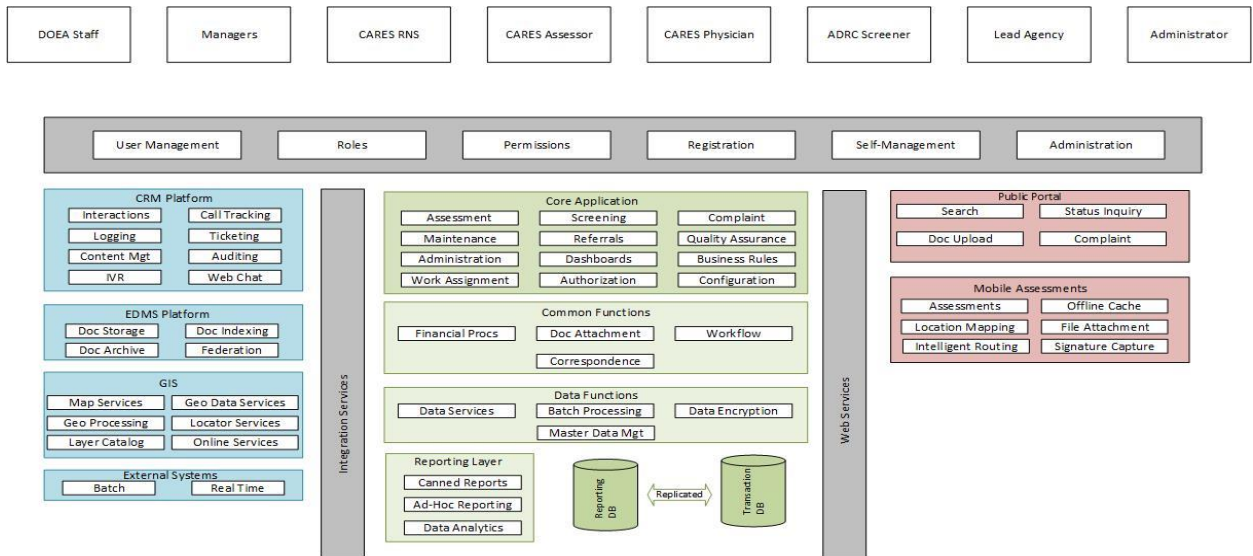


Exhibit 6: Functional Architecture of the Proposed System

To support the Department’s business objectives and processes, the proposed system will require the following features and functionality.

a) System, Connectivity, and Security Requirements

| | |
|---------------------------|--|
| System Type | The system will be either a cloud-centric Commercial-off-the-Shelf (COTS) or Framework vendor-hosted system. |
| Connectivity Requirements | The proposed new system must support both wired and wireless connectivity. |
| Security Requirements | <ul style="list-style-type: none"> ▪ Chapter 60GG-2, F.A.C. ▪ Chapter 119, F.S. ▪ Chapter 400, F.S. ▪ Chapter 415, F.S. ▪ Chapter 429, F.S. ▪ Chapter 430, F.S. ▪ Chapter 744, F.S. ▪ Health Insurance Portability and Accountability Act (HIPAA) of 1996 ▪ Section 282.318, F.S. ▪ Sections 282.601-282.606, F.S. |

Table 7: System, Connectivity, and Security

b) Development and Procurement Approach

The proposed system is anticipated to be a COTS or Framework solution requiring minimal development effort. The DOEA-required functionality will be inherent or can be accomplished primarily through configuration with occasional minor development.

The procurement strategy for eCIRTS is discussed in Section III.B: Successful Procurement.

c) Internal and External Interfaces

The eCIRTS will need to interface with several external entities, which include the following.

| ORGANIZATION | INTERFACES | INBOUND/ OUTBOUND | FREQUENCY |
|---------------------------------------|--|----------------------|-------------|
| Agency for Health Care Administration | Active waiver enrollment information for Statewide Medicaid Managed Care (SMMC) Long Term Care (LTC) and Program of All-Inclusive Care for the Elderly programs. | Inbound | Tri-monthly |
| Agency for Health Care Administration | Previously active, but now terminated, enrollment information. | Inbound | Tri-monthly |
| Agency for Health Care Administration | Complaints related to SMMC LTC waiver. Consumed by Independent Consumer Support Program used by the Medicaid Waiver/ADRC Unit. | Inbound | Daily |
| Agency for Health Care Administration | Level of Care data. | Outbound | Monthly |
| Department of Children and Families | DCF sends information about individuals who are being served by DCF in state programs and who are about to become 60 years old making them DOEA's responsibility. | Inbound | Quarterly |
| Department of Children and Families | Level of Care data. | Outbound | Daily |
| Department of Health | Death certificate data of individuals age 18 or older. | Inbound | Daily |
| Enrollment Broker | Client information with the Comprehensive Assessment and Review for Long Term Care Services, Level of Care determinations for the SMMC LTC program. | Outbound | Daily |
| Enrollment Broker | CARES' 701B assessments (pdf format) for client data referenced in the row above with a community recommendation (not nursing home clients) to the enrollment broker for the SMMC LTC program. | Outbound | Daily |
| Service Providers | Data is imported into CIRTS by using the DOEA Electronic Data Interchange (EDI) File Exchange system. | Inbound | Ad hoc |

Table 8: Internal and External Interfaces

d) **Maturity and Life Expectancy of the Technology**

The proposed solution for eCIRTS must be commonly available to health and social services organizations and be an established system using a mature industry standard technology available for over five years.

e) **Other System(s) Proposed Solution must Integrate With**

If not already included, the proposed solution for eCIRTS must be able to integrate with a robust content management system which is scalable to accommodate a consistently increasing elder client population.

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

The full breakdown of DOEA’s staffing requirements and funding sources are located in Appendix A: Cost Benefit Analysis – Tab: CBAForm2A Baseline Project Budget.

The selection of a vendor through the Alternate Contract Source will determine the full technical platform, hardware, software, and staffing requirements needed for eCIRTS. The minimum software requirements for eCIRTS is to use web-based technologies in conjunction with the existing DOEA standards for computer operating systems with the addition of mobile accessibility. The intent of the eCIRTS project is to use existing staff resources to operate and maintain the new system; therefore, no additional full-time/permanent staffing is needed.

E. Capacity Planning (historical and current trends versus projected requirements)

1. How the Estimates were Derived

The objective of Capacity Planning is to verify a proposed solution which can absorb the current data stores and transaction loads, as well as provide the capability to meet the projected future demands of DOEA. CIRTS is currently hosted at the Department of Management Services, Division of State Technology (DST) State Data Center (now the Department of Management Services, Florida Digital Service (FL[DS])) on a shared clustered server environment. Using information available from the DST State Data Center, DOEA estimates the following minimum capacity requirements. DST was unable to provide CIRTS-specific average and peak utilization information.

| Metric | Fiscal YTD |
|----------------------|----------------------|
| Number of Users | 2,025 |
| System Availability | Minimum 99.9% uptime |
| Number of Outages | 0 |
| Database Storage | 100 GB |
| Document Storage | 600 GB |
| Transactions | 1,100,000 |
| % Batch Transactions | 4.5 |
| % Minimum Growth | 2.5 |
| Peak arrival | Unavailable |
| Peak day | Unavailable |
| Peak day count | Unavailable |

Table 9: Capacity Planning

2. Assumptions and Constraints

The following assumptions and constraints have been identified regarding capacity planning for consideration in moving forward with the eCIRTS project.

| ASSUMPTIONS | CONSTRAINTS |
|--|--|
| The proposed system will have sufficient capacity to store all current DOEA client-related data and documents as well as projected growth. | Appropriate funding amounts for the eCIRTS project is subject to approval by the Florida Legislature and U.S. Department of Health and Human Services (HHS), Centers for Medicare and Medicaid Services (CMS) as needed. |
| The proposed system will be scalable and extensible to meet the needs of DOEA’s increasing client population. | |
| The proposed system will be configurable to make necessary modifications to accommodate changes to DOEA’s dynamic business needs. | |

Table 10: Assumptions and Constraints

3. Management Summary of the Issues

DOEA’s current CIRTS application has met its end of life and is no longer extensible or supportable. This impacts DOEA’s ability to meet the resource demands from its growing client population.

4. Service Summary with Current and Forecasted Concerns

A major concern of the current CIRTS system is that it experiences frequent downtime which interrupts the ability for DOEA staff to perform their job duties. From March 2014 through August 2017 (42 months), DOEA IT submitted 1,320 support tickets to DST, an average of approximately 30 tickets per month. Approximately 95% of the tickets were related to CIRTS. The need to submit tickets to support CIRTS is expected to continually increase as the Oracle resources currently in use have reached the end of support life thereby making the system more unstable and unreliable over time. The replacement system is expected to have minimal downtime guaranteed through the execution of a Service Level Agreement with the vendor.

5. Options and Alternatives Considered

DOEA considered several options for upgrading the system or doing a custom development to replace the system. A full description of the options and alternatives considered for the scope of this project, including custom, COTS, and framework solutions, are found in Appendix F: CIRTS Market Analysis.

6. Recommendations for the Effort

To support the effort of migrating from the existing on-premises legacy CIRTS to a cloud-centric client management system, it is recommended that the following actions be taken:

- Determine the number of unique client records in the current system;
- Determine the amount of data in the current system;

- Determine the average amount of data transferred daily;
- Determine the average amount of daily transactions;
- Determine the amount of paper records needing to be scanned and imported into the replacement system; and
- Determine what new workflow functionality can be used to automate DOEA business rules.

VII. Schedule IV-B Project Management Planning

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

The project planning components for the eCIRTS project, including project scope, project phasing plan, and project organization, are outlined in Appendix O: eCIRTS Operational Work Plan.

The eCIRTS project quality assurance plan, risk management, and implementation plan are outlined in Appendix G: Project Management Plan and Appendix O: eCIRTS Operational Work Plan.

The Master Project Schedule for the eCIRTS project is attached as Appendix K and Appendix S.

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

| Appendix | Description |
|----------|---|
| A | Cost Benefit Analysis Workbook |
| B | Risk Assessment Tool and Risk Assessment Summary |
| C | Business Process Reengineering Document |
| D | Requirements Traceability Matrix |
| E | Project Glossary of Terms and Abbreviations |
| F | CIRTS Market Analysis |
| G | Project Management Plan (includes Implementation Plan, Risk Management Plan, and Organizational Change Management Plan) |
| H | DOEA eCIRTS Schedule IV-B Section VI Technology Planning |
| I | CIRTS User Guide (for CARES, 2013 version) |
| J | Service Level Agreement between DOEA and DST |
| K | Master Project Schedule |
| L | CIRTS User Guide (for Aging Networks, 2007 version) |
| M | National Association of State Procurement Officials (NASPO) Master Agreement No. AR2472 |
| N | NASPO Pricing Sheet |
| O | eCIRTS Operational Work Plan |
| P | Project Organization Chart |
| Q | eCIRTS Transition Plan Approach |
| R | eCIRTS Statement of Work for Implementation |
| S | eCIRTS Project Schedule |
| T | eCIRTS Project Spend Plan for FY 2020-21 – FY 2026-27 |
| U | First Amendment to eCIRTS Statement of Work for Implementation |

CBAForm 1 - Net Tangible Benefits

| | | | |
|--------|-----------------------------|---------|---|
| Agency | Department of Elder Affairs | Project | Enterprise Client Information and Registration Tracking System (eCIRTS) |
|--------|-----------------------------|---------|---|

| 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 2022-23 | | | FY 2023-24 | | | FY 2024-25 | | | FY 2025-26 | | | FY 2026-27 | | |
| | (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 | \$954,122 | \$0 | \$954,122 | \$954,122 | -\$156,000 | \$798,122 | \$798,122 | \$0 | \$798,122 | \$798,122 | \$0 | \$798,122 | \$798,122 | \$0 | \$798,122 |
| A.b Total Staff | 20.50 | 0.00 | 20.50 | 20.50 | -1.00 | 19.50 | 19.50 | 0.00 | 19.50 | 19.50 | 0.00 | 19.50 | 19.50 | 0.00 | 19.50 |
| A-1.a. State FTEs (Salaries & Benefits) | \$603,066 | \$0 | \$603,066 | \$603,066 | \$0 | \$603,066 | \$603,066 | \$0 | \$603,066 | \$603,066 | \$0 | \$603,066 | \$603,066 | \$0 | \$603,066 |
| A-1.b. State FTEs (#) | 15.00 | 0.00 | 15.00 | 15.00 | 0.00 | 15.00 | 15.00 | 0.00 | 15.00 | 15.00 | 0.00 | 15.00 | 15.00 | 0.00 | 15.00 |
| A-2.a. OPS Staff (Salaries) | \$195,056 | \$0 | \$195,056 | \$195,056 | \$0 | \$195,056 | \$195,056 | \$0 | \$195,056 | \$195,056 | \$0 | \$195,056 | \$195,056 | \$0 | \$195,056 |
| A-2.b. OPS (#) | 4.50 | 0.00 | 4.50 | 4.50 | 0.00 | 4.50 | 4.50 | 0.00 | 4.50 | 4.50 | 0.00 | 4.50 | 4.50 | 0.00 | 4.50 |
| A-3.a. Staff Augmentation (Contract Cost) | \$156,000 | \$0 | \$156,000 | \$156,000 | -\$156,000 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| A-3.b. Staff Augmentation (# of Contractors) | 1.00 | 0.00 | 1.00 | 1.00 | -1.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| B. Application Maintenance Costs | \$824,432 | \$82,443 | \$906,875 | \$906,875 | \$90,688 | \$997,563 | \$997,563 | -\$997,563 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-1. Managed Services (Staffing) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-2. Hardware | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-3. Software | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-4. Other <i>Singular, Aggregate DST/FL [DS] Bill</i> | \$824,432 | \$82,443 | \$906,875 | \$906,875 | \$90,688 | \$997,563 | \$997,563 | -\$997,563 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C. Data Center Provider Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-1. Managed Services (Staffing) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-2. Infrastructure | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-3. Network / Hosting Services | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-4. Disaster Recovery | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-5. Other <i>Specify</i> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| D. Plant & Facility Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E. Other Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-1. Training | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-2. Travel | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-3. Other <i>Specify</i> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Total of Recurring Operational Costs | \$1,778,554 | \$82,443 | \$1,860,997 | \$1,860,997 | -\$65,312 | \$1,795,685 | \$1,795,685 | -\$997,563 | \$798,122 | \$798,122 | \$0 | \$798,122 | \$798,122 | \$0 | \$798,122 |
| F. Additional Tangible Benefits: | | \$71,166 | | | \$71,166 | | | \$71,166 | | | \$71,166 | | | \$71,166 | |
| F-1. <i>Miscellaneous Tangible Benefits</i> | | \$71,166 | | | \$71,166 | | | \$71,166 | | | \$71,166 | | | \$71,166 | |
| F-2. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-3. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| Total Net Tangible Benefits: | | (\$11,277) | | | \$136,478 | | | \$1,068,729 | | | \$71,166 | | | \$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 | 90% |
| 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 Elder Affairs | Enterprise Client Information and Registration Tracking System (eCIRTS) | | | 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. | | | FY2022-23 | | | FY2023-24 | | | FY2024-25 | | | FY2025-26 | | | FY2026-27 | | | TOTAL | |
| 3 | \$ 8,148,179 | | | \$ 2,289,633 | | | \$ 2,199,446 | | | \$ 2,257,770 | | | \$ 2,317,843 | | | \$ 2,379,719 | | | \$ 19,592,591 | |
| 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 | \$ 97,477 | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ 97,477 |
| 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 | \$ 1,243,549 | 1.00 | \$ 156,000 | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ 1,399,549 |
| 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 | \$ 6,622,155 | 8.00 | \$ 2,133,633 | \$ - | 8.00 | \$ 2,199,446 | \$ - | 8.00 | \$ 2,257,770 | \$ - | 8.00 | \$ 2,317,843 | \$ - | 8.00 | \$ 2,379,719 | \$ - | \$ 17,910,566 |
| 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 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - |
| 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 | Expenses | \$ 184,998 | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ 184,998 |
| 19 | Include costs associated with leasing space for project personnel. | Leased Space | Expenses | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - |
| 20 | Other project expenses not included in other categories. | Other Expenses | Expenses | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - |
| 21 | Total | | | \$ 8,148,179 | 9.00 | \$ 2,289,633 | \$ - | 8.00 | \$ 2,199,446 | \$ - | 8.00 | \$ 2,257,770 | \$ - | 8.00 | \$ 2,317,843 | \$ - | 8.00 | \$ 2,379,719 | \$ - | \$ 19,592,591 |

CBAForm 2 - Project Cost Analysis

| | | | |
|---------------|------------------------------------|----------------|--|
| Agency | <u>Department of Elder Affairs</u> | Project | <u>Enterprise Client Information and Registration Tracking System (eCIRTS)</u> |
|---------------|------------------------------------|----------------|--|

| PROJECT COST SUMMARY | PROJECT COST SUMMARY (from CBAForm 2A) | | | | | TOTAL |
|--|--|--------------|--------------|--------------|--------------|--------------|
| | FY 2022-23 | FY 2023-24 | FY 2024-25 | FY 2025-26 | FY 2026-27 | |
| TOTAL PROJECT COSTS (*) | \$2,289,633 | \$2,199,446 | \$2,257,770 | \$2,317,843 | \$2,379,719 | \$19,592,591 |
| CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related Costs)</i> | \$10,437,812 | \$12,637,258 | \$14,895,028 | \$17,212,871 | \$19,592,591 | |

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

| PROJECT FUNDING SOURCES | PROJECT FUNDING SOURCES - CBAForm 2B | | | | | TOTAL |
|---|--------------------------------------|-------------|-------------|-------------|--------------|--------------|
| | FY 2022-23 | FY 2023-24 | FY 2024-25 | FY 2025-26 | FY 2026-27 | |
| General Revenue | \$367,944 | \$353,451 | \$362,824 | \$372,477 | \$382,421 | \$1,839,117 |
| Trust Fund | \$1,441,267 | \$1,384,496 | \$1,421,210 | \$1,459,024 | \$1,497,974 | \$7,203,971 |
| Federal Match <input checked="" type="checkbox"/> | \$480,422 | \$461,499 | \$473,737 | \$486,341 | \$499,325 | \$2,401,324 |
| Grants <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Other <input type="checkbox"/> Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| TOTAL INVESTMENT | \$2,289,633 | \$2,199,446 | \$2,257,770 | \$2,317,843 | \$2,379,719 | \$11,444,411 |
| CUMULATIVE INVESTMENT | \$2,289,633 | \$4,489,079 | \$6,746,849 | \$9,064,692 | \$11,444,411 | |

| Characterization of Project Cost Estimate - CBAForm 2C | | |
|--|---------------------|---------------|
| Choose Type | Estimate Confidence | Enter % (+/-) |
| Detailed/Rigorous | Confidence Level | |
| Order of Magnitude <input checked="" type="checkbox"/> | Confidence Level | 90% |
| Placeholder | Confidence Level | |

CBAForm 3 - Project Investment Summary

| | | | |
|---------------|------------------------------------|----------------|--|
| Agency | <u>Department of Elder Affairs</u> | Project | <u>Enterprise Client Information and Registration Tracking System (eCIRTS)</u> |
|---------------|------------------------------------|----------------|--|

| <i>COST BENEFIT ANALYSIS -- CBAForm 3A</i> | | | | | | |
|--|----------------|---------------|---------------|---------------|---------------|------------------------|
| | FY 2022-23 | FY 2023-24 | FY 2024-25 | FY 2025-26 | FY 2026-27 | TOTAL FOR ALL YEARS |
| Project Cost | \$2,289,633 | \$2,199,446 | \$2,257,770 | \$2,317,843 | \$2,379,719 | \$19,592,591 |
| Net Tangible Benefits | (\$11,277) | \$136,478 | \$1,068,729 | \$71,166 | \$0 | \$1,265,096 |
| Return on Investment | (\$10,449,089) | (\$2,062,968) | (\$1,189,041) | (\$2,246,677) | (\$2,379,719) | (\$18,327,495) |
| Year to Year Change in Program Staffing | 0 | (1) | 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) | (\$17,188,409) | 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 2022-23 | FY 2023-24 | FY 2024-25 | FY 2025-26 | FY 2026-27 |
| Cost of Capital | 2.69% | 2.90% | 3.09% | 3.29% | 3.48% |

| | B | C | D | E | F | G | H | | | | |
|----|--|-----------|--|--|------------------|---|----------------------|--------------|---|--|--|
| 3 | Project | | <i>Enterprise Client Information and Registration Tracking System (eCIRTS)</i> | | | | | | | | |
| 4 | | | | | | | | | | | |
| 5 | Agency | | <i>Department of Elder Affairs</i> | | | | | | | | |
| 6 | FY 2022-23 LBR Issue Code: | | | FY 2022-23 LBR Issue Title: | | | | | | | |
| 7 | <i>36207C0</i> | | | <i>ENTERPRISE CLIENT INFORMATION AND REGISTRATION TRACKING SYSTEM (eCIRTS) PROJECT</i> | | | | | | | |
| 8 | Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | | | | | | | | | |
| 9 | <i>Shandra McGlohon ----- 850-414-2317 ----- mcglohonsa@elderaffairs.org</i> | | | | | | | | | | |
| 10 | Executive Sponsor | | <i>Richard Prudom, Secretary of Elder Affairs</i> | | | | | | | | |
| 11 | Project Manager | | <i>Gary Didio</i> | | | | | | | | |
| 12 | Prepared By | | <i>Shandra McGlohon</i> | | <i>8/16/2021</i> | | | | | | |
| 14 | Risk Assessment Summary | | | | | | | | | | |
| 15 | <div style="display: flex; align-items: center; justify-content: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-weight: bold; margin-right: 10px;">Business Strategy</div> <table border="1" style="border-collapse: collapse; width: 100%; height: 100%;"> <tr> <td style="width: 50%; height: 50%;"></td> <td style="width: 50%; height: 50%; text-align: center; vertical-align: middle;">◆</td> </tr> <tr> <td style="width: 50%; height: 50%;"></td> <td style="width: 50%; height: 50%;"></td> </tr> </table> </div> | | | | | | | | ◆ | | |
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| 16 | | | | | | | | | | | |
| 17 | | | | | | | | Most Aligned | | | |
| 18 | | | | | | | | | | | |
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| 28 | | | | | | | | | | | |
| 29 | Least Aligned | | | | | | | | | | |
| 30 | Least Risk | Most Risk | | | | | | | | | |
| 31 | Level of Project Risk | | | | | | | | | | |
| 32 | | | | | | | | | | | |
| 34 | Project Risk Area Breakdown | | | | | | | | | | |
| 35 | Risk Assessment Areas | | | | | | <i>Risk Exposure</i> | | | | |
| 36 | | | | | | | MEDIUM | | | | |
| 37 | | | | | | | MEDIUM | | | | |
| 38 | | | | | | | MEDIUM | | | | |
| 39 | | | | | | | MEDIUM | | | | |
| 40 | | | | | | | MEDIUM | | | | |
| 41 | | | | | | | MEDIUM | | | | |
| 42 | | | | | | | LOW | | | | |
| 43 | | | | | | | MEDIUM | | | | |
| 44 | | | | | | | MEDIUM | | | | |
| 45 | | | | | | | MEDIUM | | | | |
| 46 | | | | | | | HIGH | | | | |
| 47 | | | | | | | MEDIUM | | | | |
| 48 | | | | | | | MEDIUM | | | | |
| 49 | | | | | | | HIGH | | | | |
| 50 | | | | | | | HIGH | | | | |
| 51 | | | | | | | HIGH | | | | |
| 52 | | | | | | | HIGH | | | | |
| 53 | Overall Project Risk | | | | | | HIGH | | | | |

| | B | C | D | E |
|----|---|---|--|--|
| 1 | Agency: Department of Elder Affairs Project: Enterprise Client Information and Registration Tracking System (eCIRTS) | | | |
| 3 | Section 1 -- Strategic Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 1.01 | Are project objectives clearly aligned with the agency's legal mission? | 0% to 40% -- Few or no objectives aligned | 81% to 100% -- All or nearly all objectives aligned |
| 6 | | | 41% to 80% -- Some objectives aligned | |
| 7 | | | 81% to 100% -- All or nearly all objectives aligned | |
| 8 | 1.02 | Are project objectives clearly documented and understood by all stakeholder groups? | Not documented or agreed to by stakeholders | Documented with sign-off by stakeholders |
| 9 | | | Informal agreement by stakeholders | |
| 10 | | | Documented with sign-off by stakeholders | |
| 11 | 1.03 | Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project? | Not or rarely involved | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings |
| 12 | | | Most regularly attend executive steering committee meetings | |
| 13 | | | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings | |
| 14 | 1.04 | Has the agency documented its vision for how changes to the proposed technology will improve its business processes? | Vision is not documented | Vision is completely documented |
| 15 | | | Vision is partially documented | |
| 16 | | | Vision is completely documented | |
| 17 | 1.05 | Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented? | 0% to 40% -- Few or none defined and documented | 81% to 100% -- All or nearly all defined and documented |
| 18 | | | 41% to 80% -- Some defined and documented | |
| 19 | | | 81% to 100% -- All or nearly all defined and documented | |
| 20 | 1.06 | Are all needed changes in law, rule, or policy identified and documented? | No changes needed | Changes are identified and documented |
| 21 | | | Changes unknown | |
| 22 | | | Changes are identified in concept only | |
| 23 | | | Changes are identified and documented | |
| 24 | | | Legislation or proposed rule change is drafted | |
| 25 | 1.07 | Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions? | Few or none | All or nearly all |
| 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: Department of Elder Affairs Project: Enterprise Client Information and Registration Tracking System (eCIRTS) | | | |
| 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 for implementation and operations |
| 11 | | | External technical resources will be needed through implementation only | |
| 12 | | | Internal resources have sufficient knowledge for implementation and operations | |
| 13 | 2.03 | Have all relevant technical alternatives/solution options been researched, documented and considered? | No technology alternatives researched | All or nearly all alternatives documented and considered |
| 14 | | | Some alternatives documented and considered | |
| 15 | | | All or nearly all alternatives documented and considered | |
| 16 | 2.04 | Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards? | No relevant standards have been identified or incorporated into proposed technology | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards |
| 17 | | | Some relevant standards have been incorporated into the proposed technology | |
| 18 | | | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards | |
| 19 | 2.05 | Does the proposed technical solution require significant change to the agency's existing technology infrastructure? | Minor or no infrastructure change required | 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 Elder Affairs Project: Enterprise Client Information and Registration Tracking System (eCIRTS) | | | |
| 3 | Section 3 -- Organizational Change Management Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 3.01 | What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented? | Extensive changes to organization structure, staff or business processes | Moderate changes to organization structure, staff or business processes |
| 6 | | | Moderate changes to organization structure, staff or business processes | |
| 7 | | | Minimal changes to organization structure, staff or business processes structure | |
| 8 | 3.02 | Will this project impact essential business processes? | Yes | Yes |
| 9 | | | No | |
| 10 | 3.03 | Have all business process changes and process interactions been defined and documented? | 0% to 40% -- Few or no process changes defined and documented | 81% to 100% -- All or nearly all processes defined and documented |
| 11 | | | 41% to 80% -- Some process changes defined and documented | |
| 12 | | | 81% to 100% -- All or nearly all processes defined and documented | |
| 13 | 3.04 | Has an Organizational Change Management Plan been approved for this project? | Yes | Yes |
| 14 | | | No | |
| 15 | 3.05 | Will the agency's anticipated FTE count change as a result of implementing the project? | Over 10% FTE count change | Less than 1% FTE count change |
| 16 | | | 1% to 10% FTE count change | |
| 17 | | | Less than 1% FTE count change | |
| 18 | 3.06 | Will the number of contractors change as a result of implementing the project? | Over 10% contractor count change | Less than 1% contractor count change |
| 19 | | | 1 to 10% contractor count change | |
| 20 | | | Less than 1% contractor count change | |
| 21 | 3.07 | What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented? | Extensive change or new way of providing/receiving services or information) | 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) | No experience/Not recently (>5 Years) |
| 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: Department of Elder Affairs | | Project: Enterprise Client Information and Registration Tracking System (eCIRTS) | |
| 3 | Section 4 -- Communication Area | | | |
| 4 | # | Criteria | Value Options | Answer |
| 5 | 4.01 | Has a documented Communication Plan been approved for this project? | Yes | Yes |
| 6 | | | No | |
| 7 | 4.02 | Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)? | Negligible or no feedback in Plan | Proactive use of feedback in Plan |
| 8 | | | Routine feedback in Plan | |
| 9 | | | Proactive use of feedback in Plan | |
| 10 | 4.03 | Have all required communication channels been identified and documented in the Communication Plan? | Yes | Yes |
| 11 | | | No | |
| 12 | 4.04 | Are all affected stakeholders included in the Communication Plan? | Yes | Yes |
| 13 | | | No | |
| 14 | 4.05 | Have all key messages been developed and documented in the Communication Plan? | Plan does not include key messages | All or nearly all messages are documented |
| 15 | | | Some key messages have been developed | |
| 16 | | | All or nearly all messages are documented | |
| 17 | 4.06 | Have desired message outcomes and success measures been identified in the Communication Plan? | Plan does not include desired messages outcomes and success measures | All or nearly all messages have success measures |
| 18 | | | Success measures have been developed for some messages | |
| 19 | | | All or nearly all messages have success measures | |
| 20 | 4.07 | Does the project Communication Plan identify and assign needed staff and resources? | Yes | Yes |
| 21 | | | No | |

| | B | C | D | E |
|----|-------------------------------------|--|---|---|
| 1 | Agency: Department of Elder Affairs | | Project: Enterprise Client Information and Registration Tracking System (eCIRTS) | |
| 3 | Section 5 – Fiscal Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 5.01 | Has a documented Spending Plan been approved for the entire project lifecycle? | Yes | Yes |
| 6 | | | No | |
| 7 | 5.02 | Have all project expenditures been identified in the Spending Plan? | 0% to 40% – None or few defined and documented | 81% to 100% – All or nearly all defined and documented |
| 8 | | | 41% to 80% – Some defined and documented | |
| 9 | | | 81% to 100% – All or nearly all defined and documented | |
| 10 | 5.03 | What is the estimated total cost of this project over its entire lifecycle? | Unknown | Greater than \$10 M |
| 11 | | | Greater than \$10 M | |
| 12 | | | Between \$2 M and \$10 M | |
| 13 | | | Between \$500K and \$1,999,999 | |
| 14 | | | Less than \$500 K | |
| 15 | 5.04 | Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model? | Yes | Yes |
| 16 | | | No | |
| 17 | 5.05 | What is the character of the cost estimates for this project? | Detailed and rigorous (accurate within ±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 | Requested and received |
| 26 | | | Requested but not received | |
| 27 | | | Requested and received | |
| 28 | | | Not applicable | |
| 29 | 5.09 | Have all tangible and intangible benefits been identified and validated as reliable and achievable? | Project benefits have not been identified or validated | All or nearly all project benefits have been identified and validated |
| 30 | | | Some project benefits have been identified but not validated | |
| 31 | | | Most project benefits have been identified but not validated | |
| 32 | | | All or nearly all project benefits have been identified and validated | |
| 33 | 5.10 | What is the benefit payback period that is defined and documented? | Within 1 year | 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) | Firm Fixed Price (FFP) |
| 42 | | | Firm Fixed Price (FFP) | |
| 43 | | | Combination FFP and T&E | |
| 44 | 5.13 | What is the planned approach for procuring hardware and software for the project? | Timing of major hardware and software purchases has not yet been determined | Purchase all hardware and software at start of project to take advantage of one-time discounts |
| 45 | | | Purchase all hardware and software at start of project to take advantage of one-time discounts | |
| 46 | | | Just-in-time purchasing of hardware and software is documented in the project schedule | |
| 47 | 5.14 | Has a contract manager been assigned to this project? | No contract manager assigned | Contract manager assigned is not the procurement manager or the project manager |
| 48 | | | Contract manager is the procurement manager | |
| 49 | | | Contract manager is the project manager | |
| 50 | | | Contract manager assigned is not the procurement manager or the project manager | |
| 51 | 5.15 | Has equipment leasing been considered for the project's large-scale computing purchases? | Yes | Yes |
| 52 | | | No | |
| 53 | 5.16 | Have all procurement selection criteria and outcomes been clearly identified? | No selection criteria or outcomes have been identified | All or nearly all selection criteria and expected outcomes have been defined and documented |
| 54 | | | Some selection criteria and outcomes have been defined and documented | |
| 55 | | | All or nearly all selection criteria and expected outcomes have been defined and documented | |
| 56 | 5.17 | Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate? | Procurement strategy has not been developed | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |
| 57 | | | Multi-stage evaluation not planned/used for procurement | |
| 58 | | | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor | |
| 59 | 5.18 | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response? | Procurement strategy has not been developed | 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 | |

| | B | C | D | E |
|----|--|--|--|--|
| 1 | Agency: Department of Elder AffairsProject: Enterprise Client Information and Registration Tracking System (eCIRTS) | | | |
| 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 | 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 | No, project manager is assigned 50% or less to project |
| 20 | | | No, project manager is assigned 50% or less to project | |
| 21 | | | No, project manager assigned more than half-time, but less than full-time to project | |
| 22 | | | Yes, experienced project manager dedicated full-time, 100% to project | |
| 23 | 6.07 | Are qualified project management team members dedicated full-time to the project | None | No, business, functional or technical experts dedicated more than half-time but less than full-time to project |
| 24 | | | No, business, functional or technical experts dedicated 50% or less to project | |
| 25 | | | No, business, functional or technical experts dedicated more than half-time but less than full-time to project | |
| 26 | | | Yes, business, functional or technical experts dedicated full-time, 100% to project | |
| 27 | 6.08 | Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources? | Few or no staff from in-house resources | Half of staff from in-house resources |
| 28 | | | Half of staff from in-house resources | |
| 29 | | | Mostly staffed from in-house resources | |
| 30 | | | Completely staffed from in-house resources | |
| 31 | 6.09 | Is agency IT personnel turnover expected to significantly impact this project? | Minimal or no impact | Moderate impact |
| 32 | | | Moderate impact | |
| 33 | | | Extensive impact | |
| 34 | 6.10 | Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost? | Yes | Yes |
| 35 | | | No | |
| 36 | 6.11 | Are all affected stakeholders represented by functional manager on the change review and control board? | No board has been established | Yes, all stakeholders are represented by functional manager |
| 37 | | | No, only IT staff are on change review and control board | |
| 38 | | | No, all stakeholders are not represented on the board | |
| 39 | | | Yes, all stakeholders are represented by functional manager | |

| | B | C | D | E |
|----|--|--|--|--|
| 1 | Agency: Department of Elder Affairs Project: Enterprise Client Information and Registration Tracking System (eCIRTS) | | | |
| 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 | Project Management team will use the methodology selected by the systems integrator |
| 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 | None |
| 9 | | | 1-3 | |
| 10 | | | More than 3 | |
| 11 | 7.03 | How many members of the project team are proficient in the use of the selected project management methodology? | None | Some |
| 12 | | | Some | |
| 13 | | | All or nearly all | |
| 14 | 7.04 | Have all requirements specifications been unambiguously defined and documented? | 0% to 40% -- None or few have been defined and documented | 81% to 100% -- All or nearly all have been defined and documented |
| 15 | | | 41 to 80% -- Some have been defined and documented | |
| 16 | | | 81% to 100% -- All or nearly all have been defined and documented | |
| 17 | 7.05 | Have all design specifications been unambiguously defined and documented? | 0% to 40% -- None or few have been defined and documented | 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 | All or nearly all 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 | 81% to 100% -- All or nearly all have been defined to the work package level |
| 30 | | | 41 to 80% -- Some have been defined to the work package level | |
| 31 | | | 81% to 100% -- All or nearly all have been defined to the work package level | |
| 32 | 7.10 | Has a documented project schedule been approved for the entire project lifecycle? | Yes | Yes |
| 33 | | | No | |
| 34 | 7.11 | Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources? | Yes | Yes |
| 35 | | | No | |
| 36 | 7.12 | Are formal project status reporting processes documented and in place to manage and control this project? | No or informal processes are used for status reporting | Project team and executive steering committee use formal status reporting processes |
| 37 | | | Project team uses formal processes | |
| 38 | | | Project team and executive steering committee use formal status reporting processes | |
| 39 | 7.13 | Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available? | No templates are available | All planning and reporting templates are available |
| 40 | | | Some templates are available | |
| 41 | | | All planning and reporting templates are available | |
| 42 | 7.14 | Has a documented Risk Management Plan been approved for this project? | Yes | Yes |
| 43 | | | No | |
| 44 | 7.15 | Have all known project risks and corresponding mitigation strategies been identified? | None or few have been defined and documented | All known risks and mitigation strategies have been defined |
| 45 | | | Some have been defined and documented | |
| 46 | | | All known risks and mitigation strategies have been defined | |
| 47 | 7.16 | Are standard change request, review and approval processes documented and in place for this project? | Yes | Yes |
| 48 | | | No | |
| 49 | 7.17 | Are issue reporting and management processes documented and in place for this project? | Yes | Yes |
| 50 | | | No | |

| | B | C | D | E |
|----|---|--|--|-------------------------------------|
| 1 | Agency: Department of Elder Affairs Project: Enterprise Client Information and Registration Tracking System (eCIRTS) | | | |
| 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 | Greater than 15 |
| 19 | | | 9 to 15 | |
| 20 | | | 5 to 8 | |
| 21 | | | Less than 5 | |
| 22 | 8.06 | How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system? | More than 4 | More than 4 |
| 23 | | | 2 to 4 | |
| 24 | | | 1 | |
| 25 | | | None | |
| 26 | 8.07 | What is the impact of the project on state operations? | Business process change in single division or bureau | Agency-wide business process change |
| 27 | | | Agency-wide business process change | |
| 28 | | | Statewide or multiple agency business process change | |
| 29 | 8.08 | Has the agency successfully completed a similarly-sized project when acting as Systems Integrator? | Yes | No |
| 30 | | | No | |
| 31 | 8.09 | What type of project is this? | Infrastructure upgrade | Combination of the above |
| 32 | | | Implementation requiring software development or purchasing commercial off the shelf (COTS) software | |
| 33 | | | Business Process Reengineering | |
| 34 | | | Combination of the above | |
| 35 | 8.10 | Has the project manager successfully managed similar projects to completion? | No recent experience | Similar size and complexity |
| 36 | | | Lesser size and complexity | |
| 37 | | | Similar size and complexity | |
| 38 | | | Greater size and complexity | |
| 39 | 8.11 | Does the agency management have experience governing projects of equal or similar size and complexity to successful completion? | No recent experience | Similar size and complexity |
| 40 | | | Lesser size and complexity | |
| 41 | | | Similar size and complexity | |
| 42 | | | Greater size and complexity | |



Deliverable 2 – Business Process Reengineering Document

6/07/2017

Document Information

| | |
|---------------------------|---|
| Document Name | Business Process Reengineering Document |
| Document Author(s) | Deanna Settergren and Shawna Flager |
| Date Submitted | |

Revision History

| Date | Version | Revised By | Description |
|------------|---------|----------------------------------|---|
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| 2/28/17 | .002 | Deanna Settergren | Updated process flows and Definitions. |
| 2/28/17 | .003 | Shawna Flager | Updated process flows and Definitions. |
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| 3/08/17 | .005 | Deanna Settergren, Shawna Flager | Added To-Be process flows to table. |
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| 3/17/17 | .009 | Mark Ervin | Review |
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| 3/21/2017 | .011 | Shawna Flager | Updating Document with Feedback from John C. (PM) |
| 4/04/2017 | .012 | Deanna Settergren | Updating document with Feedback received from CARES Team |
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| 6/6/2017 | .017 | Deanna Settergren | Updated document with Feedback received from DOEA. |
| 6/7/2017 | 1.0 | Jenny Rojas | Sent to DOEA for Signature |

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1. Assumptions and Constraints

1.1. Assumptions

The following assumptions were used in developing Deliverable 2 - Business Process Reengineering Document:

Assumption(s)

- This deliverable contains high-level business process flows which illustrate the current and proposed processes in place for the Department of Elder Affairs (DOEA) as demonstrated from the Joint Application Development (JAD) sessions conducted by Strategic Alliance IT Group from January 17, 2017 – April 27, 2017.
- This deliverable contains a comprehensive intake, assessment, Pre-admission Screening and Resident Review (PASRR), staffing, care plans, and monitoring As-Is and To-Be process flows which includes all parties involved: DOEA, Comprehensive Assessment and Review for Long-Term Care Services (CARES) Office, Aging and Disability Resource Center (ADRC) Offices, and Lead Agency Offices.
- This deliverable will follow the approval process outlined in the Deliverable Expectations Document (DED).

1.2. Constraints

Constraints are restrictions or limitations the vendor must be aware of when submitting documentation that may impact the scope of work. The following constraints are applicable to this deliverable:

Constraint(s)

- DOEA work load may impact the availability of Subject Matter Experts (SMEs).
- The availability of DOEA staff to complete work assignments may impact the overall project schedule.
- Priority shifts and/or legislative mandates could have an impact on the CIRTIS project schedule.
- A fixed timeline has already been established for this project, which does not provide for variation in the project schedule.
- When deliverables are submitted for approval, they must be reviewed within the scheduled review timeframes to keep the project on schedule.
- Scope changes for the project must be managed effectively to maintain project schedule, manage risk and work within the approved project budget.

2. Introduction

2.1. Executive Summary

Deliverable 2 - Business Process Reengineering Document outlines the current (As-Is) and future (To-Be) business process workflows for DOEA. The business process flows encompass the primary business functions listed in the Request for Quote Scope of Work, also listed in table 4.1.

Business process reengineering (BPR) is the process of rethinking and redesigning the way work is currently done to look for opportunities to increase efficiencies by aligning with new technologies that will better support DOEA's mission today and in the future. The BPR effort included the activities involved in defining what DOEA does, who is responsible, to what standard a process should be completed, and how the success of a business process can be determined. The reengineering effort started with a high-level assessment of DOEA's mission, strategic goals and objectives, customer and staff needs, and an evaluation of DOEA's long range planning document. The team took this knowledge into the BPR sessions to work with DOEA subject matter experts to define as-is and to-be process flows as well as future requirements.

2.2. Business Objectives








The main objective of Deliverable 2 - Business Process Reengineering Document is to document the current business processes and identify the user group(s) which completes these activities. Using the knowledge gained during the As-Is process definition, the To-Be business process flows will be identified, along with associated requirements, and their integration points with the proposed enterprise technology solution.

The result of this effort will be the Business Process Reengineering Document which provides a clear, detailed, and comprehensive list of DOEA's business functional processes including the following:

- As-Is and To-Be Assumptions and Constraints;
- As-Is process flows for the current business processes;
- To-Be process flows for future business processes with integration points with the proposed solution;
- Reference to associated use cases (to be developed in detail in the next phase); and
- Level of criticality, business owner, and process for each requirement.

2.3. Process Flow Diagrams and Icon Definition

For each of the As-Is and To-Be process flow diagrams, a legend of icons has been developed to assist in identifying the types of interactions a user will experience. The icons are defined as follows:

-  Automatic System Action identifies where the technology system will automatically process information. No user interaction is required.
-  Scan and attach defines where a user will scan a current document and upload it to the technology solution.
-  Identifies where either correspondences or reports are being generated, either within the technology solution or manually.
-  Other System Lookup defines other technology solutions that use a manual interface with the DOEA current and/or future work process.
-  System identifies amount of active time spent on a client record. No user interaction is required.
-  System Assigned Task identifies when the system will automatically create and assign a task for completion.
-  Task or activity can be completed offline, when the system is unavailable.

2.4. Change Considerations

As the CIRTIS Project is implemented, there will be changes to the way work is conducted by DOEA. To more effectively identify these work changes, the definition documentation in the 'To-Be' Process Definition also includes additional information for the type of changes expected. The "Change Implications" column in the To-Be processes have been added and specifically addresses key areas for **training** activities, where external **communications** are needed, where manual processes will now be automated (**business/operations**), and points to areas where **policy** changes may be needed. These areas include:

- **Training** – Training considerations are important to identify and help the trainers focus on the areas of learning that are important to note in the training materials and for inclusion in the train-the-trainer sessions.
- **Communications** – In many circumstances, documents will need to have additional information to effectively make the necessary work changes. It is recommended DOEA create external communications materials to clearly describe new business processes.
- **Business/Operations** – In some circumstances, work activities will change to incorporate the new technology and reduce manual processes. These Process Definitions are delineated with 'Business/Operations' change implications.
- **Policy** – Policy changes may need to be considered in some areas where current policy does not adequately address changes in business processes.

3. Business Process Definition

The following sub-sections identify the process flow scenarios that illustrate business events related to the current (As-Is) and future (To-Be) process flows.

3.1. As-Is (AI) Process Flows Description

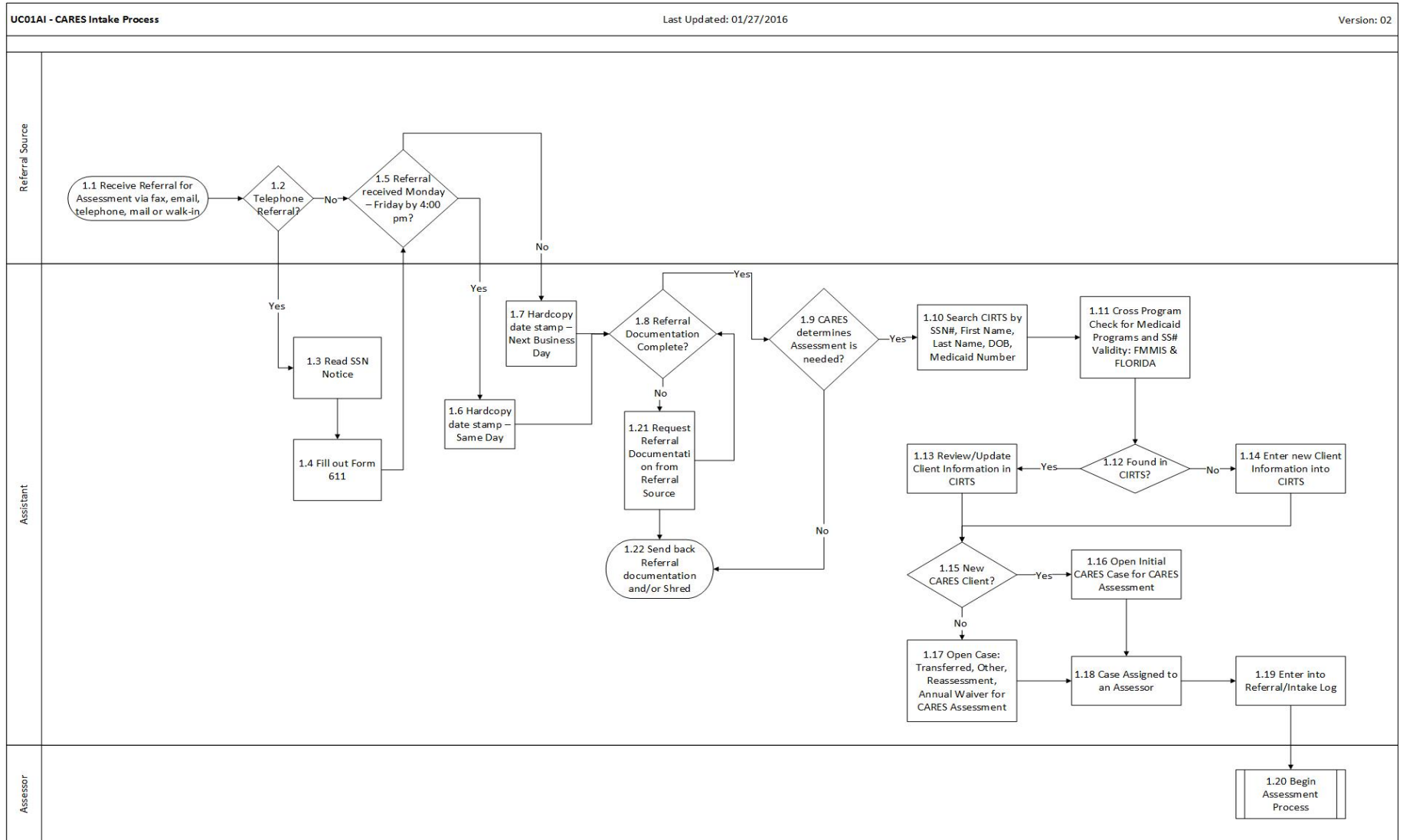
The As-Is process flows were derived from a series of JAD sessions in which DOEA staff members performed related business functions using the existing CIRTTS system. The following As-Is process flows are based on the current CIRTTS system and manual processes that support intake, placement, and monitoring.

| Use Case | Process Flow Description |
|----------|--|
| UC01AI | CARES Intake Process (Community, Hospital, NF) |
| UC02AI | CARES On-Site Assessment |
| UC03AI | CARES Medical Case File Review for Initial Referrals |
| UC04AI | CARES Staffing Process |
| UC05AI | CARES Level of Care Recommendation |
| UC06AI | CARES Follow-up Schedule Process |
| UC06-bAI | ADRC Intake and Follow-up Process |
| UC07AI | Pre-Admission Screening and Resident Review (PASRR) – Level I |
| UC07-bAI | Pre-Admission Screening and Resident Review (PASRR) – Level II |
| UC08AI | AAA/Lead Agency Budget and Care Plans |
| UC09AI | Grievance Handling |
| UC10AI | Monitoring CARES, ADRC, and Lead Agencies |
| UC11AI | Emergency Preparedness |

Table 3.1 – As-Is Process Flows

3.2. As-Is (AI) Process Flows Diagrams

3.2.1. UC01AI – CARES Intake Process



| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC01AI – Intake Process Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|--|---|-----------------------|
| | CARES Referral Source Process | | |
| 1.1 | Receive Referral for Assessment | <ul style="list-style-type: none"> Referrals begin the process for CARES Intake. Referrals can be in any form including such as: fax, mail, email, telephone, social media, or by a walk-in. All referral requests are accepted and processed. | None |
| 1.2 | Decision: Telephone Referral? | <ul style="list-style-type: none"> If Yes, proceed to step 1.3. If No, proceed to step 1.5. | |
| | Assistant Process | | |
| 1.3 | Read SSN Notice | <ul style="list-style-type: none"> If a referral is received by telephone, the assistant who answers the call and intakes the information, must read the SSN notice to the person on the telephone. | CARES Assistant |
| 1.4 | Complete Form 611 | <ul style="list-style-type: none"> If a referral is received by telephone, the assistant who answers the call uses the DOEA 611 Form to gather information needed for the demographics section of the client information in CIRTTS. | CARES Assistant |
| 1.5 | Decision: Referral Received Monday-Friday by 4:00 p.m.? | <ul style="list-style-type: none"> If Yes, proceed to step 1.6. If No, proceed to step 1.7. | CARES Assistant |
| 1.6 | Hardcopy date stamp – Same Day and Signed | <ul style="list-style-type: none"> When a referral is received, a date stamp must be applied to the document(s) indicating the date when it was received. If the referral is already in a hardcopy form, that date stamp is then applied directly to the document(s). If the referral is in electronic form, such as an email, the documents must be printed and the date stamp is applied to the document(s). If the referral is received Monday through Friday by 4:00 p.m. it will receive a date stamp of the same day. | CARES Assistant |

Deliverable 2 CIRTIS Business Process and Definition Document

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC01AI – Intake Process Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|--|--|-----------------------|
| 1.7 | Hardcopy date stamp – Next Business Day and Signed | <ul style="list-style-type: none"> When a referral is received, a date stamp must be applied to the document(s) indicating date when it was received. If the referral is already in a hardcopy form, that date stamp is then applied directly to the document(s). If the referral is in electronic form, such as an email, the documents are printed and the date stamp is applied to the document(s). If the referral is received Monday through Friday after 4:00 p.m. or on a weekend or holiday, or the next day is a weekend or holiday, the date stamp of the next business day is applied to the document(s). | CARES Assistant |
| 1.8 | Decision: Referral Documentation Complete? | <ul style="list-style-type: none"> If Yes, proceed to step 1.9. If No, proceed to step 1.21. | CARES Assistant |
| 1.9 | Decision: CARES Assessment Needed? | <ul style="list-style-type: none"> If Yes, proceed to step 1.10. If No, proceed to step 1.22. | CARES Assistant |
| 1.10 | Search Client Information in CIRTIS | <ul style="list-style-type: none"> To prevent duplication of client information in CIRTIS, an exhaustive search must be completed. The search criteria can be any combination of: Client SSN, first name, last name, date of birth, Medicaid identification number, or client identification number, if the client is already known to exist in CIRTIS. | CARES Assistant |
| 1.11 | Cross-Program Check for Medicaid Programs and SSN Validity | <ul style="list-style-type: none"> Checks in both FMMIS and FLORIDA systems are necessary to confirm the correct SSN has been entered for the client information. If the client has a Medicaid identification number, the number must be verified. If the SSN in CIRTIS does not match what is found for the client in FMMIS, the upload for the enrollment process will not complete. | CARES Assistant |
| 1.12 | Decision: Client Found in CIRTIS | <ul style="list-style-type: none"> If Yes, proceed to step 1.13. If No, proceed to step 1.14. | CARES Assistant |

Deliverable 2 CIRT Business Process and Definition Document

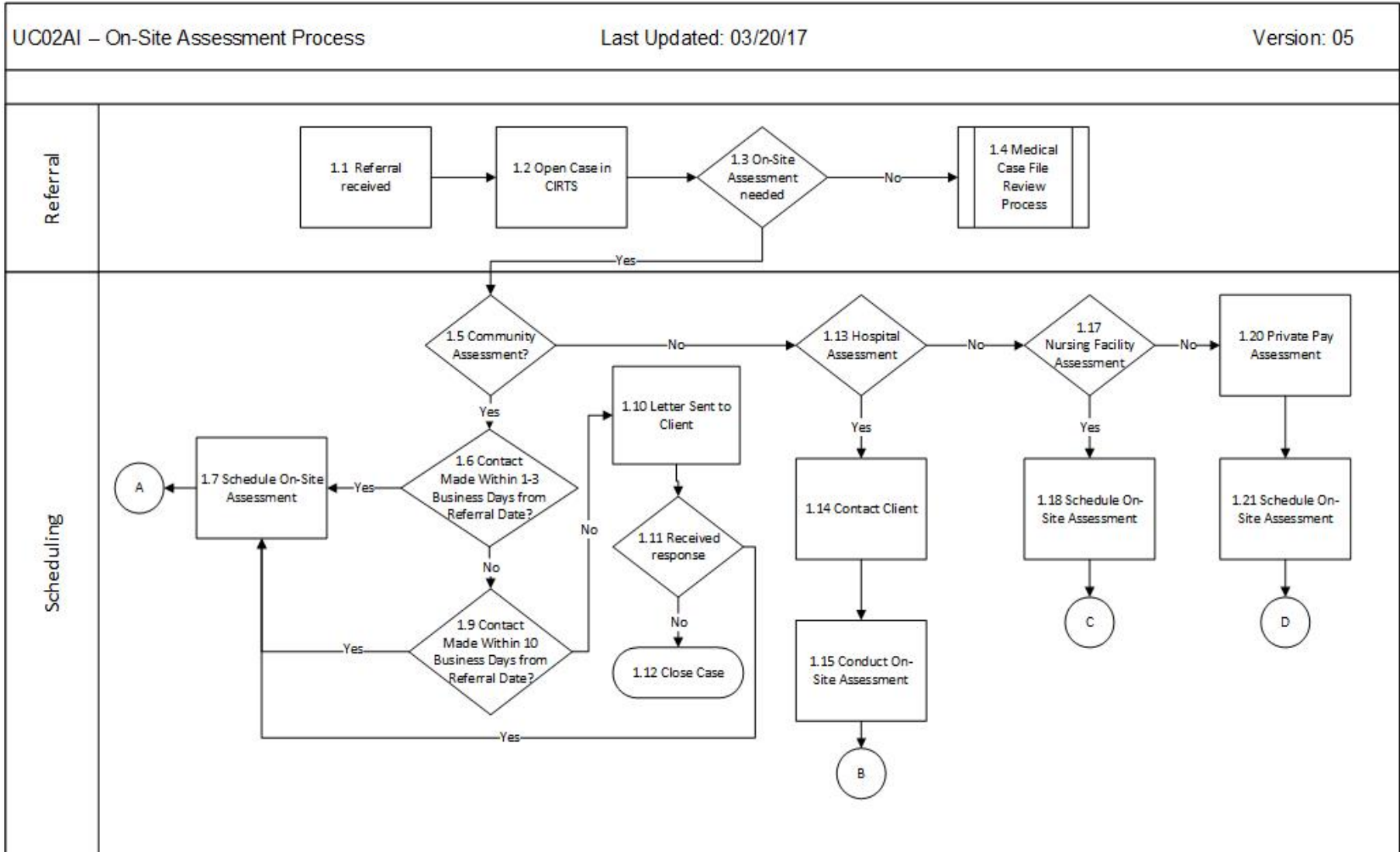
| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC01AI – Intake Process Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|--|---|-----------------------|
| 1.13 | Review/Update Client Information in CIRT | <ul style="list-style-type: none"> If the client is found in CIRT, their information is reviewed and updated as needed. | CARES Assistant |
| 1.14 | Enter New Client Information into CIRT | <ul style="list-style-type: none"> If the client is not found in CIRT, a new client entry must be completed and required demographic information must be gathered from either referral forms or intake form 611. If a SSN number is not provided, a pseudo SSN will be automatically assigned to the client until information can be gathered during the assessment process. The pseudo SSN Number is comprised of: Initials (first name, middle name and last name, or first name, x for middle initial, and last name) plus date of birth (ddmmyy), for example: ABC010203. | CARES Assistant |
| 1.15 | Decision: New CARES client? | <ul style="list-style-type: none"> If Yes, proceed to step 1.16. If No, proceed to step 1.17. | CARES Assistant |
| 1.16 | Open Initial CARES Case for CARES Assessment | <ul style="list-style-type: none"> A client may exist in CIRT, but may not have been referred to a CARES program. The client will require an initial CARES case opened for their Assessment. An initial CARES case can only be opened once for a client. | CARES Assistant |
| 1.17 | Open CARES Case | <ul style="list-style-type: none"> If a client exists in CIRT and has had an initial CARES case opened in the past, a new case can be opened for that client. These cases are designated as: Transferred, Other, Reassessment, or Annual Waiver. | CARES Assistant |
| 1.18 | CARES Case Assigned to an Assessor | <ul style="list-style-type: none"> Once a case has been opened in CARES for the client, the case must be assigned to an assessor, or RNS. Cases are assigned to an assessor, or RNS, based on the following: Office-based Medical Case File Reviews (MCFR), field-based On-Site Assessments, or a PASRR specialist. Medical Case File Reviews are performed in the office for annual assessments when clients are enrolled in Medicaid LTC plans and PACE if the client’s level of care has not changed. | CARES Assistant |

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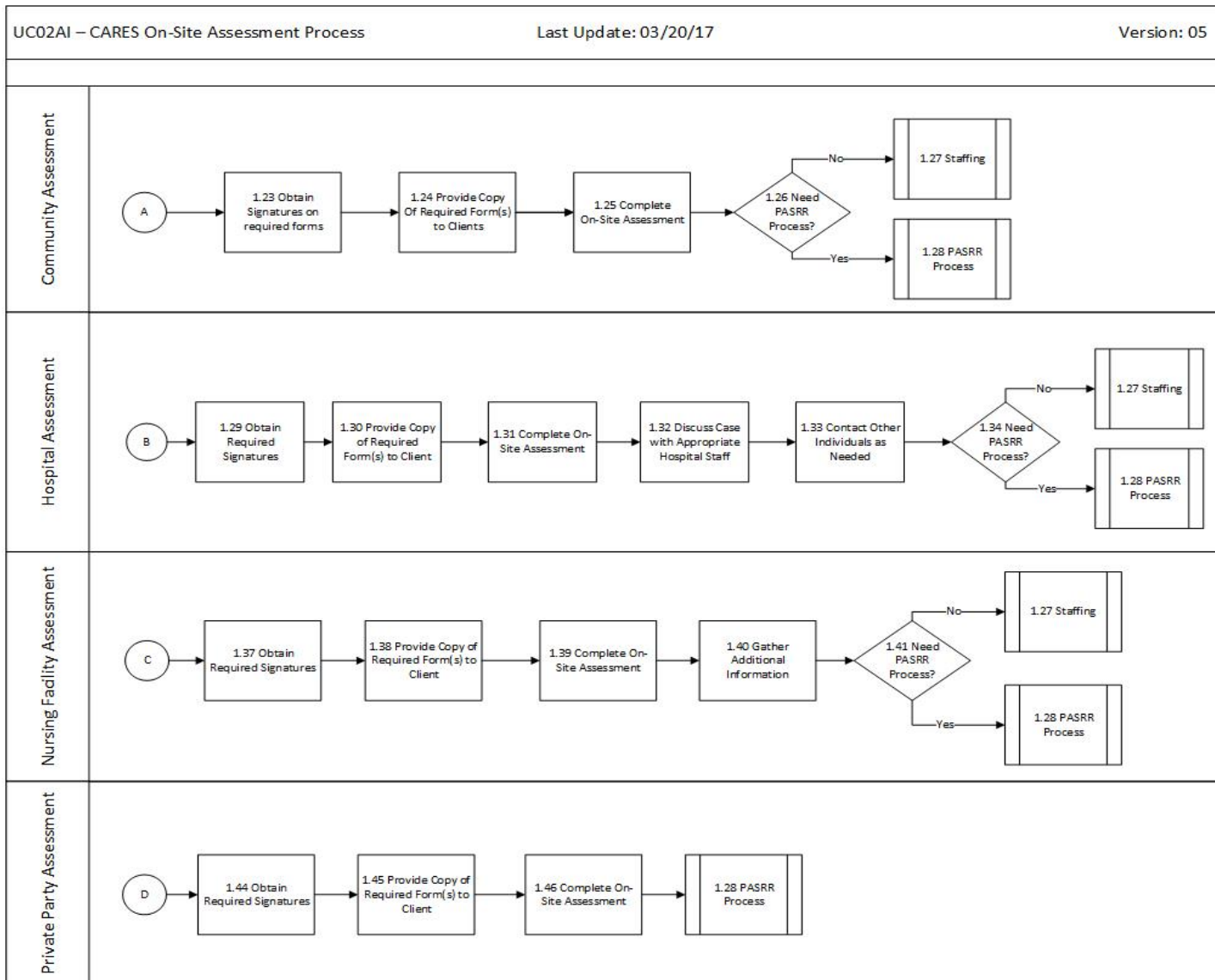
| Process Step # | Process Step | Process Summary Table – UC01AI – Intake Process Process Step Description | Responsibility |
|-----------------------|--------------------------------|---|-----------------------|
| | | <ul style="list-style-type: none"> ○ Medical Case File Reviews are also done on Initial and Annual assessments for other Medicaid waivers, such as Adult Cystic Fibrosis. ● On-Site Assessments are performed for new client assessments, hospital assessments, NF assessments or at any time a MCFR indicates no LOC. as identified below: <ul style="list-style-type: none"> ○ Each CARES PSA Supervisor determines how the assessments are assigned in each of the offices depending on the size of the office and resources available. ○ Some examples of a CARES Assessment assignment are: <ul style="list-style-type: none"> ▪ Assessors, or an RNS, perform everything except PASRR Level I screening in a single ZIP code, while a PASRR specialist may perform any PASRR Level I screenings in multiple ZIP codes. ▪ Each type of assessment in a ZIP code is assigned to one assessor, or RNS. | |
| 1.19 | Enter Referral/Intake | <ul style="list-style-type: none"> ● Once an assessor, or RNS, has been assigned, an entry must be made into the Referral and Intake Log which is stored in SharePoint external to the CIRTIS system. | CARES Assessor, RNS |
| | Assessor | | |
| 1.20 | Begin Assessment Process | <ul style="list-style-type: none"> ● Proceed to UC02AI – As-Is CARES On-Site Assessment Process | CARES Assessor, RNS |
| | Assistant | | |
| 1.21 | Request Referral Documentation | <ul style="list-style-type: none"> ● After receiving documentation, but before searching for the client in CIRTIS, the documentation for the referral must be complete. If the documentation is not complete, a request is made to the referring entity. ● This process step continues until either the documentation is received to complete the referral or it is determined the documentation received is either sent back to the referring entity or shredded. | CARES Assistant |

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC01AI – Intake Process Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|---------------------------------------|--|-----------------------|
| 1.22 | Return/Dispose Referral Documentation | <ul style="list-style-type: none">• Send back referral documentation and/or shred. | CARES Assistant |

3.2.2. UC02AI – CARES On-Site Assessment Process



Deliverable 2 CIRT'S Business Process and Definition Document



Deliverable 2 CIRT Business Process and Definition Document

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC02AI – On-Site Assessment Process Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|--|---|-----------------------|
| | CARES Referral | | |
| 1.1 | Referral Received | <ul style="list-style-type: none"> Referral comes into the office and is processed by the assistant (See UC01SA - CARES Intake Process for further breakdown). | CARES Assistant |
| 1.2 | Open Case In CIRT | <ul style="list-style-type: none"> Log into CIRT. Locate client in CIRT. Click Cases button. Click Add Case. | CARES Assistant |
| 1.3 | Decision: On-Site Assessment Needed | <ul style="list-style-type: none"> Validate if this is the first case for the client. If not, validate if it is possible to perform a Medical Case File Review. Proceed to process step 1.4. If this is an initial case, or a Medical Case File Review cannot be completed, then an on-site assessment is required. Proceed to process step 1.5. | CARES Assessor, RNS |
| 1.4 | Medical Case File Review Process | <ul style="list-style-type: none"> Proceed to UC03AI – CARES Medical Case File Review Process. | CARES Assessor, RNS |
| | Scheduling | | CARES Assessor, RNS |
| 1.5 | Decision: Community Assessment Required? | <ul style="list-style-type: none"> If Yes, proceed to step 1.6. If No, proceed to step 1.13. | CARES Assessor, RNS |
| 1.6 | Decision: Contact Made Within 1-3 Business Days from Referral Date? | <ul style="list-style-type: none"> If Yes, proceed to step 1.7. If No, proceed to step 1.9. | CARES Assessor, RNS |
| 1.7 | Schedule Assessment Visit to Occur Within 10 Calendar Days | <ul style="list-style-type: none"> Once an attempt to contact the client for scheduling has been successful an Assessor, or RNS, has 10 calendar days from the receipt of the referral, to complete the assessment. | CARES Assessor, RNS |

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC02AI – On-Site Assessment Process Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|---|--|-----------------------|
| 1.8 | A (Community Assessment) | <ul style="list-style-type: none"> Proceed to the Community Assessment process step 1.23. | CARES Assessor, RNS |
| 1.9 | Decision: Contact Made within 10 Business days from Referral Date? | <ul style="list-style-type: none"> If Yes, proceed to step 1.7. If No, proceed to step 1.10. | CARES Assessor, RNS |
| 1.10 | Letter Sent to client | <ul style="list-style-type: none"> If the second attempt was not successful at scheduling the client for an assessment, a letter will be sent with a set date to close the case if the office has not been contacted. The second attempt letter will be sent 20 calendar days after the referral date. | CARES Assessor, RNS |
| 1.11 | Decision: Received Response? | <ul style="list-style-type: none"> If Yes, proceed to step 1.7. If No, proceed to step 1.12. | CARES Assessor, RNS |
| 1.12 | Close Case | <ul style="list-style-type: none"> Close case if no response is received within 30 days of the receipt of the referral. | CARES Assessor, RNS |
| 1.13 | Decision: Hospital Assessment? | <ul style="list-style-type: none"> If Yes, proceed to step 1.14. If No, proceed to step 1.17. | CARES Assessor, RNS |
| 1.14 | Contact client | <ul style="list-style-type: none"> Contact the client or representative concerning assessment within 1 business day. | CARES Assessor, RNS |
| 1.15 | Conduct On-Site Assessment | <ul style="list-style-type: none"> An On-Site Assessment for a client located in a Hospital must be completed within 3 business days. | CARES Assessor, RNS |
| 1.16 | B (Hospital Assessment) | <ul style="list-style-type: none"> Proceed to the Hospital Assessment process step 1.29. | CARES Assessor, RNS |
| 1.17 | Decision: NF Assessment? | <ul style="list-style-type: none"> If Yes, proceed to step 1.18. If No, proceed to step 1.20. | CARES Assessor, RNS |
| 1.18 | Schedule On-Site Assessment | <ul style="list-style-type: none"> An Assessment conducted in a NF must be scheduled within 10 calendar days from the date of referral. | CARES Assessor, RNS |

Deliverable 2 CIRT Business Process and Definition Document

| Process Step # | Process Step | Process Summary Table – UC02AI – On-Site Assessment Process Process Step Description | Responsibility |
|-----------------------|---|---|-----------------------|
| 1.19 | C (NF Assessment) | <ul style="list-style-type: none"> Proceed to the NF Assessment process step 1.37. | CARES Assessor, RNS |
| 1.20 | Private Pay Assessment for PASRR | <ul style="list-style-type: none"> When the referral is from the community but the client is not someone needing Medicaid Services, it is considered a Private Pay Assessment. Private Pay Assessments are required for individuals seeking placement into a Medicaid-funded NF who need a PASRR Level II Evaluation and Determination. | CARES Assessor, RNS |
| 1.21 | Schedule On-Site Assessment | <ul style="list-style-type: none"> An Assessment should be scheduled within 3 business days and completed within 10 calendar days from request for a PASRR Level II. | CARES Assessor, RNS |
| 1.22 | D (Private Pay Individual Assessment) | <ul style="list-style-type: none"> Proceed to the Private Pay Assessment process step 1.44. | CARES Assessor, RNS |
| | A (Community Assessment Process) | | |
| 1.23 | Obtain Required Signatures | <ul style="list-style-type: none"> Obtain Signatures on Informed Consent and HIPAA Form. | CARES Assessor, RNS |
| 1.24 | Provide Copy of Required Form(s) to clients | <ul style="list-style-type: none"> Provide the client with a copy of the Social Security Request Notice and HIPAA Form. | CARES Assessor, RNS |
| 1.25 | Complete On-Site Assessment | <ul style="list-style-type: none"> Community assessments must be completed on-site with the client, within 10 calendar days of the referral receipt date. If other information is needed after completing the assessment, the assessor or RNS may reach out to other individuals to gather the required information. | CARES Assessor, RNS |
| 1.26 | Decision: Need PASRR Process? | <ul style="list-style-type: none"> If Yes, proceed to step 1.28. If No, proceed to step 1.27. | CARES Assessor, RNS |
| 1.27 | Staffing Process | <ul style="list-style-type: none"> If a PASRR is not needed, proceed to the UC04AI – Staffing Process | CARES Assessor, RNS |

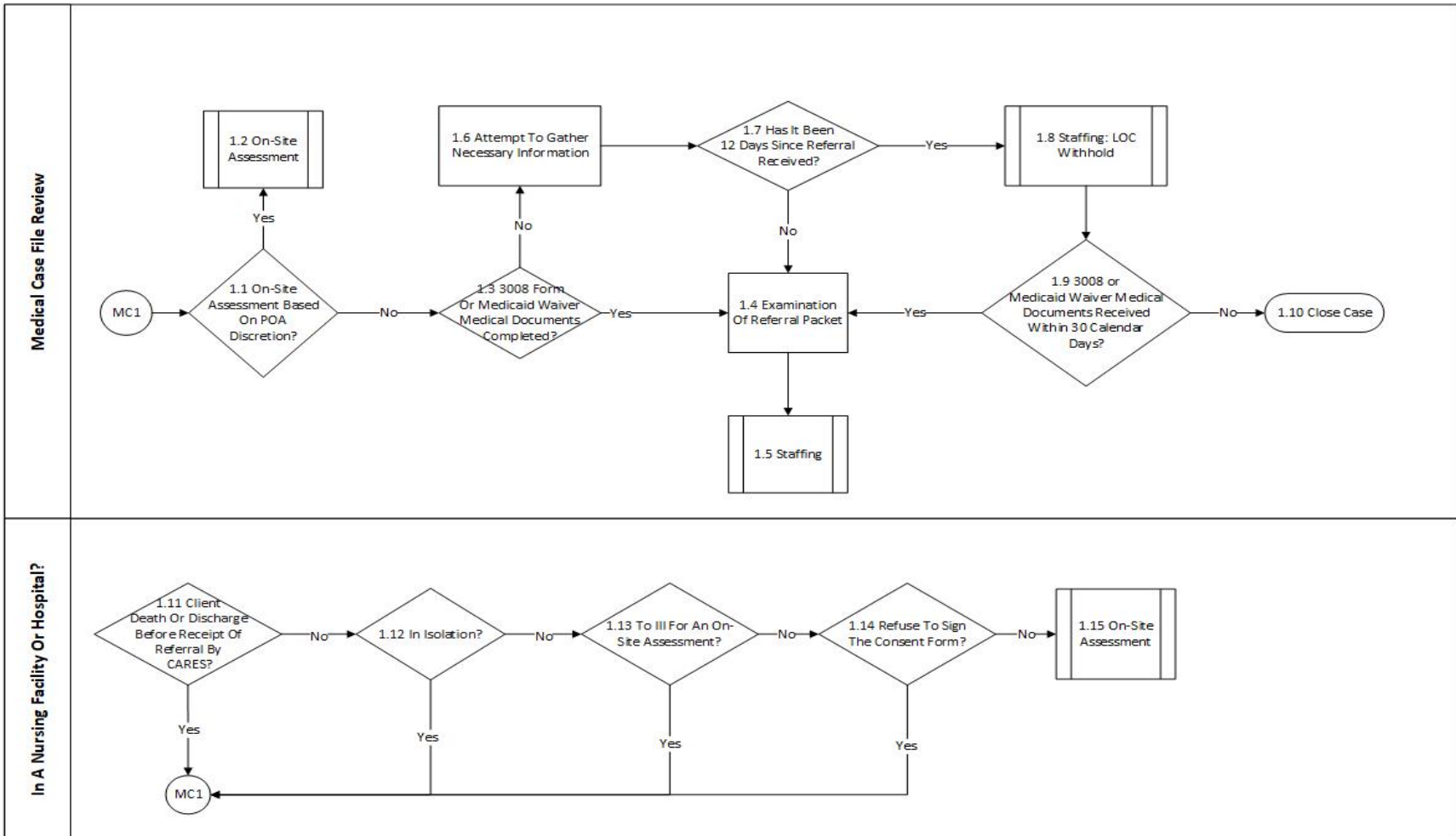
Deliverable 2 CIRT5 Business Process and Definition Document

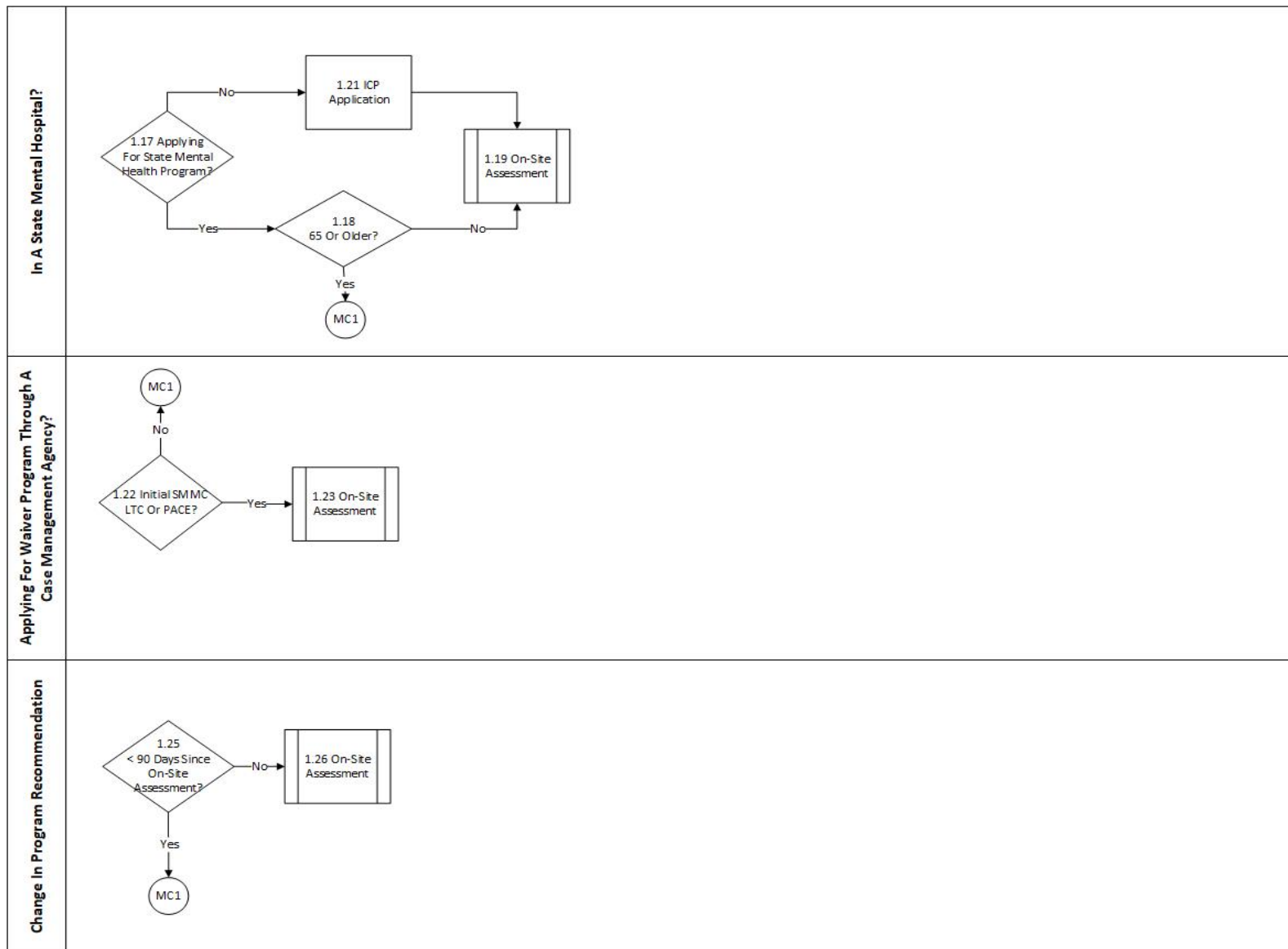
| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC02AI – On-Site Assessment Process Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|--|--|-----------------------|
| 1.28 | PASRR Process | <ul style="list-style-type: none"> If a PASRR is needed, proceed to the UC07AI – PASRR Process | CARES Assessor, RNS |
| | B (Hospital Assessment Process) | | CARES Assessor, RNS |
| 1.29 | Obtain Required Signatures | <ul style="list-style-type: none"> Obtain required signatures on Informed Consent and HIPAA Form. | CARES Assessor, RNS |
| 1.30 | Provide Copy of Required Form(s) to clients | <ul style="list-style-type: none"> Provide a copy of the Social Security Request Notice and HIPAA Form. | CARES Assessor, RNS |
| 1.31 | Complete On-Site Assessment | <ul style="list-style-type: none"> Hospital assessments must be completed on-site, within 3 business days of the initial contact. | CARES Assessor, RNS |
| 1.32 | Discuss Case with appropriate hospital staff | <ul style="list-style-type: none"> If any Medical Staff are needed to answer questions regarding the health and safety of the client, the CARES staff will discuss the case with them and gather information needed to help determine Level of Care for the client. | CARES Assessor, RNS |
| 1.33 | Contact Other Individuals as Needed | <ul style="list-style-type: none"> If it is determined additional information might be needed about the client, the CARES Staff may reach out to family members or representatives as needed to help determine Level of Care. | CARES Assessor, RNS |
| 1.34 | Decision: Need PASRR Process? | <ul style="list-style-type: none"> If Yes, proceed to step 1.28. If No, proceed to step 1.27. | CARES Assessor, RNS |
| | C (NF Assessment Process) | | |
| 1.37 | Obtain Required Signatures | <ul style="list-style-type: none"> Obtain required signatures on Informed Consent and HIPAA Form. | CARES Assessor, RNS |

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC02AI – On-Site Assessment Process Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|---|---|-----------------------|
| 1.38 | Provide Copy of Required Form(s) to clients | <ul style="list-style-type: none"> Provide client a copy of the Social Security Request Notice and HIPAA Form. | CARES Assessor, RNS |
| 1.39 | Complete On-Site Assessment | <ul style="list-style-type: none"> NF assessments must be completed within 10 calendar days of referral receipt date. | CARES Assessor, RNS |
| 1.40 | Gather Additional Information | <ul style="list-style-type: none"> If Medical Staff are available to answer questions regarding the health and safety of the client, CARES staff will discuss the case with them and gather information needed to help determine Level of Care for the client. | CARES Assessor, RNS |
| 1.41 | Decision: Need PASRR Process? | <ul style="list-style-type: none"> If Yes, proceed to step 1.28. If No, proceed to step 1.27. | CARES Assessor, RNS |
| | D (Private Party Assessment Process) | | |
| 1.44 | Obtain Required Signatures | <ul style="list-style-type: none"> Obtain required signatures on Informed Consent and HIPAA Form. | CARES Assessor, RNS |
| 1.45 | Provide Copy of Required Form(s) to clients | <ul style="list-style-type: none"> Provide client a copy of the Social Security Request Notice and HIPAA Form. | CARES Assessor, RNS |
| 1.46 | Complete On-Site Assessment | <ul style="list-style-type: none"> NF assessments must be completed within 10 calendar days of the referral receipt date. | CARES Assessor, RNS |

3.2.3. UC03AI – CARES Medical Case File Review

UC03AI - Medical Case File Review Last Updated: 06/07/2017 Version: 05





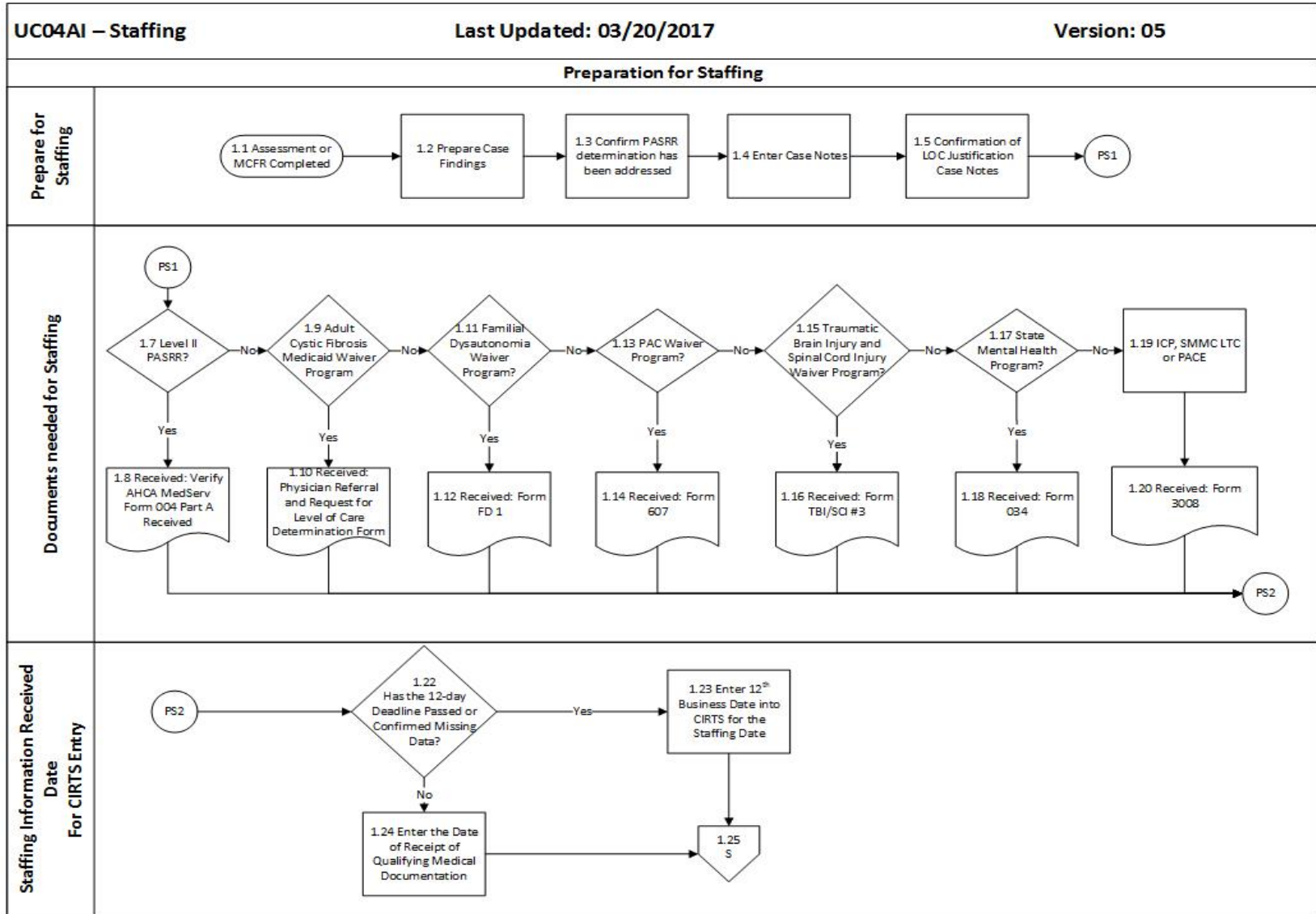
| Process Step # | Process Step | Process Summary Table – UC03AI – Medical Case File Review Process Step Description | Responsibility |
|-----------------------|---|--|-----------------------|
| | Medical Case File Review | | |
| 1.1 | Decision: On Site Assessment Based on POA Discretion? | <ul style="list-style-type: none"> • If Yes, proceed to step 1.2. • If No, proceed to step 1.3. | CARES POA |
| 1.2 | On Site Assessment | <ul style="list-style-type: none"> • If the POA decides an On-Site assessment is needed, the On-Site Assessment Process is followed. Proceed to the UC02AI – As-Is CARES On-Site Assessment Process. | CARES Assessor, RNS |
| 1.3 | Decision: 3008 Form or Medicaid Waiver Medical Documents Complete? | <ul style="list-style-type: none"> • If Yes, proceed to step 1.4. • If No, proceed to step 1.6. | CARES Assessor, RNS |
| 1.4 | Examination of Referral Packet | <ul style="list-style-type: none"> • An RNS, or a CARES Assessor, will review the provided referral packet information medical records and perform a Medical Case File Review. | CARES Assessor, RNS |
| 1.5 | Staffing | <ul style="list-style-type: none"> • Proceed to the UC04AI – As-Is CARES Staffing Process. | CARES Assessor, RNS |
| 1.6 | Attempt to Gather Necessary Information | <ul style="list-style-type: none"> • If the 3008 or other medical documents have not been completed, the assessor, or RNS, gathers the required information to complete the Medical Case File Review if appropriate. | CARES Assessor, RNS |
| 1.7 | Decision: Has It Been 12 Days Since Referral Was Received? | <ul style="list-style-type: none"> • If Yes, proceed to step 1.8. • If No, proceed to step 1.4. | CARES Assessor, RNS |
| 1.8 | Staffing: LOC Withheld | <ul style="list-style-type: none"> • If 12 days have passed since the referral was received and the required documentation has not been received, then staff may proceed to the UC04AI – As-Is CARES Staffing Process Step 1.30. | CARES Assessor, RNS |

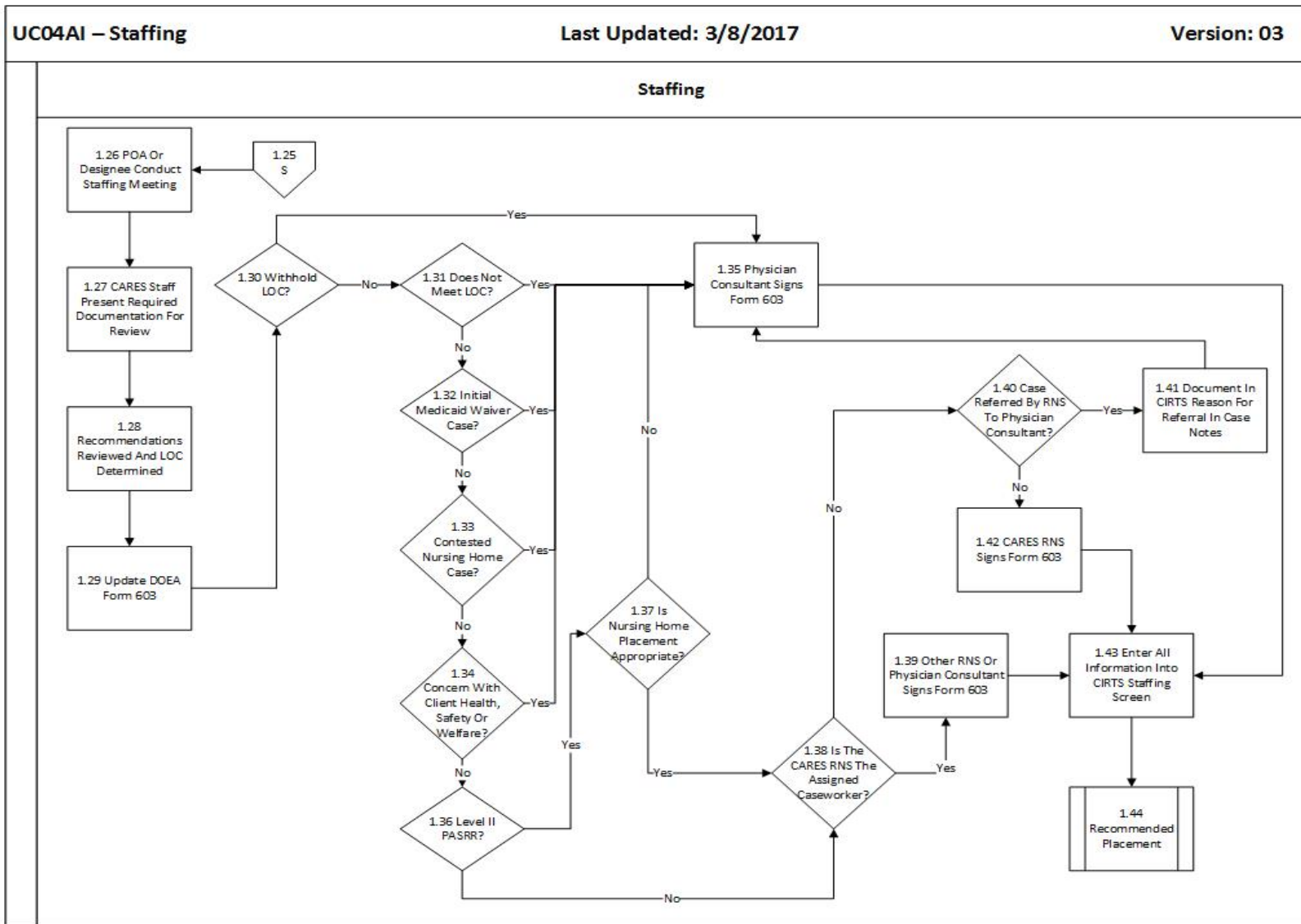
| Process Step # | Process Step | Process Summary Table – UC03AI – Medical Case File Review Process Step Description | Responsibility |
|-----------------------|--|---|-----------------------|
| 1.9 | Decision: 3008 or Medicaid Waiver Medical Documents Received Within 30 Calendar Days? | <ul style="list-style-type: none"> • If Yes, proceed to step 1.4. • If No, proceed to step 1.10. | CARES Assessor, RNS |
| 1.10 | Close Case | <ul style="list-style-type: none"> • Case is closed in CIRT. | CARES Assessor, RNS |
| | In NF Or Hospital? | <ul style="list-style-type: none"> • Determine if the client is currently residing in a NF or hospital. | |
| 1.11 | Decision: Client Death or Discharge Before Receipt of Referral By CARES? | <ul style="list-style-type: none"> • If Yes, proceed to step 1.16. • If No, proceed to step 1.12. | CARES Assessor, RNS |
| 1.12 | Decision: In Isolation? | <ul style="list-style-type: none"> • If Yes, proceed to step 1.16. • If No, proceed to step 1.13. | CARES Assessor, RNS |
| 1.13 | Decision: Too Ill for An On-Site Assessment? | <ul style="list-style-type: none"> • If Yes, proceed to step 1.16. • If No, proceed to step 1.14. | CARES Assessor, RNS |
| 1.14 | Decision: Refuse to Sign the Consent Form | <ul style="list-style-type: none"> • If Yes, proceed to step 1.16. • If No, proceed to step 1.15. | CARES Assessor, RNS |
| 1.15 | On-Site Assessment | <ul style="list-style-type: none"> • Proceed to the UC02AI – As-Is CARES On-Site Assessment. | CARES Assessor, RNS |
| 1.16 | MC1 | <ul style="list-style-type: none"> • Proceed to Process Step 1.1. | CARES Assessor, RNS |
| | In A State Mental Hospital? | | |

| Process Step # | Process Step | Process Summary Table – UC03AI – Medical Case File Review Process Step Description | Responsibility |
|-----------------------|---|--|-----------------------|
| 1.17 | Decision: Applying for A State Mental Health Program? | <ul style="list-style-type: none"> • If Yes, proceed to step 1.18. • If No, proceed to step 1.21. | CARES Assessor, RNS |
| 1.18 | Decision: 65 Or Older? | <ul style="list-style-type: none"> • If Yes, proceed to step 1.20. • If No, proceed to step 1.19. | CARES Assessor, RNS |
| 1.19 | On-Site Assessment | <ul style="list-style-type: none"> • If the client is not applying for a state mental health program, the client will be applying for a LTC NF and will need an on-site assessment. • If the client is not 65 or older, an On-Site Assessment is required. • Proceed to the UC02AI – As-Is CARES On-Site Assessment Process. | CARES Assessor, RNS |
| 1.20 | MC1 | <ul style="list-style-type: none"> • Proceed to Process Step 1.1. | CARES Assessor, RNS |
| 1.21 | ICP Application | <ul style="list-style-type: none"> • For individuals who are residents of a state mental health hospital who are 65 years and older requesting to receive Medicaid ICP coverage in the state mental health hospital under the State Mental Health Hospital Program. • Proceed to process step 1.19. | CARES Assessor, RNS |
| | Applying for Waiver Program Through a Case Management Agency | | |
| 1.22 | Decision: Initial SMMC LTC or PACE | <ul style="list-style-type: none"> • If Yes, proceed to step 1.24. • If No, proceed to step 1.25. | CARES Assessor, RNS |
| 1.23 | On-Site Assessment | <ul style="list-style-type: none"> • Proceed to the UC02AI – AS-Is CARES On-Site Assessment Process. | CARES Assessor, RNS |
| 1.24 | MC1 | <ul style="list-style-type: none"> • If this is not an initial SMMC LTC or PACE request, proceed to Process Step 1.1. | CARES Assessor, RNS |

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC03AI – Medical Case File Review Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|---|---|-----------------------|
| | Change in Program Recommendation | | |
| 1.25 | Decision: <90 Days Since On-Site Assessment? | <ul style="list-style-type: none"> • If Yes, proceed to step 1.28. • If No, proceed to step 1.27. | CARES Assessor, RNS |
| 1.26 | On-Site Assessment | <ul style="list-style-type: none"> • If the client is not applying for a waiver program through a case management agency and the change in program recommendation <u>is not</u> within 90 days of an on-site assessment, an on-site assessment must be completed. Proceed to the UC02AI – As-Is CARES On-Site Assessment Process. | CARES Assessor, RNS |
| 1.27 | MC1 | <ul style="list-style-type: none"> • If the client is not applying for a waiver program through a case management agency and a program recommendation <u>is</u> within 90 days of an on-site assessment, a medical case file review can be performed. Proceed to the Process Step 1.1. | CARES Assessor, RNS |

3.2.4. UC04AI – CARES Staffing Process – Level of Care (LOC)





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| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC04AI CARES Staffing Process – Level of Care (LOC) Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|--|--|-----------------------|
| | Prepare for Staffing | | |
| 1.1 | Assessment or MCFR Completed | | CARES Assessor, RNS |
| 1.2 | Prepare Case Findings | <ul style="list-style-type: none"> CARES staff obtains information required to prepare for the staffing process. | CARES Assessor, RNS |
| 1.3 | Confirm PASRR Determination Has Been Addressed | <ul style="list-style-type: none"> Before staffing PASSR level must be determined if needed. | CARES Assessor, RNS |
| 1.4 | Enter Case Note | <ul style="list-style-type: none"> CIRTIS must be updated with Assessment History notes. | CARES Assessor, RNS |
| 1.5 | Confirmation of LOC Justification Case Note | <ul style="list-style-type: none"> For Staffing date (LOC Date) purposes, the LOC justification case note must be entered into CIRTIS. | CARES Assessor, RNS |
| 1.6 | PS1 (Documents Needed for Staffing) | <ul style="list-style-type: none"> Proceed to process step 1.7. | CARES Assessor, RNS |
| | Documents Needed for Staffing | | |
| 1.7 | Decision: Level II PASRR? | <ul style="list-style-type: none"> If Yes, proceed to step 1.8. If No, proceed to step 1.9. | CARES Assessor, RNS |
| 1.8 | Verify AHCA MedServ Form 004 Part A Received | <ul style="list-style-type: none"> If a Level II PASRR is needed, the MedServ Form 004 Part A document should have been received prior to the Staffing meeting. | CARES Assessor, RNS |
| 1.9 | Decision: Adult Cystic Fibrosis Medicaid Waiver Program | <ul style="list-style-type: none"> If Yes, proceed to step 1.10. If No, proceed to step 1.11. | CARES Assessor, RNS |

Deliverable 2 CIRTTS Business Process and Definition Document

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC04AI CARES Staffing Process – Level of Care (LOC) Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|---|--|-----------------------|
| 1.10 | Received: Physician Referral and Request for Level of Care Determination Form | <ul style="list-style-type: none"> A Physician Referral and Request for LOC Determination Form is required for the Adult Cystic Fibrosis Medicaid Waiver Program. | CARES Assessor, RNS |
| 1.11 | Decision: Familial Dysautonomia Waiver Program | <ul style="list-style-type: none"> If Yes, proceed to step 1.12. If No, proceed to step 1.13. | CARES Assessor, RNS |
| 1.12 | Received: Form FD1 | <ul style="list-style-type: none"> A request for the Familial Dysautonomia Waiver Program, requires Form FD1. | CARES Assessor, RNS |
| 1.13 | Decision: Project AIDS Care (PAC) Waiver Program | <ul style="list-style-type: none"> If Yes, proceed to step 1.14 If No, proceed to step 1.15 | CARES Assessor, RNS |
| 1.14 | Received: Form 607 | <ul style="list-style-type: none"> A request is for the PAC Waiver Program, requires a 607 form. | CARES Assessor, RNS |
| 1.15 | Decision: Traumatic Brain Injury and Spinal Cord Injury Waiver Program | <ul style="list-style-type: none"> If Yes, proceed to step 1.16. If No, proceed to step 1.17. | CARES Assessor, RNS |
| 1.16 | Received: Form TBI/SCI #3 | <ul style="list-style-type: none"> Traumatic Brain Injury and Spinal Cord Injury Waiver Program requires Form TBI/SCI #3. | CARES Assessor, RNS |
| 1.17 | Decision: State Mental Health Program | <ul style="list-style-type: none"> If Yes, proceed to step 1.18. If No, proceed to step 1.19. | CARES Assessor, RNS |
| 1.18 | Received: Form 034 | <ul style="list-style-type: none"> For staffing, if the request is for the State Mental Health Program, the Form 034 must be received. | CARES Assessor, RNS |
| 1.19 | ICP, SMMC LTC or PACE Program | <ul style="list-style-type: none"> ICP, SMMC LTC or PACE Programs require a MedServ 3008 medical form. | CARES Assessor, RNS |

Deliverable 2 CIRTIS Business Process and Definition Document

| Process Step # | Process Step | Process Summary Table – UC04AI CARES Staffing Process – Level of Care (LOC) Process Step Description | Responsibility |
|-----------------------|--|---|-----------------------|
| 1.20 | Received: Form MedServ 3008 | <ul style="list-style-type: none"> For staffing, the ICP, SMMC LTC or PACE programs, are staffed using the MedServ 3008 and/or other qualifying medical documentation. | CARES Assessor, RNS |
| 1.21 | PS2 (Staffing Information Received Date for CIRTIS Entry) | <ul style="list-style-type: none"> Proceed to process step 1.22. | CARES Assessor, RNS |
| | Staffing Information Received Date for CIRTIS Entry | | |
| 1.22 | Decision: Has The 12-Day Deadline Passed or Confirmed Missing Data? | <ul style="list-style-type: none"> If Yes, proceed to step 1.23. If No, proceed to step 1.24. | CARES Assessor, RNS |
| 1.23 | Enter Date into CIRTIS For the Staffing Date | <ul style="list-style-type: none"> If the deadline has passed and all the information has not been received: <ul style="list-style-type: none"> Case can be staffed on the 12th business day as “Withhold” (Staffing Info Received Date in CIRTIS will be this date), Supervisor, or POA, discretion can be used to staff the case as “Withhold “prior to the 12th day for cases where it is verified the medical document will not be received (Staffing Info Received Date in CIRTIS will be this date), or Supervisor, or POA, discretion can be given to allow more than 12 days if the worker is informed that they will receive the medical information within a reasonable period (Staffing Info Received Date in CIRTIS will be the date the information is received). | CARES Assessor, RNS |
| 1.24 | Enter the Date of Receipt of Qualifying Medical Documentation | <ul style="list-style-type: none"> If the deadline has not passed, then the date entered into CIRTIS as the staffing info received date is the date in which the qualifying medical documentation is received or the date it is determined the medical documentation will not be received. This date is tied to the specific programs and their forms. | CARES Assessor, RNS |
| 1.25 | S (Staffing) | <ul style="list-style-type: none"> Proceed to Process Step 1.26. | CARES Assessor, RNS |

Deliverable 2 CIRTIS Business Process and Definition Document

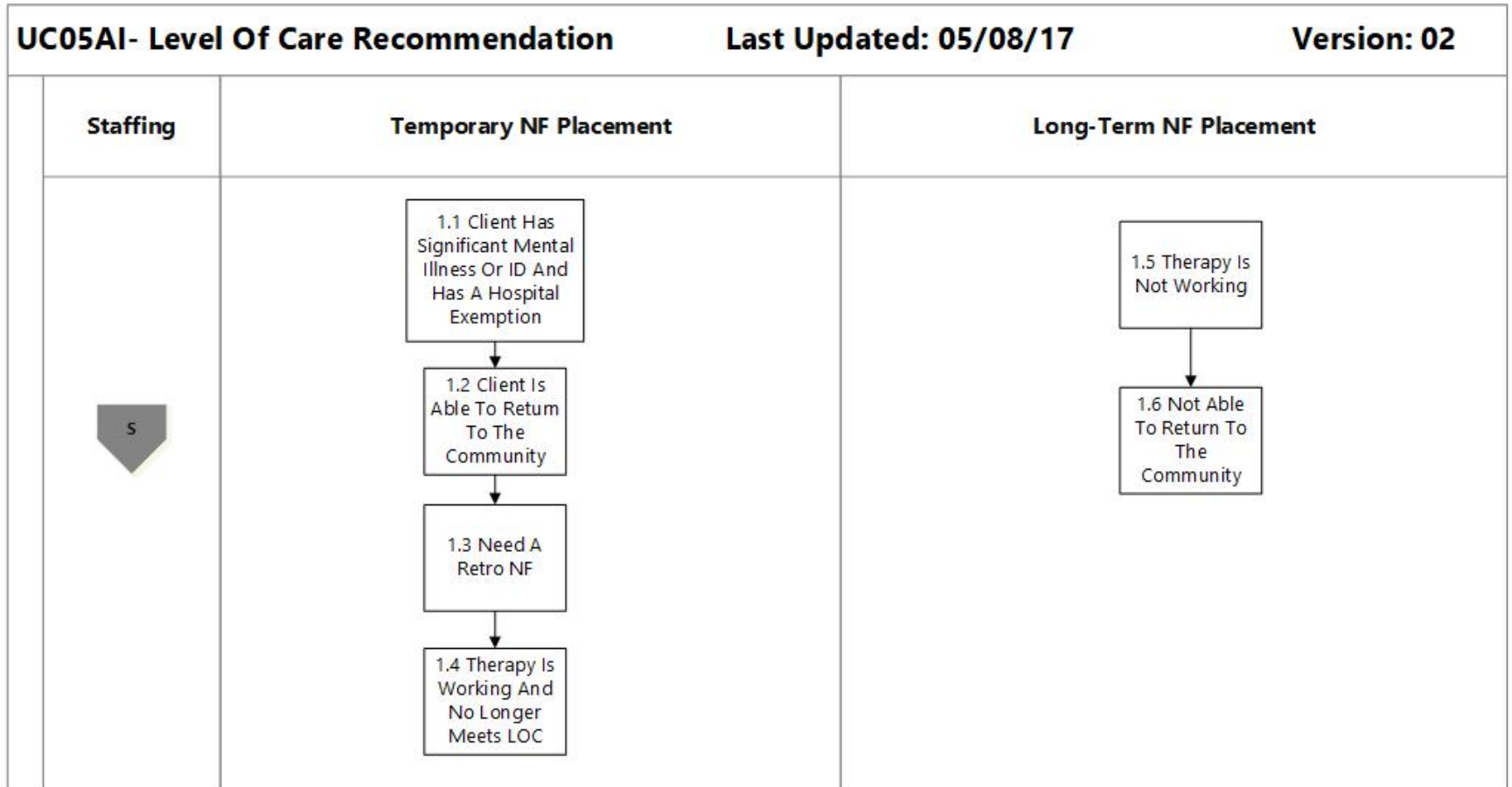
| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC04AI CARES Staffing Process – Level of Care (LOC) Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|---|---|-----------------------|
| | Staffing | | |
| 1.26 | POA Or Designee Conducts Staffing Meeting | <ul style="list-style-type: none"> Staffing is conducted with assessors, doctor, and RNS. Appropriate documentation is required. | CARES Assessor, RNS |
| 1.27 | CARES Staff Present Documentation for Review | <ul style="list-style-type: none"> Common documentation needed for the Staffing include but is not limited to: <ul style="list-style-type: none"> Medication List DOEA-CARES Form 603 MedServ 3008 Form or other Medicaid Medical Documentation Forms CIRTIS case notes | CARES Assessor, RNS |
| 1.28 | Recommendations Reviewed and LOC Determined | <ul style="list-style-type: none"> Staffing team reviews the information presented. LOC is determined and physician or RNS signs off on LOC. | Physician or RNS |
| 1.29 | Complete DOEA-CARES Form 603 | <ul style="list-style-type: none"> DOEA-CARES Form 603 is completed with confirmed LOC including Program and Placement recommendation. | Physician or RNS |
| 1.30 | Decision: Withhold LOC? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.35. If No, proceed to process step 1.31. | Physician or RNS |
| 1.31 | Decision: Does Not Meet LOC? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.35. If No, proceed to process step 1.32. | CARES Assessor, RNS |
| 1.32 | Decision: Initial Medicaid Waiver Case? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.35. If No, proceed to process step 1.33. | CARES Assessor, RNS |
| 1.33 | Decision: Contested Nursing Home Case? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.35. If No, proceed to process step 1.34. | CARES Assessor, RNS |
| 1.34 | Decision: Concern with Client Health, Safety or Welfare? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.35. If No, proceed to process step 1.36. | CARES Assessor, RNS |

Deliverable 2 CIRT5 Business Process and Definition Document

| Process Step # | Process Step | Process Summary Table – UC04AI CARES Staffing Process – Level of Care (LOC) Process Step Description | Responsibility |
|-----------------------|--|--|------------------------|
| 1.35 | Physician Consultant Signs DOEA-CARES Form 603 | <ul style="list-style-type: none"> • If the LOC request is a Withhold of the LOC at least one of the following conditions must be met: <ul style="list-style-type: none"> ○ The Assessment results do not meet a Level of Care. ○ A Level II indicates the client needs Specialized Services that cannot be provided in a NF or the individual is not appropriate for NF placement. ○ The 3008 or supporting medical documentation has not been received. | Physician |
| 1.36 | Decision: Level II PASRR? | <ul style="list-style-type: none"> • If Yes, proceed to process step 1.37. • If No, proceed to process step 1.38. | CARES Assessor, RNS |
| 1.37 | Decision: Is Nursing Home Placement Appropriate? | <ul style="list-style-type: none"> • If Yes, proceed to process step 1.38. • If No, proceed to process step 1.35. | CARES Assessor, RNS |
| 1.38 | Decision: Is the CARES RNS The Assigned Caseworker? | <ul style="list-style-type: none"> • If Yes, proceed to process step 1.39. • If No, proceed to process step 1.40. | CARES Assessor, RNS |
| 1.39 | Other RNS Or Physician Consultant Signs Form 603 | <ul style="list-style-type: none"> • If the assigned assessor is an RNS, they must request another RNS or physician consultant to sign the DOEA-CARES Form 603. • The exception would be if the 3008, or other medical documentation, was not received, or when the LOC is older than 100 days. | Physician or CARES RNS |
| 1.40 | Decision: Case Referred by RNS To Physician Consultant? | <ul style="list-style-type: none"> • If Yes, proceed to process step 1.41. • If No, proceed to process step 1.42. | CARES RNS |
| 1.41 | Document in CIRT5 Reason for Referral in Case Notes | <ul style="list-style-type: none"> • If a case is required to be referred by the RNS to a physician consultant, the reason for the referral must be documented in the case notes. | CARES RNS |
| 1.42 | CARES RNS Signs Form 603 | <ul style="list-style-type: none"> • If a physician is not required to sign the DOEA-CARES Form 603, then the CARES RNS can sign the DOEA-CARES Form 603 when appropriate. • CARES RNS will sign the DOEA-CARES Form 603 form after confirming recommended placement and program. | CARES RNS |

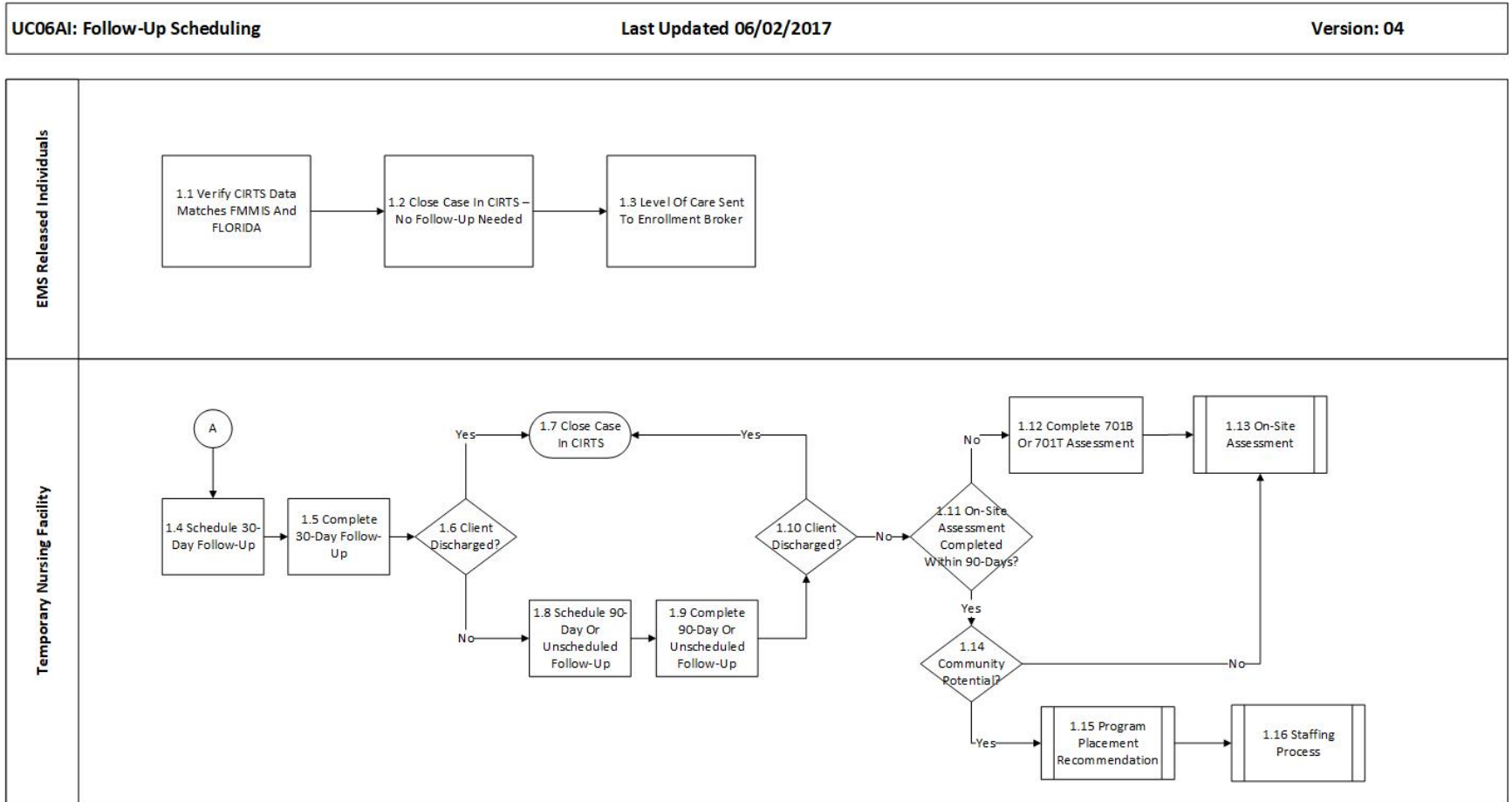
| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC04AI CARES Staffing Process – Level of Care (LOC) Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|---|---|-----------------------|
| 1.43 | Enter Information into CIRTTS Staffing Screen | <ul style="list-style-type: none"> After sign-off on the LOC for the client, information is entered on CIRTTS Staffing screen. | CARES Assessor, RNS |
| 1.44 | Recommended Placement | <ul style="list-style-type: none"> Enter the UC05AI – As-Is CARES Recommended Placement (Level of Care) Process. | CARES Assessor, RNS |

3.2.5. UC05AI – CARES Level of Care Recommendation

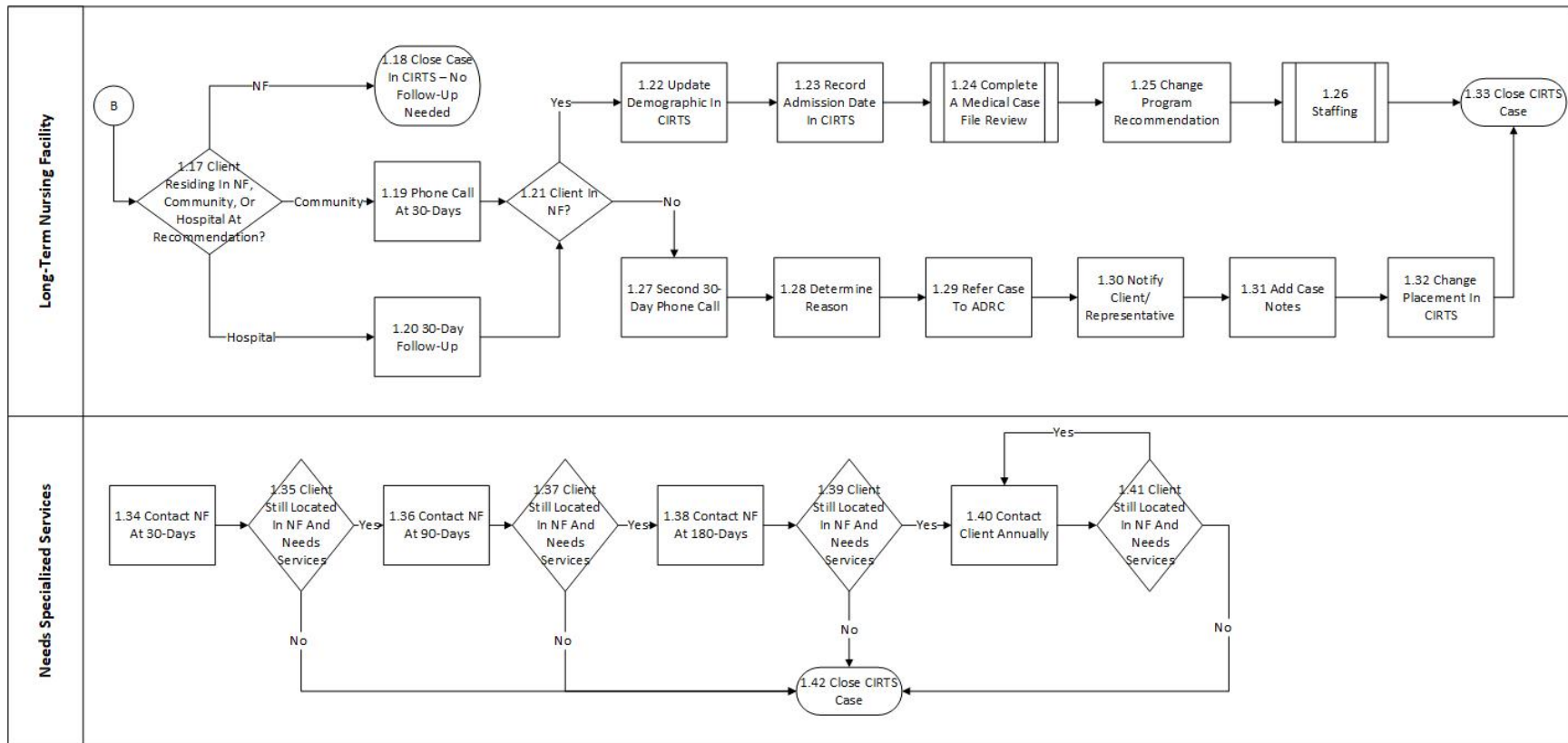


| Process Step # | Process Step | Process Summary Table – UC05AI – CARES Level of Care Recommendation Process Step Description | Responsibility |
|-----------------------|--|--|---|
| | Temporary NF Placement | | |
| 1.1 | Client Has Serious Mental Illness or ID and Has a Hospital Exemption | <ul style="list-style-type: none"> If a client is determined to have a serious mental illness and/or intellectual disability and is placed in a NF as an exempt hospital discharge, the client can receive a recommended placement of Temporary NF. | CARES Assessor/ Physician / CARES RNS |
| 1.2 | Client Is Able to Return to The Community | <ul style="list-style-type: none"> If the client can return to the community without services, then the recommended placement will be a Temporary NF. | CARES Assessor/ Physician / CARES RNS |
| 1.3 | Needs A Retro NF | <ul style="list-style-type: none"> If the client has already discharged to the community and a retroactive LOC determination is requested, then the recommended placement will be Temporary NF. | CARES Assessor/ Physician / CARES RNS |
| 1.4 | Therapy Is Working, No Longer Meets The LOC | <ul style="list-style-type: none"> If the client is making significant progress in therapies and may not meet a Level of Care upon completion of therapies, the recommended placement will be Temporary NF. If the therapies are not working, and it is determined the client’s needs can only be met in a NF, the recommended placement will be NF. | CARES Assessor/ Physician / CARES RNS |
| | Long-term Care NF Placement | | |
| 1.5 | Therapy Is Not Working | <ul style="list-style-type: none"> If the client was placed in a NF and is receiving therapies, but the therapies are not working well enough to release the client back to the community without services, the recommended placement will be LTC-NF. | CARES Assessor/ Physician / CARES RNS |
| 1.6 | Not Able to Return to The Community | <ul style="list-style-type: none"> If the client has been admitted to the NF and is unable to return to the community, then the recommended placement will be LTC-NF. | CARES Assessor/ Physician / CARES RNS |

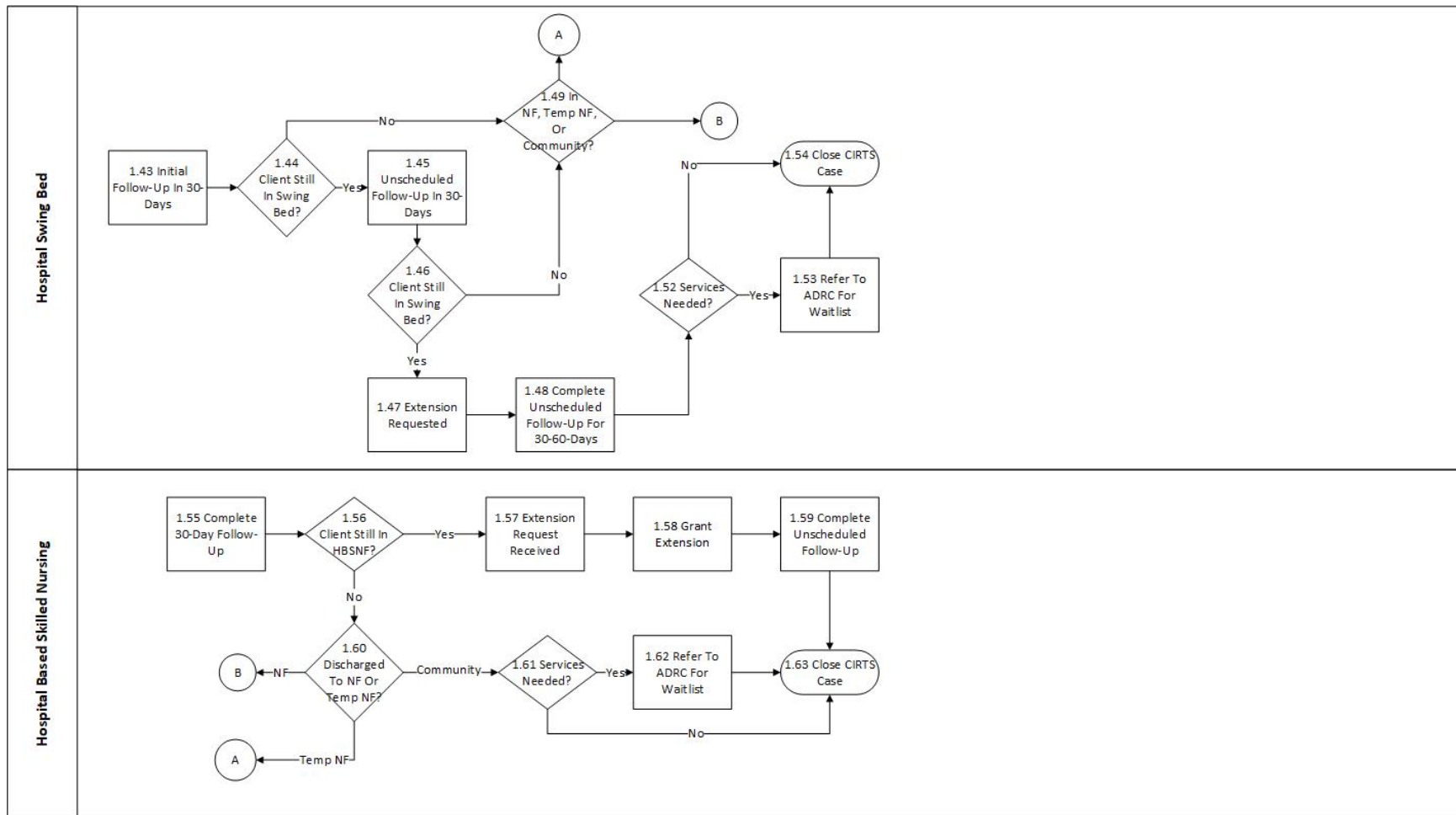
3.2.6. UC06AI – CARES Follow-up Schedule



Deliverable 2 CIRTS Business Process and Definition Document



Deliverable 2 CIRT'S Business Process and Definition Document



Deliverable 2 CIRTIS Business Process and Definition Document

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC06AI – CARES Follow-up Schedule Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|--|--|--------------------------------|
| | EMS Released Clients | | CARES Assistant and ADRC Staff |
| 1.1 | Verify CIRTIS Data Matches FMMIS and FLORIDA | <ul style="list-style-type: none"> Verify client demographic data in CIRTIS matches the information found in FMMIS and FLORIDA. If client is not found in FMMIS or FLORIDA system, continue with the entry of the data into CIRTIS. If the client is found in FMMIS or FLORIDA system and the data does not match, update CIRTIS data to match. | CARES Assessor, RNS |
| 1.2 | Close Case in CIRTIS – No Follow-Up Needed | <ul style="list-style-type: none"> Case is closed in CIRTIS. No Follow-up Needed. | CARES Assessor, RNS |
| 1.3 | Level of Care Sent to Enrollment Broker | <ul style="list-style-type: none"> Verify the LOC has been sent to the Enrollment Broker. | System |
| | Temporary NF | | |
| 1.4 | Schedule 30-Day Follow-Up | <ul style="list-style-type: none"> 30-Day Follow-up is scheduled. | CARES Assessor, RNS |
| 1.5 | Complete 30-Day Follow-Up | <ul style="list-style-type: none"> Follow-up is completed and CIRTIS generated and worker generated case note is entered into the system. | CARES Assessor, RNS |
| 1.6 | Decision: client Discharged? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.7. If No, proceed to process step 1.8. | CARES Assessor, RNS |
| 1.7 | Close Case In CIRTIS | <ul style="list-style-type: none"> If the client is discharged from the temporary NF, close case in CIRTIS. CIRTIS generated case note and worker generated case note is entered into the system | CARES Assessor, RNS |
| 1.8 | Schedule 90-Day or Unscheduled Follow-Up | <ul style="list-style-type: none"> If the client is not discharged from the temporary NF, schedule a 90 day or unscheduled follow-up. | CARES Assessor, RNS |
| 1.9 | Complete 90-Day or Unscheduled Follow-Up | <ul style="list-style-type: none"> Follow-up is completed and CIRTIS generated and worker generated case note is entered into the system. | CARES Assessor, RNS |

Deliverable 2 CIRT Business Process and Definition Document

| Process Step # | Process Step | Process Summary Table – UC06AI – CARES Follow-up Schedule Process Step Description | Responsibility |
|-----------------------|---|--|-----------------------|
| 1.10 | Decision: Client Discharged | <ul style="list-style-type: none"> • If Yes, proceed to process step 1.7. • If No, proceed to process step 1.11. | CARES Assessor, RNS |
| 1.11 | Decision: On-Site Assessment Completed Within 90 Days? | <ul style="list-style-type: none"> • If Yes, proceed to process step 1.14. • If No, proceed to process step 1.12. | CARES Assessor, RNS |
| 1.12 | Complete 701B or 701T Assessment | <ul style="list-style-type: none"> • If the client is not discharged from the temporary NF after the 90-day follow-up is completed, a 701B or 701T must be completed on-site. | CARES Assessor, RNS |
| 1.13 | CARES On-Site Assessment | <ul style="list-style-type: none"> • An on-site assessment is completed if the client is in the temporary NF, cannot be placed back in the community, and does not have 701B or 701T. • Proceed to the UC02AI - On-Site Assessment Process. | CARES Assessor, RNS |
| 1.14 | Decision: Community Potential? | <ul style="list-style-type: none"> • If Yes, proceed to process step 1.15. • If No, proceed to process step 1.13. | CARES Assessor, RNS |
| 1.15 | Program Placement Recommendation | <ul style="list-style-type: none"> • Proceed to the UC05AI - Program Placement Recommendation Process. | CARES Assessor, RNS |
| 1.16 | Staffing Process | <ul style="list-style-type: none"> • Proceed to the UC04AI - Staffing Process. | CARES Assessor, RNS |
| | Long-term NF | | |
| 1.17 | Decision: Client Residing In NF, Community, Or Hospital at Recommendation? | <ul style="list-style-type: none"> • If NF, proceed to process step 1.18. • If Community, proceed to process step 1.19. • If Hospital, proceed to process step 1.20. | CARES Assessor, RNS |
| 1.18 | Close Case in CIRT – No Follow-Up Needed | <ul style="list-style-type: none"> • If the client is residing in a NF at the time of recommendation, no follow-up is needed. • The case can be closed in CIRT. | CARES Assessor, RNS |
| 1.19 | Phone Call At 30 Days | <ul style="list-style-type: none"> • If the client is residing in the community at the time of the recommendation, a follow-up phone call is made at the 30-day period. | CARES Assessor, RNS |

Deliverable 2 CIRTTS Business Process and Definition Document

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC06AI – CARES Follow-up Schedule Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|-------------------------------------|--|-----------------------|
| 1.20 | 30-Day Follow-Up | <ul style="list-style-type: none"> If the client is residing in the hospital at the time of the recommendation, a 30-day follow-up is required. | CARES Assessor, RNS |
| 1.21 | Decision: Client in NF? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.22. If No, proceed to process step 1.27. | CARES Assessor, RNS |
| 1.22 | Update Demographic In CIRTTS | <ul style="list-style-type: none"> Update the demographics information for the client in CIRTTS. | CARES Assessor, RNS |
| 1.23 | Record Admission Date In CIRTTS | <ul style="list-style-type: none"> The admission date into the NF is entered into CIRTTS. | CARES Assessor, RNS |
| 1.24 | Complete A Medical Case File Review | <ul style="list-style-type: none"> Follow the UC03AI - Medical Case File Review Process. | CARES Assessor, RNS |
| 1.25 | Change Program Recommendation | <ul style="list-style-type: none"> In CIRTTS, update the program recommendation to MLTCN (Managed Long-Term Care NF). | CARES Assessor, RNS |
| 1.26 | Staffing | <ul style="list-style-type: none"> Proceed to the UC04AI - Staffing Process. | CARES Assessor, RNS |
| 1.27 | Second 30-Day Phone Call | <ul style="list-style-type: none"> If the client is not in a NF, a second 30-day phone call must be made. | CARES Assessor, RNS |
| 1.28 | Determine Reason | <ul style="list-style-type: none"> Determine the reason client is not in a NF. | CARES Assessor, RNS |
| 1.29 | Refer Case to ADRC | <ul style="list-style-type: none"> If needed, refer the case to the ADRC for further follow-up. | CARES Assessor, RNS |
| 1.30 | Notify client/Representative | <ul style="list-style-type: none"> Notify the client or representative their case will be closed. | CARES Assessor, RNS |
| 1.31 | Add Case Notes | <ul style="list-style-type: none"> Enter case notes into CIRTTS. | CARES Assessor, RNS |
| 1.32 | Change Placement In CIRTTS | <ul style="list-style-type: none"> Change the placement recommendation in CIRTTS. | CARES Assessor, RNS |

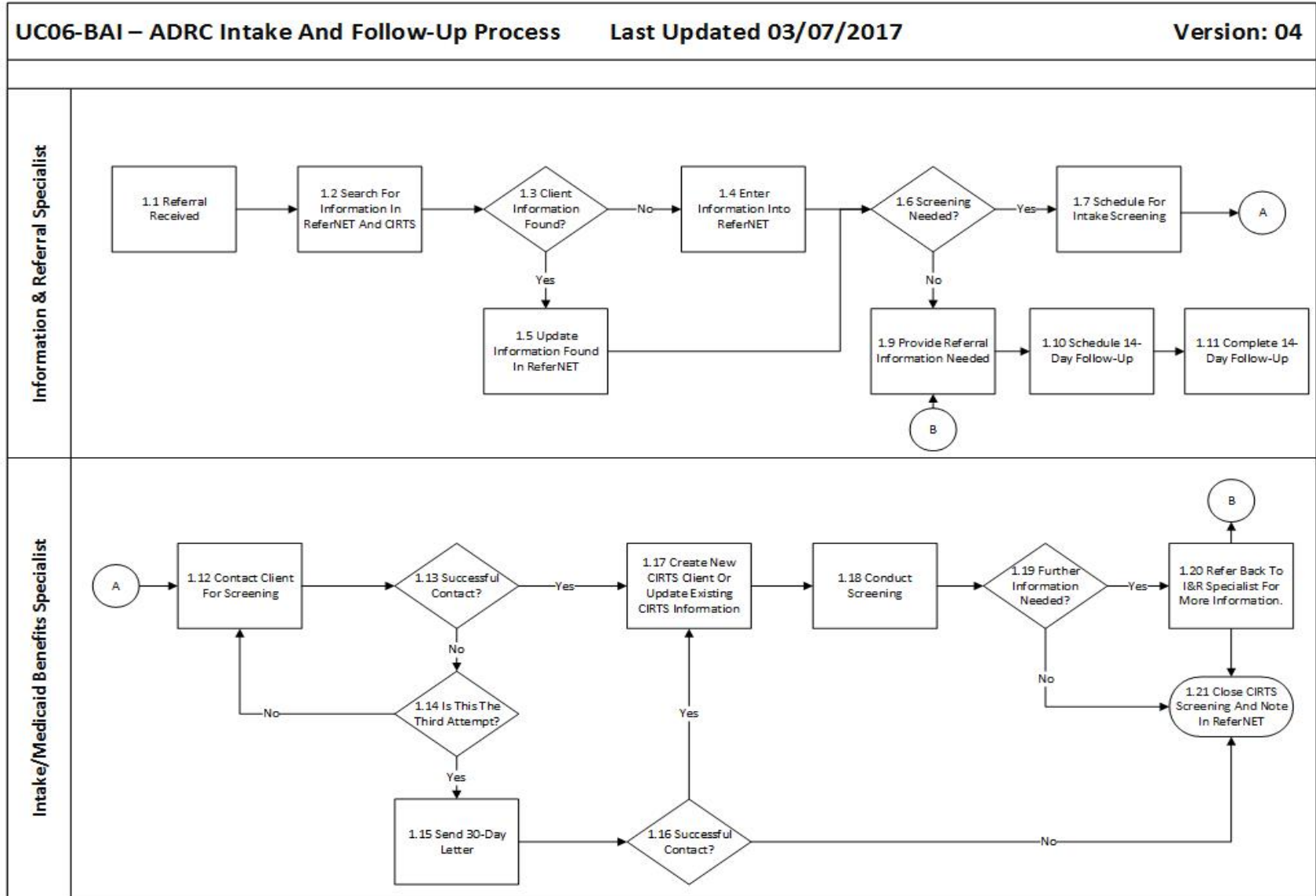
| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC06AI – CARES Follow-up Schedule Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|---|---|-----------------------|
| 1.33 | Close CIRTIS Case | <ul style="list-style-type: none"> Close the Case. | CARES Assessor, RNS |
| | Needs Specialized Services | | |
| 1.34 | Contact NF at 30 Days | <ul style="list-style-type: none"> Contact the NF for a 30-day follow-up. | CARES Assessor, RNS |
| 1.35 | Decision: client Still Located in NF And Needs Services? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.36. If No, proceed to process step 1.42. | CARES Assessor, RNS |
| 1.36 | Contact NF at 90 Days | <ul style="list-style-type: none"> Contact the NF for a 90-day follow-up. If client leaves the NF, then close the case in CIRTIS and update records accordingly. | CARES Assessor, RNS |
| 1.37 | Decision: Client Still Located in NF And Needs Services? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.38. If No, proceed to process step 1.42. | CARES Assessor, RNS |
| 1.38 | Contact NF at 180-Days | <ul style="list-style-type: none"> If client remains in NF and continues to need services schedule another follow-up at 180 days. | CARES Assessor, RNS |
| 1.39 | Decision: Client Still Located in NF And Needs Services? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.40. If No, proceed to process step 1.42. | CARES Assessor, RNS |
| 1.40 | Contact Client Annually | <ul style="list-style-type: none"> If the client remains in the NF past the 180-day check, an annual contact with the client is required for the duration of their stay in the NF. | CARES Assessor, RNS |
| 1.41 | Decision: Client Still Located in NF And Needs Services? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.40. If No, proceed to process step 1.42. | CARES Assessor, RNS |
| 1.42 | Close CIRTIS Case | <ul style="list-style-type: none"> When the client leaves the NF, no further action is required from CARES and the case can be closed. | CARES Assessor, RNS |

Deliverable 2 CIRTIS Business Process and Definition Document

| Process Step # | Process Step | Process Summary Table – UC06AI – CARES Follow-up Schedule Process Step Description | Responsibility |
|-----------------------|---|--|-----------------------|
| | Hospital Swing Bed | | |
| 1.43 | Initial Follow-Up In 30 Days | <ul style="list-style-type: none"> The system schedules a follow-up at the 30, 90, 180, annual and annual thereafter until the client is no longer in a swing bed or the case is closed. | System |
| 1.44 | Decision: Client Still in Swing Bed? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.45. If No, proceed to process step 1.49. | CARES Assessor, RNS |
| 1.45 | Unscheduled Follow-Up In 30 Days | <ul style="list-style-type: none"> Schedule and Complete a second 30-day follow-up. | CARES Assessor, RNS |
| 1.46 | Decision: Client Still in Swing Bed? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.47. If No, proceed to process step 1.49. | CARES Assessor, RNS |
| 1.47 | Extension Requested | <ul style="list-style-type: none"> An extension is requested if the client is still in the swing bed after 60 days | CARES Assessor, RNS |
| 1.48 | Complete Unscheduled Follow-Up For 30-60-Days | <ul style="list-style-type: none"> If the client remains in the swing bed, an unscheduled follow-up for 30-60 days will continue with an extension request at the 60-day mark. | CARES Assessor, RNS |
| 1.49 | Decision: In NF, Temporary NF, Or Community? | <ul style="list-style-type: none"> If Temporary NF, proceed to process step 1.4. If NF, proceed to process step 1.17. If Community, proceed to process step 1.52. | CARES Assessor, RNS |
| 1.50 | A | <ul style="list-style-type: none"> If the client is no longer in the swing bed and has been moved temporarily to a NF, proceed to process step 1.4. | CARES Assessor, RNS |
| 1.51 | B | <ul style="list-style-type: none"> If the client is no longer in the swing bed and has been moved to a NF, proceed to process step 1.17. | CARES Assessor, RNS |
| 1.52 | Decision: Services Needed? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.53. If No, proceed to process step 1.54. | CARES Assessor, RNS |
| 1.53 | Refer to ADRC For Waitlist | <ul style="list-style-type: none"> If the client is no longer in the swing bed and has been released to the community, but still requires services, the client will be placed on a waitlist after referral to the ADRC. | CARES Assessor, RNS |
| 1.54 | Close CIRTIS Case | <ul style="list-style-type: none"> If the client is no longer in the swing bed and has been released to the community, and does not need services, the CARES case can be closed. | CARES Assessor, RNS |

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC06AI – CARES Follow-up Schedule Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|---|--|-----------------------|
| | Hospital Based Skilled NF (HBSNF) | | |
| 1.55 | Complete 30-Day Follow-Up | <ul style="list-style-type: none"> If the client is in a Hospital Based Skilled NF, a 30-day follow-up is required. | CARES Assessor, RNS |
| 1.56 | Decision: Client Still In HBSNF? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.57. If No, proceed to process step 1.60. | CARES Assessor, RNS |
| 1.57 | Extension Request Received | <ul style="list-style-type: none"> If the client is still in the HBSNF after the 30-day follow-up, then a one-time 15-day extension can be requested. | CARES Assessor, RNS |
| 1.58 | Grant Extension | <ul style="list-style-type: none"> An extension is granted. | CARES Assessor, RNS |
| 1.59 | Complete Unscheduled Follow-Up | <ul style="list-style-type: none"> A 15-day unscheduled follow-up is required within 15 days of the extension being granted. | CARES Assessor, RNS |
| 1.60 | Decision: Client Discharged To NF, Temporary NF, or Community? | <ul style="list-style-type: none"> If Temporary NF, proceed to process step 1.4. If NF, proceed to process step 1.17. If Community, proceed to process step 1.61. | CARES Assessor, RNS |
| 1.61 | Decision: Services Needed? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.62. If No, proceed to process step 1.63. | CARES Assessor, RNS |
| 1.62 | Refer to ADRC For Waitlist | <ul style="list-style-type: none"> If the client is not discharged to a NF but continues to require services, the client is referred to the ADRC to be placed on the waitlist. | CARES Assessor, RNS |
| 1.63 | Close CIRTIS Case | <ul style="list-style-type: none"> If the client is not discharged to a NF and they do not require services, then CARES can close the case. | CARES Assessor, RNS |
| 1.64 | A | <ul style="list-style-type: none"> If the client is discharged to a NF, then proceed to process step 1.4. | CARES Assessor, RNS |
| 1.65 | B | <ul style="list-style-type: none"> If the client is discharged to a NF, then proceed to process step 1.17. | CARES Assessor, RNS |

3.2.7. UC06-BAI – ADRC Intake and Follow-up Process

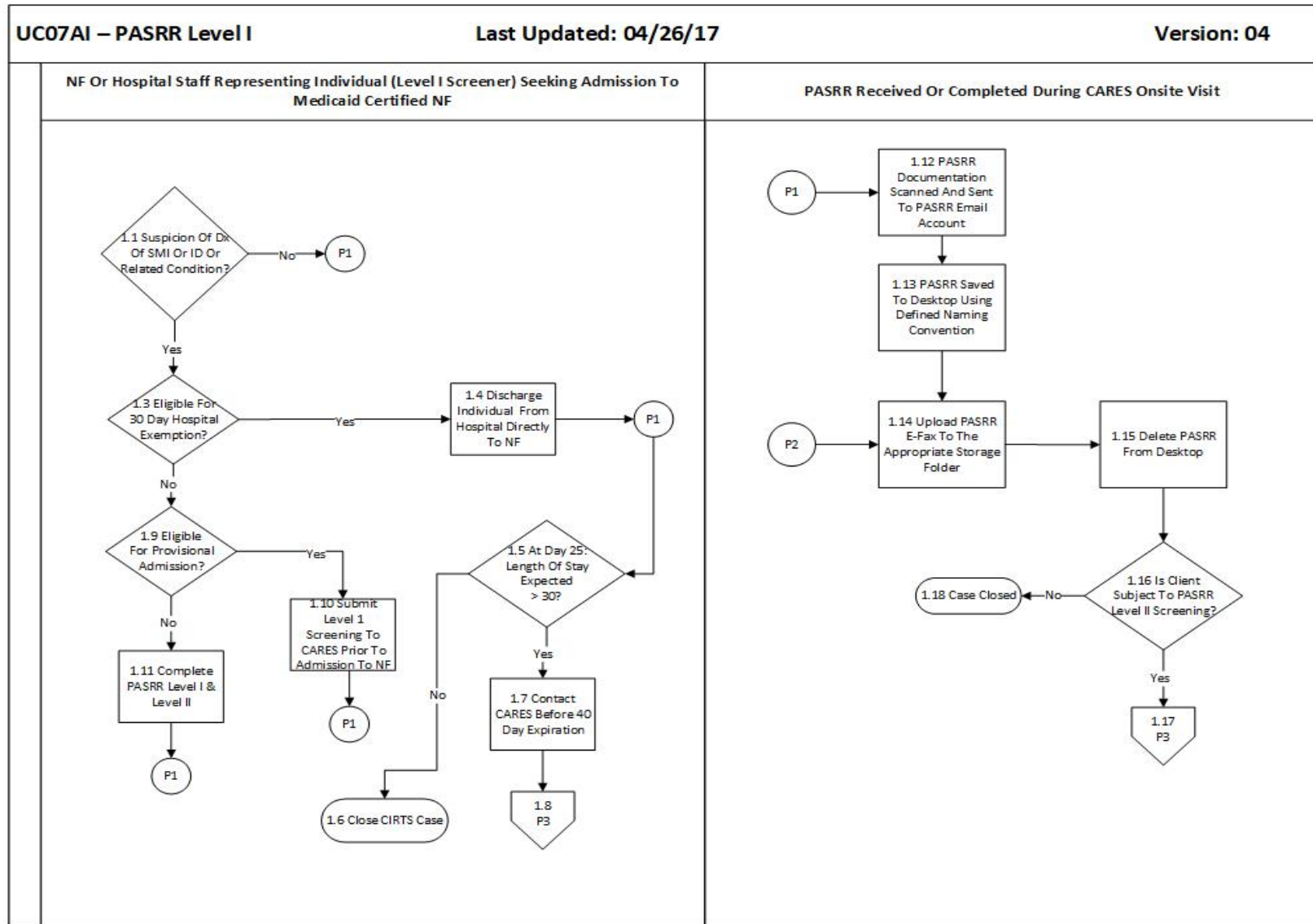


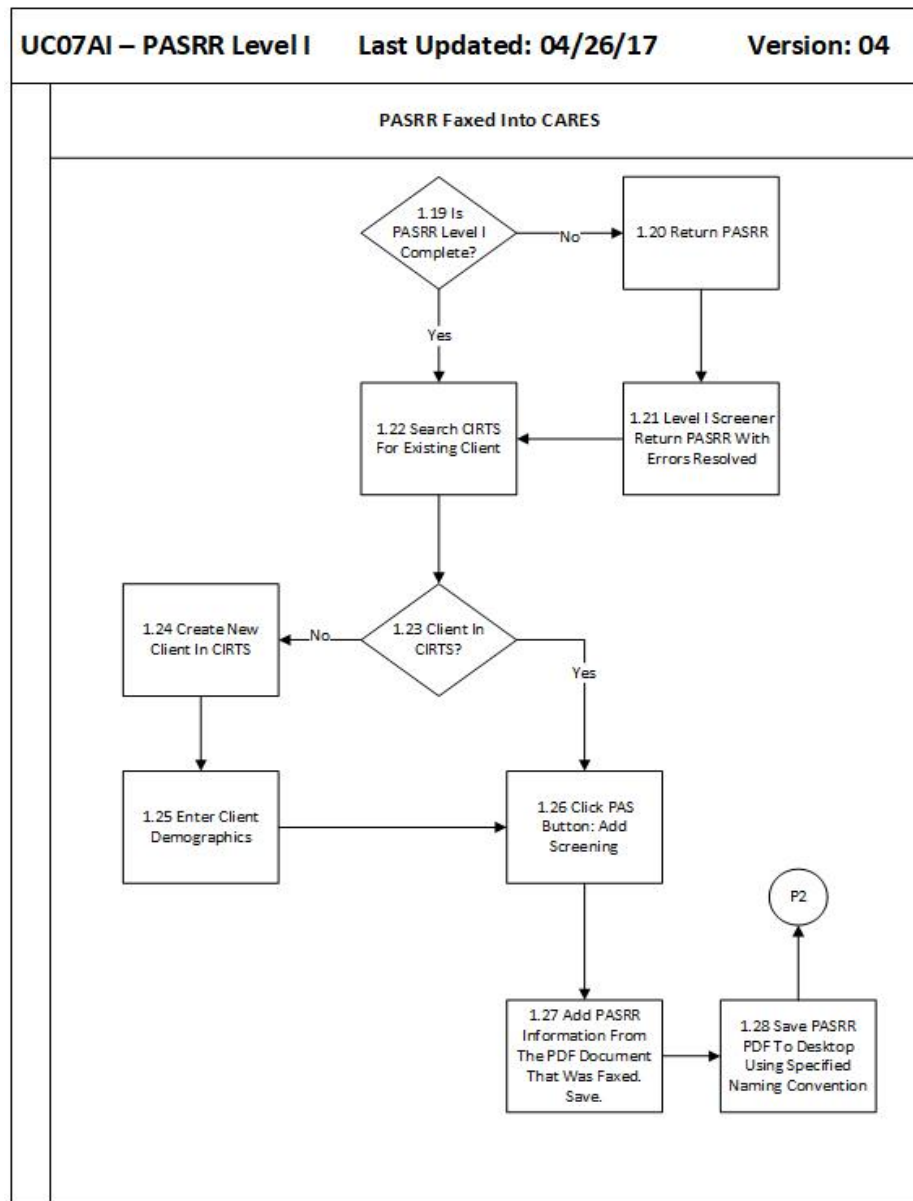
| Process Step # | Process Step | Process Summary Table – UC06-bAI – ADRC Intake and Follow-up Process Process Step Description | Responsibility |
|-----------------------|--|--|-----------------------|
| | Information and Referral Specialist | | |
| 1.1 | Referral Contact Received | <ul style="list-style-type: none"> A contact referral is received via Fax, Email, Phone Call, etc. | ADRC I&R Specialist |
| 1.2 | Search client Information in ReferNET and CIRTIS | <ul style="list-style-type: none"> ReferNET and CIRTIS are searched to locate client information. | ADRC I&R Specialist |
| 1.3 | Decision: Client Information Found? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.5. If No, proceed to process step 1.4. | ADRC I&R Specialist |
| 1.4 | Enter Information into ReferNET | <ul style="list-style-type: none"> If the client is not found in ReferNET, a new record is created. | ADRC I&R Specialist |
| 1.5 | Update Information Found in ReferNET | <ul style="list-style-type: none"> If the client is found, client demographic information is reviewed and updated as needed. | ADRC I&R Specialist |
| 1.6 | Decision: Screening Needed? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.7. If No, proceed to process step 1.9. | ADRC I&R Specialist |
| 1.7 | Referred Schedule for Intake Screening | <ul style="list-style-type: none"> Each ADRC determines the scheduling process for their 701S Screenings to occur. When it is determined, a client needs a 701S Screening, the ADRC will contact the client to schedule a day and time for the screening to occur. | ADRC I&R Specialist |
| 1.8 | A | <ul style="list-style-type: none"> Proceed to process step 1.12. | ADRC I&R Specialist |
| 1.9 | Provide Information and/or Referral Information Needed | <ul style="list-style-type: none"> If a screening is not needed, and instead only referral information and/or referral is needed, then provide the necessary information to the client. | ADRC I&R Specialist |

| Process Step # | Process Step | Process Summary Table – UC06-bAI – ADRC Intake and Follow-up Process Process Step Description | Responsibility |
|-----------------------|--|--|------------------------|
| 1.10 | Schedule 14-Day Follow-Up | <ul style="list-style-type: none"> After referral information, has been provided to a client, a 14-day follow-up task is created. This is to ensure the client is satisfied with the information provided and their needs have been met. | ADRC I&R Specialist |
| 1.11 | Complete 14-Day Follow-Up | <ul style="list-style-type: none"> Call the client and verify the needs have been met. If needs have been met, complete the task and note information in ReferNET. If needs have not been met, provide additional information and schedule another follow-up. | ADRC I&R Specialist |
| | Intake/Medicaid Benefits Specialist | | |
| 1.12 | Contact Client For Screening | <ul style="list-style-type: none"> Contact client for screening by the scheduled timeframe. If contact is successful, send note to I&R specialist for follow-up to be scheduled. If contact is successful, begin the screening or schedule the screening. | ADRC Intake/ Screening |
| 1.13 | Decision: Successful Contact? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.17. If No, proceed to process step 1.14. | ADRC Intake/ Screening |
| 1.14 | Decision: Is This the Third Attempt? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.15. If No, proceed to process step 1.12. | ADRC Intake/ Screening |
| 1.15 | Send 30-Day Letter | <ul style="list-style-type: none"> If the third attempt to contact the client has been made and is not successful, then the ADRC will send a letter to the client with a date to contact the office or the case will be closed. | ADRC Intake/ Screening |
| 1.16 | Decision: Successful Contact? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.17. If No, proceed to process step 1.21. | ADRC Intake/ Screening |
| 1.17 | Create New CIRTTS Client Or Update Existing CIRTTS Information | <ul style="list-style-type: none"> If the client was not found in CIRTTS, a new CIRTTS client is added into CIRTTS before a screening is completed. | ADRC Intake/ Screening |

| Process Step # | Process Step | Process Summary Table – UC06-bAI – ADRC Intake and Follow-up Process Process Step Description | Responsibility |
|-----------------------|---|--|---------------------------|
| 1.18 | Conduct Screening | <ul style="list-style-type: none"> • Conduct the 701S screening. • When screening is complete, access the enrollment screen. • Add client to appropriate waitlists (Open APCL). • If client is added to the SMMC LTC, begin the Med Waiver Timeline process. • When the client is added to the waitlist, add notes in ReferNET documenting the services that would be helpful to the client and/or services the client is interested in receiving. • When documentation is complete, update the billing screen with the appropriate units of time spent for this client. | ADRC Intake/ Screening |
| 1.19 | Decision: Further Information Needed? | <ul style="list-style-type: none"> • If Yes, proceed to process step 1.20. • If No, proceed to process step 1.21. | ADRC Intake/ Screening |
| 1.20 | Refer Back To I&R Specialist for More Information | <ul style="list-style-type: none"> • If after the screening has been completed and it is determined the client needs further information regarding services they are eligible to receive, the Intake Specialist transfers the client back to an I&R Specialist to provide the additional information. | ADRC Intake/ Screening |
| 1.21 | Close CIRTIS Screening and Note in ReferNET | <ul style="list-style-type: none"> • Close CIRTIS Screening. • Once screening in CIRTIS has been completed, add information in ReferNET for tracking purposes. | ADRC Intake/ Screening |

3.2.8. UC07AI – CARES Pre-Admission Screening and Resident Review (PASRR) - Level I





| Process Step # | Process Step | Process Summary Table – UC07AI-CARES Pre-Admission Screening and Resident Review (PASRR) - Level 1 Process Step Description | Responsibility |
|-----------------------|---|---|-------------------------------|
| | NF Or Hospital Staff Representing client (Level I Screener) Seeking Admission to Medicaid Certified NF | <ul style="list-style-type: none"> The PASRR process is started by a NF or hospital making a request on behalf of a client seeking admission to a Medicaid certified facility. | NF or Hospital representative |
| 1.1 | Decision: Client Has Suspicion or Dx (Diagnosis) Of SMI Or ID or Related Condition? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.3. If No, proceed to process step 1.2. | CARES Assessor/NF/Hospital |
| 1.2 | P1 | <ul style="list-style-type: none"> Proceed to process step 1.11. | |
| 1.3 | Decision: Eligible For 30-Day Hospital Exemption? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.4. If No, proceed to process step 1.8. | CARES Assessor/NF/Hospital |
| 1.4 | Discharge Client From Hospital Directly To NF | <ul style="list-style-type: none"> If the client has suspicion of or diagnosis of SMI/ID or related condition, then the client is eligible to be considered for a 30-day hospital exemption. The exemption allows for: <ul style="list-style-type: none"> The client to be admitted to the NF without having a PASRR Level II evaluation completed prior to admission. The client must be discharged from a hospital directly to NF. The physician must sign the PASRR Level I form indicating the length of stay if the NF is not expected to exceed 30 days. If by the 25th day of the NF stay it appears the client may stay past the 30-day limit, the NF must contact CARES. <ul style="list-style-type: none"> A PASRR Level II Evaluation and Determination is required and must be completed prior to 40 days from date of admission. A new Level I is not required. | CARES Assessor/NF/Hospital |

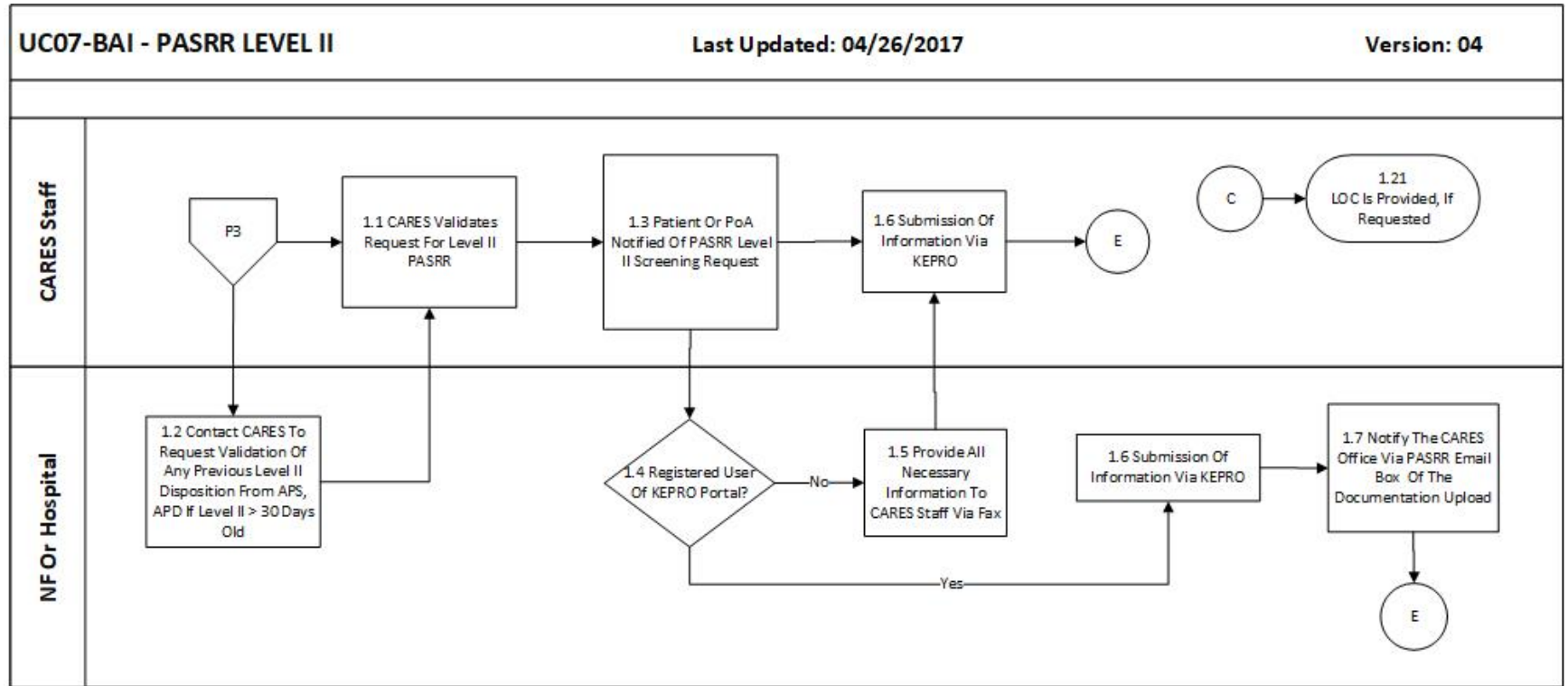
| Process Step # | Process Step | Process Summary Table – UC07AI-CARES Pre-Admission Screening and Resident Review (PASRR) - Level 1 Process Step Description | Responsibility |
|-----------------------|--|--|----------------------------|
| 1.5 | Decision: At Day 25: Length of Stay Expected > 30 Days? | <ul style="list-style-type: none"> • If Yes, proceed to process step 1.7. • If No, proceed to process step 1.6. | CARES Assessor/NF/Hospital |
| 1.6 | Close CIRT Case | <ul style="list-style-type: none"> • If the client is not expected to stay more than 30 days, on the 30th day CARES will validate the client has been discharged, add a disposition code is to the PASRR Screen and the CIRT Case is closed. | CARES Assessor |
| 1.7 | Contact CARES Before 40-Day Expiration | <ul style="list-style-type: none"> • If the client is expected to stay more than 30 days, CARES must be contacted to complete the Level II before the 40-day expiration date. | CARES Assessor/NF/Hospital |
| 1.8 | P3 | <ul style="list-style-type: none"> • Proceed to the UC07-bAI- CARES Pre-Admission Screening and Resident Review (PASRR) - Level II. | |
| 1.9 | Decision: Eligible for Provisional Admission | <ul style="list-style-type: none"> • If Yes, proceed to process step 1.10. • If No, proceed to process step 1.11. | CARES Assessor/NF/Hospital |
| 1.10 | Submit PASRR Level I Screening to CARES Prior To Admission To NF | <ul style="list-style-type: none"> • A provisional admission allows the client to be admitted to the NF without having a Level II evaluation completed prior to admission under the following circumstances: <ul style="list-style-type: none"> ○ Delirium: stay equal to or less than 7 days after delirium clears ○ Adult Protective Services: stay equal to or less than 7 days ○ Respite: stay equal to or less than 14 days twice a year. • Section IV of the PASRR Level I screening form must be indicative of the provision and submitted to CARES prior to admission to NF. • A PASRR Level II and 701B form must be completed prior to expiration of time limits. Delirium and Protective Services cases will receive a Level II prior to admission in most circumstances. • Proceed to process step 1.12. | CARES Assessor/NF/Hospital |

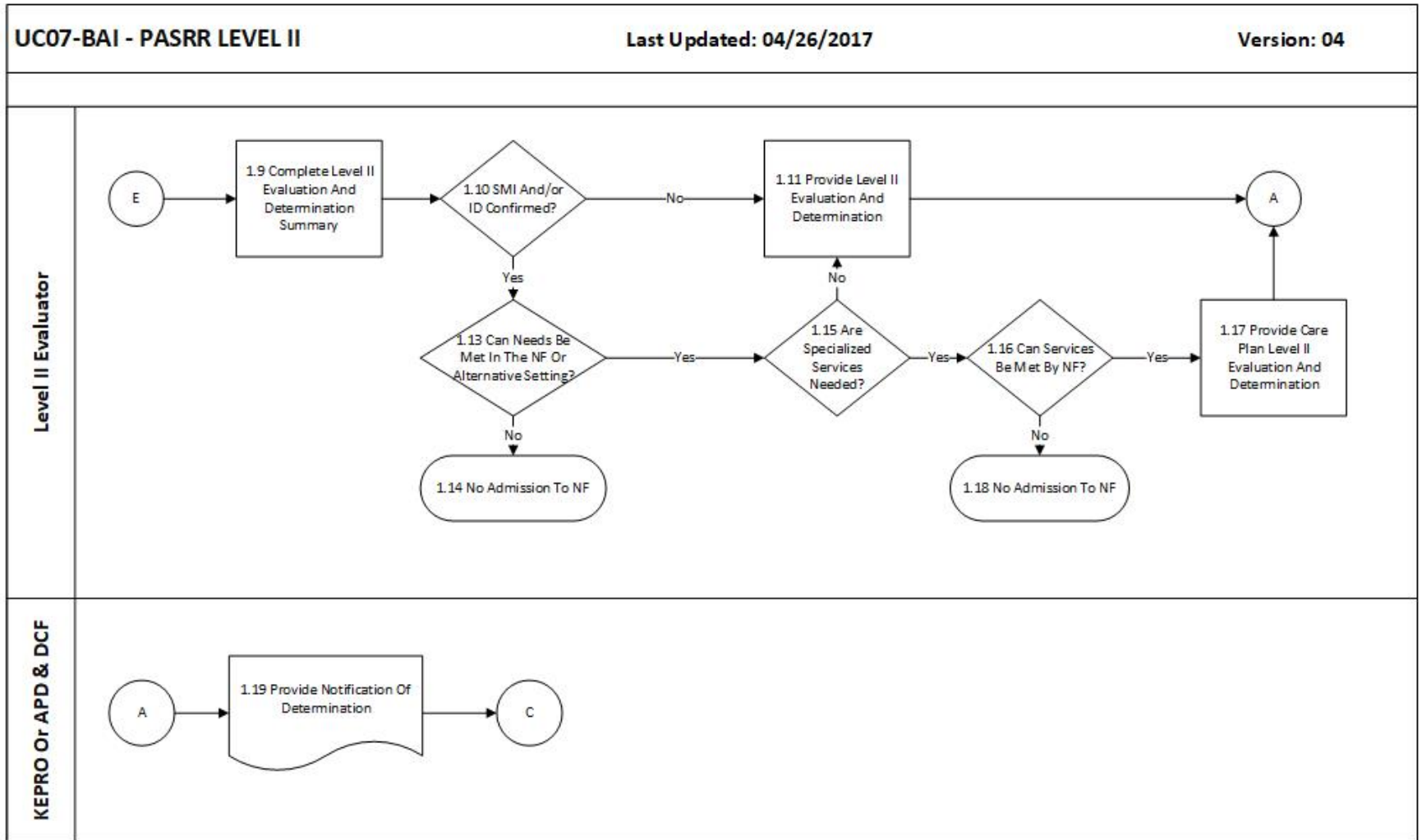
| Process Step # | Process Step | Process Summary Table – UC07AI-CARES Pre-Admission Screening and Resident Review (PASRR) - Level 1 Process Step Description | Responsibility |
|-----------------------|---|---|----------------------------|
| 1.11 | Complete PASRR Level I & Level II | <ul style="list-style-type: none"> • A PASRR Level I and Level II must be completed prior to admission to an NF. • A PASRR Level II Evaluation and Determination must be completed prior to the dates outlined above If the client is suspected or diagnosed with an SMI/ID but does not meet the medical eligibility for a 30-day hospital stay or provisional admission. • Proceed to process step 1.12. | CARES Assessor/NF/Hospital |
| | PASRR Is Received or Completed During an On-Site CARES Visit | | |
| 1.12 | PASRR Documentation Scanned and Sent to PASRR Email Account | <ul style="list-style-type: none"> • PASRR Level I screening forms are completed by a CARES assessor or by NF or hospital staff and transferred to the CARES assessor when they are on-site. • There are two types of PASRR forms: <ul style="list-style-type: none"> ○ Request for Admission to an NF and, ○ Resident Review of a client already residing in a NF. • This documentation is scanned and faxed to the PASRR email account. | CARES Assessor, RNS |
| 1.13 | PASRR Saved | <ul style="list-style-type: none"> • The PASRR Level I documentation is saved from the email account to the desktop and renamed to follow the set naming convention. (Naming Convention Documentation located in Appendix C of this document). | CARES Assessor, RNS |
| 1.14 | Upload PASRR E-Fax to The Appropriate Storage Folder | <ul style="list-style-type: none"> • The user must login to SharePoint. • The user browses to their PSA folder. • The file(s) are then uploaded to the correct folder in SharePoint. | CARES Assessor, RNS |
| 1.15 | Delete PASRR From Desktop | <ul style="list-style-type: none"> • To maintain security, the PASRR must be manually deleted from the desktop where it was initially saved. | CARES Assessor, RNS |
| 1.16 | Decision: Is Client Subject to PASRR Level II Screening? | <ul style="list-style-type: none"> • If Yes, proceed to UC07-bAI- CARES Pre-Admission Screening and Resident Review (PASRR) - Level II. • If No, proceed to process step 1.17. | CARES Assessor, RNS |

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC07AI-CARES Pre-Admission Screening and Resident Review (PASRR) - Level 1 Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|---|---|-----------------------|
| 1.17 | P3 | <ul style="list-style-type: none"> If the client is subject to PASRR Level II screening, they must continue the process for PASRR Level II screening. Proceed to the UC07-bAI- CARES Pre-Admission Screening and Resident Review (PASRR) - Level II. | CARES Assessor, RNS |
| 1.18 | Case Closed | <ul style="list-style-type: none"> If the client is not subject to PASRR Level I screening, they can close the case in CIRTS. | CARES Assessor, RNS |
| | PASRR Faxed Into CARES | | |
| 1.19 | Decision: Is PASRR Level 1 Complete? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.22. If No, proceed to process step 1.20. | CARES Assessor, RNS |
| 1.20 | Return PASRR | <ul style="list-style-type: none"> If the PASRR Level I is faxed to the CARES office as incomplete, it must be returned using the PASRR return Fax Cover Sheet with a complete list of errors identified. | CARES Assessor, RNS |
| 1.21 | PASRR Level 1 Screener Returns PASRR With Errors Resolved | <ul style="list-style-type: none"> The PASRR Level I screener at the facility will return the PASRR with the errors resolved. | CARES Assessor, RNS |
| 1.22 | Search CIRTS For Existing client | <ul style="list-style-type: none"> On receipt of a completed PASRR Level I form, CIRTS is searched for an existing client matching the client indicated on the form. If the client already exists in CIRTS, the PASRR Level I is saved into SharePoint. | CARES Assessor, RNS |
| 1.23 | Decision: Client In CIRTS? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.25. If No, proceed to process step 1.23. | CARES Assessor, RNS |
| 1.24 | Create New Client In CIRTS | <ul style="list-style-type: none"> If the client record does not exist in CIRTS, it must be created. | CARES Assessor, RNS |
| 1.25 | Enter Client Demographics | <ul style="list-style-type: none"> Enter the client demographics information below: <ul style="list-style-type: none"> ○ SSN ○ County | CARES Assessor, RNS |

| Process Step # | Process Step | Process Summary Table – UC07AI-CARES Pre-Admission Screening and Resident Review (PASRR) - Level 1 Process Step Description | Responsibility |
|-----------------------|--|--|-----------------------|
| | | <ul style="list-style-type: none"> ○ First Name ○ Last Name ○ Date of Birth (DOB) ○ Sex | |
| 1.26 | Click PAS Button: Add Screening | <ul style="list-style-type: none"> ● Click PAS button to add Screening to the client record. | CARES Assessor, RNS |
| 1.27 | Add PASRR Information from PDF Document That Was Faxed To CARES | <ul style="list-style-type: none"> ● Information contained in PASRR Level I document added to the PASRR Screen. ● The PASRR Level I is saved into SharePoint. | CARES Assessor, RNS |
| 1.28 | Save PASRR PDF File to Desktop Using Specified Naming Convention | <ul style="list-style-type: none"> ● The PASRR Level I documentation will be saved from the email account and saved to the desktop, then renamed to follow the set naming convention. | CARES Assessor, RNS |
| 1.29 | P2 | <ul style="list-style-type: none"> ● Proceed to process step 1.14. | CARES Assessor, RNS |

3.2.9. UC07-bAI – CARES Pre-Admission Screening and Resident Review (PASRR) - Level II





| Process Step # | Process Step | Process Summary Table –UC07-bAI- CARES Pre-Admission Screening and Resident Review (PASRR) - Level II Process Step Description | Responsibility |
|-----------------------|--|--|-----------------------|
| 1.1 | CARES Validates Request for PASRR Level II | <ul style="list-style-type: none"> If a previous PASRR Level II Evaluation and Determination, exists, CARES will determine if it is still valid: <ul style="list-style-type: none"> Send encrypted email to eolsen@kepro.com with CC: FLPASRRMIQuestions@kepro.com. | CARES |
| 1.2 | Contact CARES to Request Validation of Any Previous PASRR Level II Disposition From APS, APD If PASRR Level II > 30 Days Old | <ul style="list-style-type: none"> If the client has a previous PASRR Level II Evaluation and Determination greater than 30 days old, the admitting facility or client/representative must contact CARES to request validation of the previous PASRR Level II disposition. | NF or Hospital |
| 1.3 | Patient or PoA For the Patient Notified of PASRR Level II Screening Request | <ul style="list-style-type: none"> The patient or the authorized representative for the patient must be notified of the PASRR Level II Screening Request. DOEA provides a PASRR Notice Letter Template. | CARES |
| 1.4 | Decision: Registered User of KEPRO Portal? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.6. If No, proceed to process step 1.5. | |
| 1.5 | Provide Necessary Information to CARES Staff Via Fax | <ul style="list-style-type: none"> If the request is from a NF which is a registered user of the KEPRO Portal: <ul style="list-style-type: none"> The NF submits the necessary information to KEPRO and, The NF must notify CARES via the PASRR email box of the documentation upload to KEPRO. Hospital must contact CARES. They do not have authority to download to KEPRO website to submit a Level II request | NF |
| 1.6 | Submit Required Information Via KEPRO | <ul style="list-style-type: none"> The following information for the PASRR Level II must be submitted to KEPRO: <ul style="list-style-type: none"> PASRR Level I Screening or Resident Review Request Form; AHCA MedServ 3008 form; Case Notes of treatment/medications; Psychiatric or psychological evaluation (if available); and | CARES |

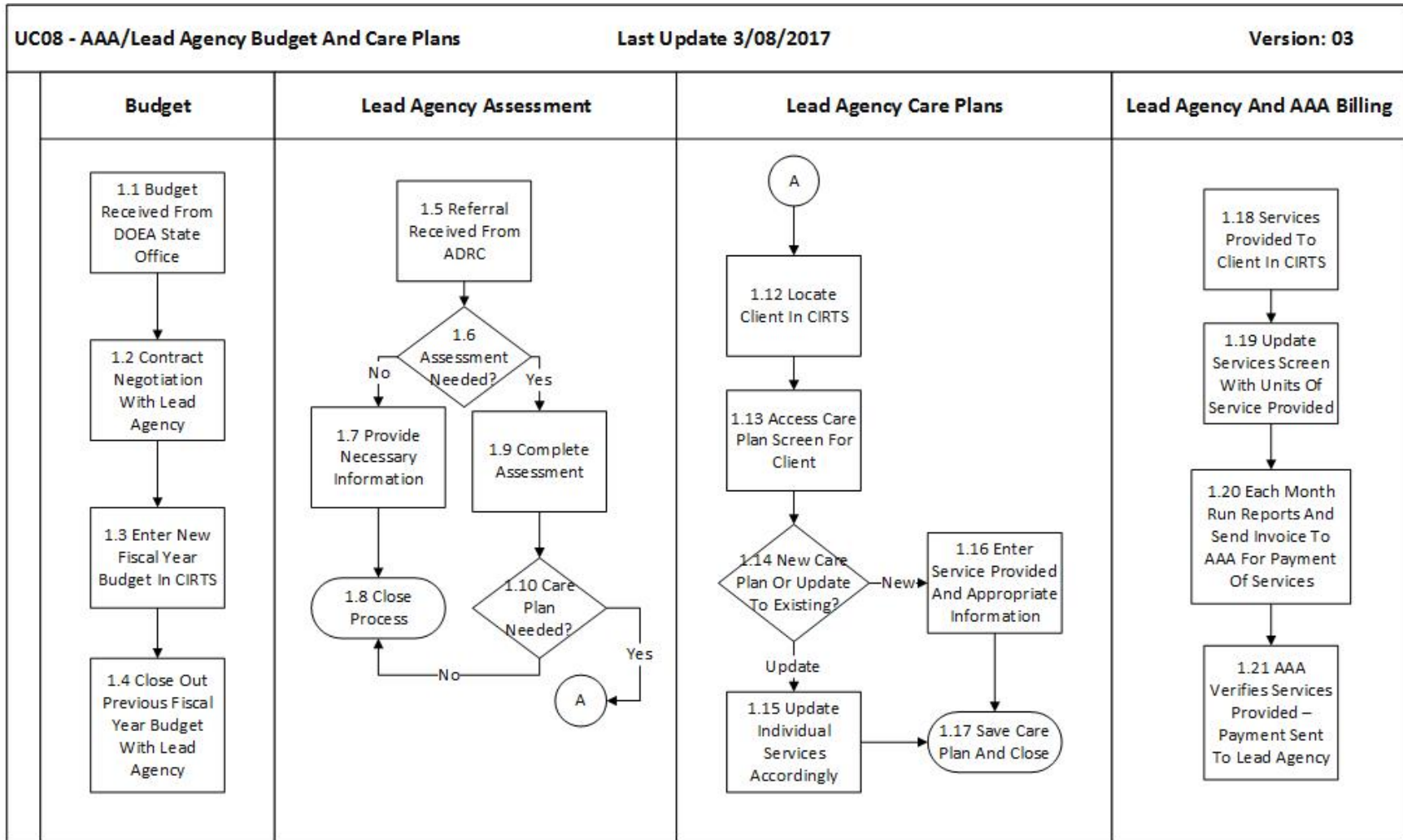
| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table –UC07-bAI- CARES Pre-Admission Screening and Resident Review (PASRR) - Level II Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|---|---|-----------------------|
| | | <ul style="list-style-type: none"> o DOEA 701B Assessment or MDS. | |
| 1.7 | Notify the CARES Office Via PASRR Email Box of The Documentation Upload | <ul style="list-style-type: none"> • If the NF uploads the documentation to KEPRO directly, they must notify the CARES office via the PASRR email box of the documentation upload. | NF |
| 1.8 | E | <ul style="list-style-type: none"> • Proceed to process step 1.9. | |
| | Level II Evaluator | | |
| 1.9 | Complete PASRR Level II Evaluation and Determination Summary | <ul style="list-style-type: none"> • A PASRR Level II Evaluation and Determination Summary must be completed within 7 days. | Evaluator |
| 1.10 | Decision: SMI and/or ID Confirmed? | <ul style="list-style-type: none"> • If Yes, proceed to process step 1.13. • If No, proceed to process step 1.11. | Evaluator |
| 1.11 | Provide PASRR Level II Evaluation and Determination | <ul style="list-style-type: none"> • If the SMI and/or ID is not confirmed the PASRR Level II Evaluation and Determination must be provided. • If the SMI and/or ID is confirmed and the needs can be met in an NF or alternative setting without the need of specialized services, then the PASRR Level II evaluation and determination must be provided. • If the needed specialized services can be met by an NF, and a PASRR Level II Evaluation and Determination must be provided. | Evaluator |
| 1.12 | A | <ul style="list-style-type: none"> • Proceed to process step 1.19. | Evaluator |
| 1.13 | Decision: Can Needs Be Met in The NF Or Alternative Settings? | <ul style="list-style-type: none"> • If Yes, proceed to process step 1.15. • If No, proceed to process step 1.14. | Evaluator |

Deliverable 2 CIRT Business Process and Definition Document

| Process Step # | Process Step | Process Summary Table –UC07-bAI- CARES Pre-Admission Screening and Resident Review (PASRR) - Level II Process Step Description | Responsibility |
|-----------------------|--|--|-----------------------|
| 1.14 | No Admission To NF | <ul style="list-style-type: none"> If the needs cannot be met in the NF or alternative settings, the client cannot be admitted to a NF. If the LOC is requested, it is staffed as a LOC Withhold. NF and DCF is informed of the decision via the DOEA-CARES Form 603. | Evaluator |
| 1.15 | Decision: Are Specialized Services Needed? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.16. If No, proceed to process step 1.11. | Evaluator |
| 1.16 | Decision: Can Services Be Met By NF? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.17. If No, proceed to process step 1.18. | Evaluator |
| 1.17 | Provide Care Plan and PASRR Level II Evaluation and Determination Form | <ul style="list-style-type: none"> If services can be met by the NF, the NF must include the services in the individuals care plan that were identified in the Level II Evaluation and Determination. | Evaluator |
| 1.18 | No Admission To NF | <ul style="list-style-type: none"> If the SMI and/or ID is confirmed but the needs cannot be met in the NF or Alternative settings, the client cannot be admitted to the NF. CARES will issue a withheld LOC and notification of the decision to the NF and DCF is delivered via the DOEA-CARES Form 603. | Evaluator |
| | KEPRO For APD and DCF | | |
| 1.19 | Provide Notification of Determination Document | <ul style="list-style-type: none"> KEPRO as designee for DCF and/or APD must provide notification of determinations to: <ul style="list-style-type: none"> CARES; Client or legal guardian; Admitting or retaining NF; Client’s attending physician; and Discharging hospital (if applicable) | APS/APD |
| 1.20 | C | <ul style="list-style-type: none"> Proceed to process step 1.21. | |

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table –UC07-bAI- CARES Pre-Admission Screening and Resident Review (PASRR) - Level II Process Step Description</i> | <i>Responsibility</i> |
|------------------------------|---|--|------------------------------|
| 1.21 | Level of Care (LOC) Is Provided, If Requested | <ul style="list-style-type: none"> • CARES, via the staffing process, will provide a LOC for the client. | CARES Staff |

3.2.10. UC08AI – AAA/Lead Agency Budget and Care Plans



| Process Step # | Process Step | Process Summary Table –UC08AI - ADRC/Lead Agency Budget and Care Plans Process Step Description | Responsibility |
|-----------------------|--|---|---------------------------|
| | Budget | | ADRC Fiscal Administrator |
| 1.1 | Budget Received from DOEA State Office | <ul style="list-style-type: none"> • DOEA State Office receives the budget for the next Fiscal Year. • The budget is placed into the Department’s main budget system. • The budget is divided out appropriately to each PSA ADRC. • The ADRC will receive the budget via an Excel spreadsheet. | DOEA Staff |
| 1.2 | Contract Negotiation with Lead Agency | <ul style="list-style-type: none"> • For each Lead Agency, the ADRC Fiscal Office determines budget allocation. • Fiscal Administrator will begin contract negotiations with each Lead Agency to determine their new contracted rate amount for services being provided. • Budgets are received from the Lead Agency and compared to previous years for any increase or decrease in funding requested. | ADRC Fiscal Administrator |
| 1.3 | Enter New Fiscal Year Budget In CIRTS | <ul style="list-style-type: none"> • Once a new budget contact has been confirmed, then the ADRC Fiscal Office will open CIRTS and search for the Provider/Lead Agency. • The Fiscal Office will search for the Lead Agency current Fiscal Year budget. For each line item, on the current budget, they will enter a duplicate line item for the new fiscal year budget. • Each line item is saved, updated with the new approved funding, and saved again. | ADRC Fiscal Administrator |
| 1.4 | Close Out Previous Fiscal Year Budget with Lead Agency | <ul style="list-style-type: none"> • Once the new Fiscal Year budget has been put in place, the ADRC Fiscal Office manually sets the end date for each line item of the current fiscal year to close out the budget. • Each budget is broken down further into the unit rate and amounts for each service the Lead Agency is approved to provide. • There can be 30 services or more per Lead Agency depending on the waiver. • All services must be entered before a Lead Agency can provide services for a client in CIRTS. | ADRC Fiscal Administrator |
| | Lead Agency Assessment | | |

Deliverable 2 CIRTTS Business Process and Definition Document

| Process Step # | Process Step | Process Summary Table –UC08AI - ADRC/Lead Agency Budget and Care Plans Process Step Description | Responsibility |
|-----------------------|-------------------------------------|--|---------------------------------|
| 1.5 | Referral Received From ADRC | <ul style="list-style-type: none"> A client is referred to a Lead Agency for services. | Lead Agency |
| 1.6 | Decision: Assessment Needed? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.9. If No, proceed to process step 1.7. | Lead Agency |
| 1.7 | Provide Necessary Information | <ul style="list-style-type: none"> If the client is requesting information on resources the information is provided. | Lead Agency/ADRC I&R Specialist |
| 1.8 | Close Process | <ul style="list-style-type: none"> Once the information has been received, the process will be closed out. The process could be closed by an I&R Specialist in ReferNET. | Lead Agency/I&R Specialist |
| 1.9 | Complete Assessment | <ul style="list-style-type: none"> If an assessment is needed, the Lead Agency will meet with the client and conduct a face-to-face assessment. a paper-based or electronic version of the assessment. The Lead Agency will then enter the handwritten Assessment into the CIRTTS system. A handwritten copy of the Assessment will be placed into the client’s file. | Lead Agency |
| 1.10 | Decision: Care Plan Needed? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.12. If No, proceed to process step 1.8. | Lead Agency |
| 1.11 | A | <ul style="list-style-type: none"> Proceed to process step 1.12. | Lead Agency |
| 1.12 | Locate Client in CIRTTS | <ul style="list-style-type: none"> After an assessment has been completed a Care Plan must be completed for each client. The Lead Agency will create a new care plan for initial clients and will update existing care plans for existing clients. | Lead Agency |
| 1.13 | Access Care Plan Screen for Client | <ul style="list-style-type: none"> Once a client is located in CIRTTS, from the client demographic page, select the Care Plans option. The system will display the Care Plan screen. This option is dependent on the role of the CIRTTS user. | Lead Agency |

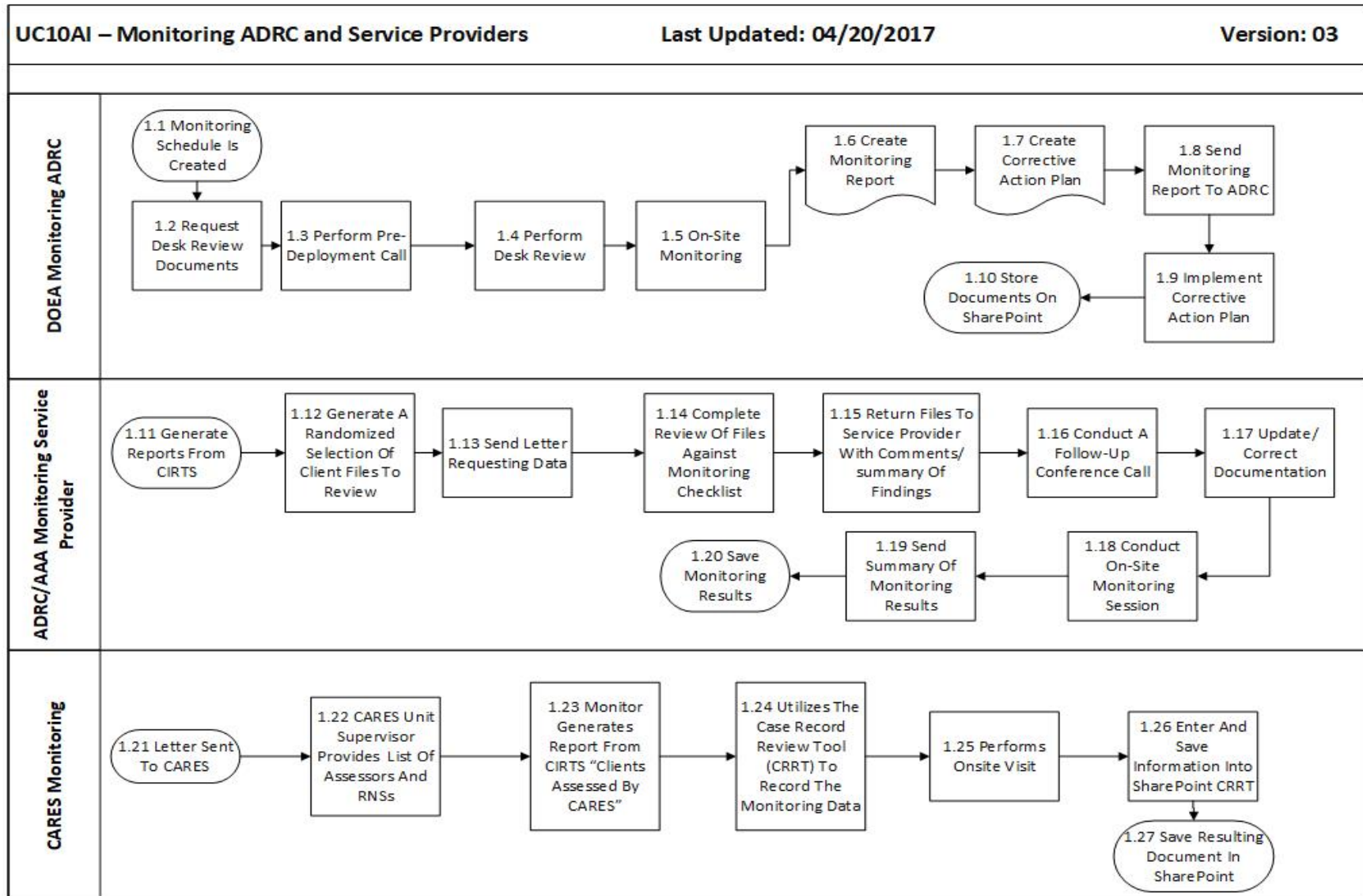
| Process Step # | Process Step | Process Summary Table –UC08AI - ADRC/Lead Agency Budget and Care Plans Process Step Description | Responsibility |
|-----------------------|---|--|---|
| 1.14 | Decision: New Care Plan or Update Existing? | <ul style="list-style-type: none"> • If New Care Plan, proceed to process step 1.16. • If Update Existing, proceed to process step 1.15. | Lead Agency |
| 1.15 | Update Individual Services Accordingly | <ul style="list-style-type: none"> • If a care plan should be updated, the lead agency will update the existing lines by updating the units and service dates. • If a new care plan is created for a new fiscal year, each entry in the previous year’s care plan must have a service end date. New lines are added for each line item in the care plan for the new service, units, and service dates needed on the care plan. | Lead Agency |
| 1.16 | Enter Service Provided and Appropriate Information | <ul style="list-style-type: none"> • To create a care plan, the lead agency will enter the service, unit frequency, and date range for each service provided. | Lead Agency |
| 1.17 | Save Care Plan and Close | <ul style="list-style-type: none"> • Save the Care Plan throughout the process. • Once the Care Plan is complete, save and close the Care Plan in CIRTBS. | Lead Agency |
| | Lead Agency and AAA Billing | | |
| 1.18 | Services Provided to Client In CIRTBS | <ul style="list-style-type: none"> • Each month, services are provided to the client based on the approved Care Plans found in CIRTBS. | Lead Agency and ADRC Fiscal Administrator |
| 1.19 | Update Services Screen with Units of Service Provided | <ul style="list-style-type: none"> • As the service is provided, the Billing Screens in CIRTBS are updated accordingly with the units of services being provided. | Lead Agency and AAA Fiscal Administrator |
| 1.20 | Each Month Run Report and Send Invoice to AAA For Payment of Services | <ul style="list-style-type: none"> • By the 15th of the month, an invoice is created and sent to the ADRC for billing purposes. | Lead Agency and AAA Fiscal Administrator |

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table –UC08AI - ADRC/Lead Agency Budget and Care Plans Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|--|--|--|
| 1.21 | AAA Verifies Services Provided – Payment Sent to Lead Agency | <ul style="list-style-type: none"> • The ADRC will validate information is correct and the appropriate documentation has been provided to ensure services were provided. • Once the ADRC approves the Lead Agency Invoice, the Invoice is then sent to DOEA State Office for payment. • The payment will then be sent to the Lead Agency. | Lead Agency and AAA Fiscal Administrator |

3.2.11. UC09AI – Grievance Handling

Refer to Appendix D: Minimum Guidelines for Recipient Grievance Procedures within the Department of Elder Affairs Programs and Services Handbook.

3.2.12. UC10AI – Monitoring CARES, ADRC and Lead Agencies



| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC10AI - Monitoring CARES, ADRC and Lead Agencies Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|--------------------------------|---|-----------------------|
| | DOEA Monitoring ADRC | | |
| 1.1 | Monitoring Schedule Is Created | <ul style="list-style-type: none"> • Monitoring is conducted with an ADRC Monitoring Tool based on established Interpretive Guidelines for: <ul style="list-style-type: none"> ○ General Revenue ○ APS ○ Prioritization of DOEA Services ○ ADRC Operations and Activities ○ CIRTIS Data Accuracy ○ Subcontractor Monitoring and Oversight • By February, an annual monitoring schedule is created for the process of DOEA monitoring all ADRC/AAA agencies. • Reports from the previous year(s) are reviewed for points of interest and follow-up for the current years monitoring. • The schedule is communicated to the ADRCs. | DOEA Monitors |
| 1.2 | Request Desk Review Documents | <ul style="list-style-type: none"> • A request is emailed to the ADRC with an outline of required documentation to be reviewed. • A copy of the required files is sent back to the DOEA monitoring staff. • A desk review is conducted (to make the most of the time to be spent on-site). | DOEA Monitors |
| 1.3 | Perform A Pre-Deployment Call | <ul style="list-style-type: none"> • A pre-deployment call is conducted for monitoring scheduling and to review what is to be performed while the monitors are on-site. • This typically occurs 3-4 weeks prior to the on-site monitoring visit. | DOEA Monitors |
| 1.4 | Perform Desk Review | <ul style="list-style-type: none"> • Files received from the ADRC are reviewed for accuracy and correctness. If any issues are found they are noted and sent for correction in the Corrective Action Report. | DOEA Monitors |
| 1.5 | On-Site Monitoring | <ul style="list-style-type: none"> • On-site monitoring is conducted at the ADRC as well as some randomly chosen general revenue program contractors. | DOEA Monitors |

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| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC10AI - Monitoring CARES, ADRC and Lead Agencies Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|---|--|-----------------------|
| 1.6 | Create Monitoring Report | <ul style="list-style-type: none"> • After the monitoring is complete, a report is generated including but not limited to: <ul style="list-style-type: none"> ○ Monitoring Scope, Objectives, and Methodology. ○ PSA Profile. ○ Compilation of Findings. ○ Suggestions for Improvement. ○ PSA Highlights. ○ Noteworthy Observations. ○ Appendix: <ul style="list-style-type: none"> ▪ Legislatively Mandated Performance Outcome Measures. ▪ Progress Report. ▪ Major Federal, State and Contractual Compliance Guidelines. ▪ Statewide Map of PSAs. | DOEA Monitors/ADRC |
| 1.7 | Create Corrective Action Plan | <ul style="list-style-type: none"> • An action plan is created, if needed, based on the results of the monitoring process for corrective action. • The plan is created with input from both the ADRC/contractor and DOEA. | ADRC |
| 1.8 | Send Monitoring Report To ADRC | <ul style="list-style-type: none"> • The monitoring report is sent to the ADRC Board President with CC: ADRC Executive Director, DOEA Director of the Financial Administration, DOEA Monitoring and QA Team Members and Contract Manager. | DOEA |
| 1.9 | Implement Corrective Action Plan | <ul style="list-style-type: none"> • DOEA will work with the ADRC to assist with an implementation plan for the corrective actions. | ADRC |
| 1.10 | Store Documents on SharePoint | <ul style="list-style-type: none"> • Monitoring Report and any other created plans are saved into a designated SharePoint site location. | DOEA |
| | ADRC/AAA Monitoring Service Provider | | |
| 1.11 | Generate Reports From CIRTIS | <ul style="list-style-type: none"> • ADRC monitor generates reports from CIRTIS. | ADRC Monitor |

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| Process Step # | Process Step | Process Summary Table – UC10AI - Monitoring CARES, ADRC and Lead Agencies Process Step Description | Responsibility |
|-----------------------|--|--|-----------------------|
| 1.12 | Generate A Randomized Selection of Client Files to Review | <ul style="list-style-type: none"> • A selection of client files to review is generated from CIRTTS for the monitoring process. • The selection size of files is around 10 percent sample of the number of clients served by the Lead Agency. | ADRC Monitor |
| 1.13 | Send Letter Requesting Data | <ul style="list-style-type: none"> • A letter is mailed or emailed to the service provider requesting paper copies of documentation needed to perform a review. • If the file(s) is too large, arrangements are made to review the file(s) onsite during the monitor’s visit. • Included in the monitoring files are client files of at least 2 years of data. • Included in the requested monitoring files are the most current training and complaint logs as well as licensing. • Included in the monitoring files is documentation verifying the services entered into CIRTTS are being provided by the service provider. | ADRC Monitor |
| 1.14 | Complete Review of Files Against Monitoring Checklist | <ul style="list-style-type: none"> • A review of the files is conducted per the monitoring checklist the ADRC has developed. | ADRC Monitor |
| 1.15 | Return Files to Service Provider with Comments and Summary of Findings | <ul style="list-style-type: none"> • Files are returned to the service provider with any comments and a summary of findings. • In general, the files are returned within 1-2 weeks of receipt. | ADRC Monitor |
| 1.16 | Conduct A Follow-Up Conference Call | <ul style="list-style-type: none"> • Once the desk review has been completed and comments/summary have been returned to the service provider, a follow-up conference call is conducted to review the results with the service provider. | ADRC Monitor |
| 1.17 | Update/Correct Documentation | <ul style="list-style-type: none"> • The service provider is tasked with making any updates to the data within CIRTTS and/or corrections within 2 weeks of the communicated feedback. | Service Provider |
| 1.18 | Conduct On-Site Monitoring Session | <ul style="list-style-type: none"> • An on-site monitoring session is conducted. | ADRC Monitor |

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| Process Step # | Process Step | Process Summary Table – UC10AI - Monitoring CARES, ADRC and Lead Agencies Process Step Description | Responsibility |
|-----------------------|---|---|-----------------------|
| 1.19 | Send Summary of Monitoring Results | <ul style="list-style-type: none"> Summary of the monitoring results is sent to board chairs of lead agencies and the ADRC board representatives. Dependent on the results, a corrective action plan may be required of the provider by the AAA. | ADRC Monitor |
| 1.20 | Save Monitoring Results | <ul style="list-style-type: none"> Monitoring results are stored in a physical file and in a designated network folder. | ADRC Monitor |
| | CARES Monitoring | | |
| 1.21 | Letter Sent to CARES | <ul style="list-style-type: none"> The RNS creates a schedule for the annual review. The RNS then contacts the CARES Unit by letter alerting them to the monitoring date. | RNS CARES Monitor |
| 1.22 | CARES Unit Supervisor Provides List of Assessors and RNSs | <ul style="list-style-type: none"> The CARES Unit supervisor will respond to the letter confirming the date. Sends the list of assessors and RNSs to the monitor. | CARES Unit Supervisor |
| 1.23 | Monitor Generates Report from CIRT “clients Assessed By CARES” | <ul style="list-style-type: none"> The CARES Monitor uses the list of assessors, or RNS, sent to generate a report from CIRT “clients Assessed by CARES.” Monitor randomly chooses 4 clients per assessor, or RNS. Monitor validates the client file was staffed within the last 4 months. Monitor validates a variety of assessment types for each assessor, or RNS, is available. | RNS CARES Monitor |
| 1.24 | Utilizes the Case Record Review Tool (CRRT) To Record the Monitoring Data | <ul style="list-style-type: none"> The CRRT (Case Record Review Tool) is used to perform the assessment and record the monitor data. The CRRT is a form located on the CRRT area of the CARES SharePoint site. The monitor prints out the form and makes edits on the physical form first. | RNS CARES Monitor |
| 1.25 | Perform Onsite Visit | <ul style="list-style-type: none"> Once the desk review of the files is completed, an onsite assessment is performed. The onsite assessment consists of observation: assessment and staffing as well as viewing of physical documentation ensure it supports the data entered into CIRT. | RNS CARES Monitor |

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC10AI - Monitoring CARES, ADRC and Lead Agencies Process Step Description</i> | <i>Responsibility</i> |
|-----------------------|---|---|-----------------------|
| 1.26 | Enter and Save Information into SharePoint CRRT | <ul style="list-style-type: none"> The monitor uses the physical form printed from SharePoint as reference to enter data into the electronic version of the document within SharePoint. Because it takes a long time to open and save the document in SharePoint, the monitor enters the information into the document all at once. Once the save button is clicked, the monitor waits until the document appears in the list of saved documents before the form is closed. | RNS CARES Monitor |
| 1.27 | Save Resulting Document SharePoint | <ul style="list-style-type: none"> The resulting document is saved as a PDF. The monitor and the PSA supervisor have access to this document. The resulting document does have direct bearing on the assessor's, or RNS's, annual review. Given this, it is important to maintain the integrity of the monitoring document and to be sure the questions are clear and relevant. | RNS CARES Monitor |

3.2.13. UC11AI – Emergency Preparedness

Refer to Chapter 8: Emergency Management and Preparedness within the Department of Elder Affairs Programs and Services Handbook.

3.3. To-Be (TB) Process Descriptions

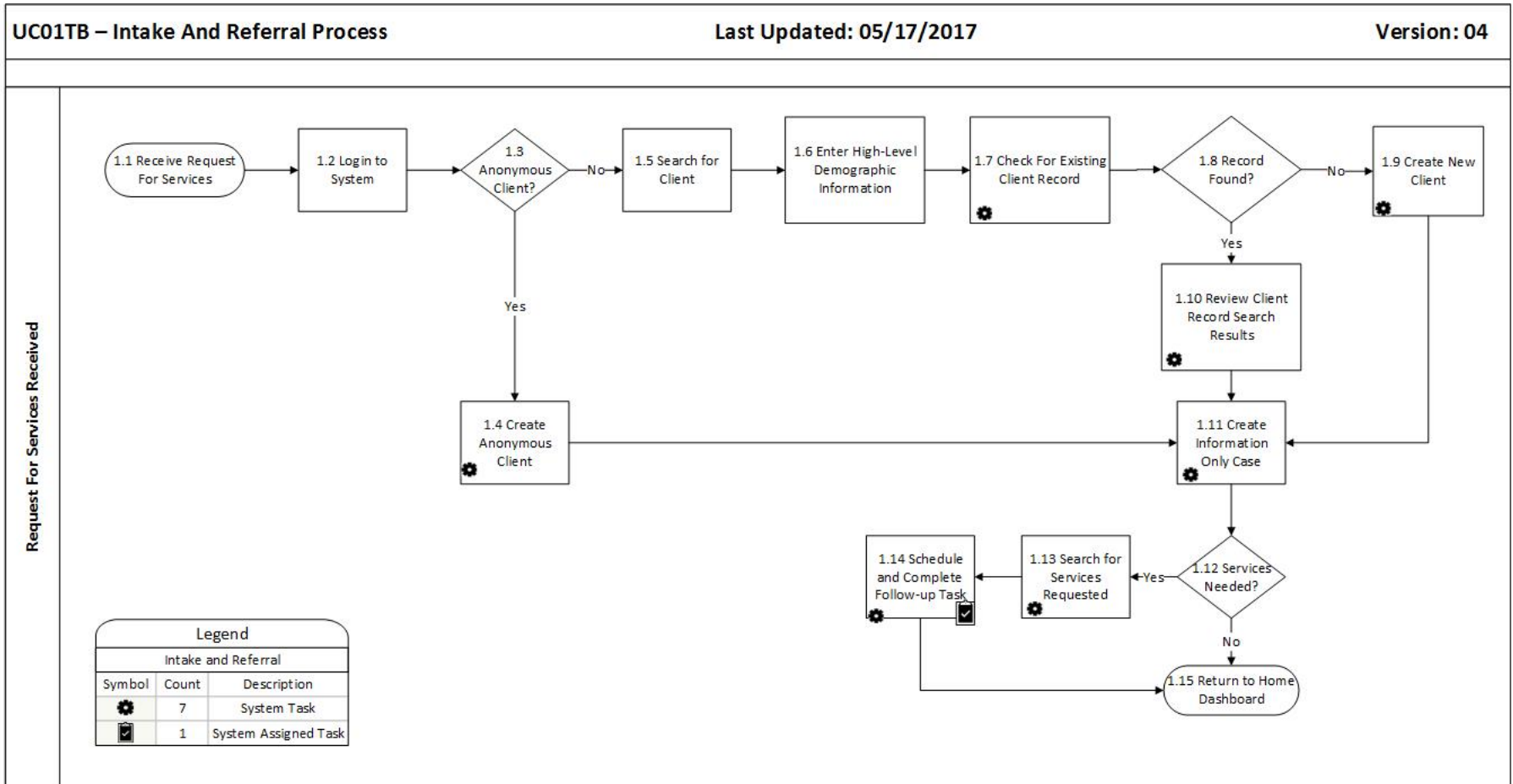
The following use cases are used to illustrate the To-Be process flows in the following subsections.

| Use Case | Process Flow Description |
|----------|---|
| UC01TB | CARES Intake and ADRC Information & Referral Process |
| UC02TB | CARES Assessment Process |
| UC03TB | ADRC Screening Process |
| UC04TB | Lead Agency Assessment and Care Plan Process |
| UC05TB | Service Billing Process |
| UC06TB | CARES LOC, Recommended Placement and Staffing Process |
| UC07TB | CARES Follow-up Process |
| UC08TB | Monitoring Process |
| UC09TB | Complaint Process |
| UC10TB | Provider and Contract Management Process |
| UC11TB | Account Registration Process |
| UC12TB | CARES Case Record Review Tool (CRRT) |
| UC13TB | PASRR Level I Process |

Table 3.3 – To-Be Process Flows

3.4. To-Be (TB) Process Flows

3.4.1. UC01TB – CARES Intake and ADRC Information and Referral To-Be Application Process



| Process Step # | Process Step | Process Summary Table – UC01TB – CARES Intake and ADRC I&R Process Process Step Description | Responsibility | Change Implication |
|----------------|--------------------------------------|---|------------------------------------|--------------------------------------|
| | Request for Services Received | | | |
| 1.1 | Receive Request for Services | <ul style="list-style-type: none"> • The Intake process begins with a request for services received by an ADRC or CARES office through one the following channels: <ul style="list-style-type: none"> ○ Phone Call (including the Elder Helpline); ○ U.S. Postal Mail; ○ Email; ○ Fax; or ○ Hand Delivery. | ADRC I&R/ CARES Staff Assistant | Communication |
| 1.2 | Login to System | <ul style="list-style-type: none"> • The user logs into the system. • The system displays the users Home Dashboard. | ADRC I&R/ CARES Staff Assistant | Communication |
| 1.3 | Decision: Anonymous Client? | <p>An anonymous client is as a contact, or client, who refuses to provide their name, phone number or any identifying information</p> <ul style="list-style-type: none"> • If yes, proceed to process step 1.4. • If No, proceed to process step 1.5. | | |
| 1.4 | Create Anonymous Client | <ul style="list-style-type: none"> • If the client requests to remain anonymous, the user selects <i>Add New Client</i> from the Home Dashboard, and selects the <i>Anonymous</i> checkbox. • The system disables the demographic fields shown on the Search screen. • The system displays the client demographic screen. • Proceed to process step 1.11. | ADRC I&R | Business/ Operations, Training |
| 1.5 | Search for Client | <ul style="list-style-type: none"> • The User selects the link to Search for a client. • The system displays the Search Screen. | ADRC I&R/ CARES Staff Assistant | Communication |

| Process Step # | Process Step | Process Summary Table – UC01TB – CARES Intake and ADRC I&R Process Process Step Description | Responsibility | Change Implication |
|----------------|--|---|------------------------------------|-------------------------|
| 1.6 | Enter High-Level Demographic Information | <ul style="list-style-type: none"> • Any of the following demographic information for the client requesting services is entered into the search screen: <ul style="list-style-type: none"> ○ First Name. ○ Last Name. ○ Date of Birth. ○ SSN. ○ Medicaid ID Number. • User selects <i>Search</i>. | ADRC I&R/ CARES Staff Assistant | Business/ Operations |
| 1.7 | Check for Existing Client Record | <ul style="list-style-type: none"> • The system searches the client record database for one or multiple matching records in priority order: <ul style="list-style-type: none"> ○ SSN (if supplied). ○ First Name, Last Name and Date of Birth. • Possible matching results will display: <ul style="list-style-type: none"> ○ Exact matches on SSN. ○ Predetermined percentage of matches on SSN. ○ Exact matches on First Name, Last Name, and Date of Birth. ○ Predetermined percentage of matches on First Name, Last Name, and Date of Birth. • The system displays a search in progress indicator until the search results are presented to the user. | System | Business/ Operations |
| 1.8 | Decision: Record Found? | <ul style="list-style-type: none"> • If Yes, proceed to process step 1.10. • If the system displays “No records found,” proceed to process step 1.9. | System | None |
| 1.9 | Create New Client | <ul style="list-style-type: none"> • The user selects <i>Create a New Client</i> from the Search Results screen. • The search criteria entered in process step 1.6 will prepopulate the required fields for the new client record. | ADRC I&R/ CARES Staff Assistant | Business/ Operations |

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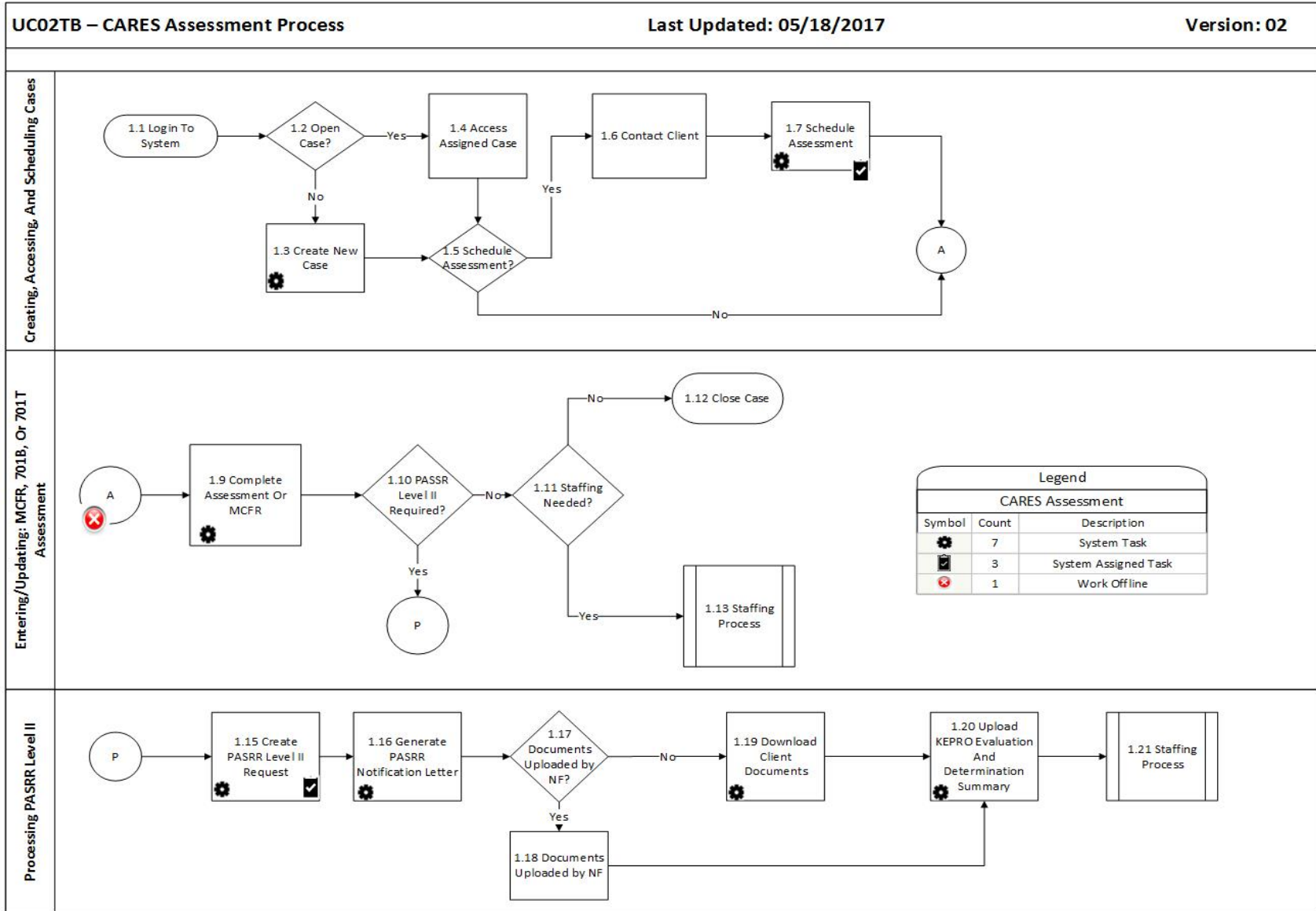
| Process Step # | Process Step | Process Summary Table – UC01TB – CARES Intake and ADRC I&R Process Process Step Description | Responsibility | Change Implication |
|----------------|-----------------------------------|---|--|---|
| | | <ul style="list-style-type: none"> • The user completes any additional required information and selects <i>Save</i>. • The system displays the Client screen. | | |
| 1.10 | Review Client Search Results | <ul style="list-style-type: none"> • A list of records in the Search Results screen will be displayed to the user. <ul style="list-style-type: none"> ○ If the user determines none of the clients in the list match their client, the user will proceed to process step 1.9 to create a new client. • The user selects a client from the list and opens the client demographics screen in view only mode. • The user selects <i>Edit</i>, and inputs or updates the additional information into the demographics screen, and selects <i>Save</i>. • The system displays the Client screen in view only mode. | ADRC I&R/ CARES Staff Assistant, and System | Business/ Operations |
| 1.11 | Create Information Only Case | <ul style="list-style-type: none"> • User selects <i>Create Case</i> from Client Screen. • The system defaults the case type to Information Only (The user can update the case type as appropriate during the CARES Intake and ADRC I&R process). • The system defaults the case owner to the user. • The user enters notes as appropriate. • The user may update the case owner by selecting <i>Assign</i> and choosing a person, or queue, from the drop-down list and select <i>Save</i>. <ul style="list-style-type: none"> ○ The system will update the case owner and place an alert on the new case owners Home Dashboard. ○ The system will return the user to the Client Screen. • User selects <i>Save</i> and is returned to the Case Screen. | ADRC I&R/ CARES Staff Assistant, and System | Business/ Operations, Training, Communications |
| 1.12 | Decision: Services Needed? | <ul style="list-style-type: none"> • If Yes, proceed to process step 1.13. • If No, proceed to process step 1.15. | ADRC I&R | None |

| Process Step # | Process Step | Process Summary Table – UC01TB – CARES Intake and ADRC I&R Process Process Step Description | Responsibility | Change Implication |
|----------------|--------------------------------------|---|------------------|--|
| 1.13 | Search for Services Requested | The user may refer the client for services available in their area. <ul style="list-style-type: none"> • The user selects <i>Services</i> from the Case Screen. • The system displays a Search for Services Screen. • The user performs a search for services requested by the client based on their geographic location and the system returns search results. • The user adds the service(s) referred to the client. • The system will return to the Search for Services Screen. <ul style="list-style-type: none"> ○ If the client needs additional services referred, the user will continue searching for services until all services have been referred. • The user enters contact history notes for the services provided to the client. • The user may update the case owner by selecting <i>Assign</i> and choosing a person, or queue, from the drop-down list and select <i>Save</i>. <ul style="list-style-type: none"> ○ The system will update the case owner and place an alert on the new case owners Home Dashboard. ○ The system will return the user to the Client Screen. • User selects <i>Save</i> and is returned to the Case Screen. • The system saves the information, updates the case type to Referral and the case status is set to In Progress. | ADRC I&R, System | Business/ Operations, Training, Communications |
| 1.14 | Schedule and Complete Follow-Up Task | Referral cases require a follow-up to be scheduled and completed defined by business rules. <ul style="list-style-type: none"> • The system schedules a follow-up task as defined by business rules and creates an alert for the assigned case owner on their Home Dashboard. | System | Business/ Operations, Training, Communications |
| 1.15 | Return to Home Dashboard | <ul style="list-style-type: none"> • The user selects <i>Close</i> from the Case Screen. • The system displays the users Home Dashboard. | ADRC I&R/ | Business/ Operations |

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| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC01TB – CARES Intake and ADRC I&R Process Process Step Description</i> | <i>Responsibility</i> | <i>Change Implication</i> |
|-----------------------|---------------------|--|-----------------------|---------------------------|
| | | | CARES Staff Assistant | |

3.4.2. UC02TB – CARES Assessment Process



Deliverable 2 CIRT Business Process and Definition Document

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC02TB – CARES Assessment Process Process Step Description</i> | <i>Responsibility</i> | <i>Change Implication</i> |
|-----------------------|-----------------------------|--|---|--------------------------------------|
| | Receiving Cases | | | |
| 1.1 | Login to System | <ul style="list-style-type: none"> User logs into the system. The system displays their Home Dashboard. | CARES Assessor/ RNS, CARES Staff Assistant | Business/ Operations |
| 1.2 | Decision: Open Case? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.4 If No, proceed to process step 1.3 | CARES Assessor/ RNS, CARES Staff Assistant | None |
| 1.3 | Create New Case | <p>A case must be opened for an Assessment to be completed.</p> <ul style="list-style-type: none"> The user selects <i>Search Client</i> from their Home Dashboard and the system displays the Search Screen. The user enters the required information and selects <i>Search</i>. The system displays the search results. The user selects the client from the list of search results and the system displays the Client Screen. The user selects <i>Create Case</i> from the Client Screen, the system will assign the case by default to the user and the system displays the Case Screen with the case type defaulted to Information Only. The user selects the Case Type from the following drop-down list: <ul style="list-style-type: none"> Initial Annual Assessment Reassessment Transfer Assessment The user may update the case owner by selecting <i>Assign</i> and choosing a person, or queue, from the drop-down list and select <i>Save</i>. <ul style="list-style-type: none"> The system will update the case owner and place an alert on the new case owners Home Dashboard. The system will return the user to the Case Screen. | CARES Assessor/ RNS, CARES Staff Assistant | Business/ Operations, Training |

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| Process Step # | Process Step | Process Summary Table – UC02TB – CARES Assessment Process Process Step Description | Responsibility | Change Implication |
|-----------------------|---------------------------------------|---|--|--------------------------------------|
| | | <ul style="list-style-type: none"> Proceed to process step 1.5 | | |
| 1.4 | Access Assigned Case | <p>The user receives an assigned case through the Intake and Referral Process.</p> <ul style="list-style-type: none"> The user selects the assigned case from their Home Dashboard. The system displays the Case Screen. | CARES Assessor/ RNS, CARES Staff Assistant | Business/ Operations |
| 1.5 | Decision: Schedule Assessment? | <p>All assessments except MCFR must be scheduled.</p> <ul style="list-style-type: none"> If Yes, proceed to process step 1.6. If No, proceed to process step 1.9. | CARES Assessor/ RNS, CARES Staff Assistant | None |
| 1.6 | Contact Client | <ul style="list-style-type: none"> The user selects <i>Log Contact</i> from the Case Screen. The system displays the Contact form and populates the Preferred Communication Method as defined by business rules. The user attempts to contact the client and enters the appropriate notes. The user selects the <i>Contact Outcome</i> from the following drop-down list: <ul style="list-style-type: none"> Successful. Unsuccessful. The user selects <i>Save</i> the system saves the information and returns the user to the Case Screen. | CARES Assessor/ RNS, CARES Staff Assistant | Business/ Operations |
| 1.7 | Schedule Assessment | <ul style="list-style-type: none"> The user selects <i>Schedule Assessment</i> from the Case Screen. The system displays the case owner’s calendar. The user selects the date and time of the assessment and selects <i>Save</i>. The system places an assessment task on the case owner’s calendar and if the client has email, sends a calendar appointment to their email address. | CARES Assessor/ RNS, CARES Staff Assistant | Business/ Operations, Training |

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| Process Step # | Process Step | Process Summary Table – UC02TB – CARES Assessment Process Process Step Description | Responsibility | Change Implication |
|-----------------------|---|--|------------------------|--------------------------------|
| | | <ul style="list-style-type: none"> • The system will generate an alert on the case owner’s Home Dashboard notifying the Assessor to check for Required Medical Documentation prior to scheduled assessment. • Proceed to process step 1.9. | | |
| 1.8 | A | <ul style="list-style-type: none"> • Proceed to process step 1.9. | | |
| | Entering/Updating: MCFR, 701B or 701T Assessment | <ul style="list-style-type: none"> • The MCFR and Assessment forms can be completed remotely by a mobile device when wireless or cellular service is not available, and when the user reconnects to the system, the data collected will synchronize with the client record. | | |
| 1.9 | Complete Assessment or MCFR | <ul style="list-style-type: none"> • The user selects the client’s case from their Home Dashboard and the system displays the Case screen. • The user selects <i>Conduct Assessment</i> from the Case Screen. • The user selects <i>Assessment Type</i> from the following drop-down list: <ul style="list-style-type: none"> ○ 701B – Comprehensive Assessment Form. ○ 701T – Mini Assessment Form – used for NF. ○ MCFR - Medical Case File Review. • If a previous 701B or 701T assessment exists, a message is displayed: “Copy Previous Assessment dated: mm/dd/yyyy?” • If the user selects <i>Yes</i>, assessment data from the previous assessment is populated to the current assessment form. • If the user selects <i>No</i>, a blank assessment form is displayed. • The user updates or completes the assessment form. • The user selects <i>Complete</i>, the system computes the Priority and Rank Score and updates the Assessment Task to Complete. • The system will validate the client’s demographic information against the FLORIDA and FMMIS databases. • The system displays the Case Screen. | CARES Assessor, System | Business/ Operations, Training |

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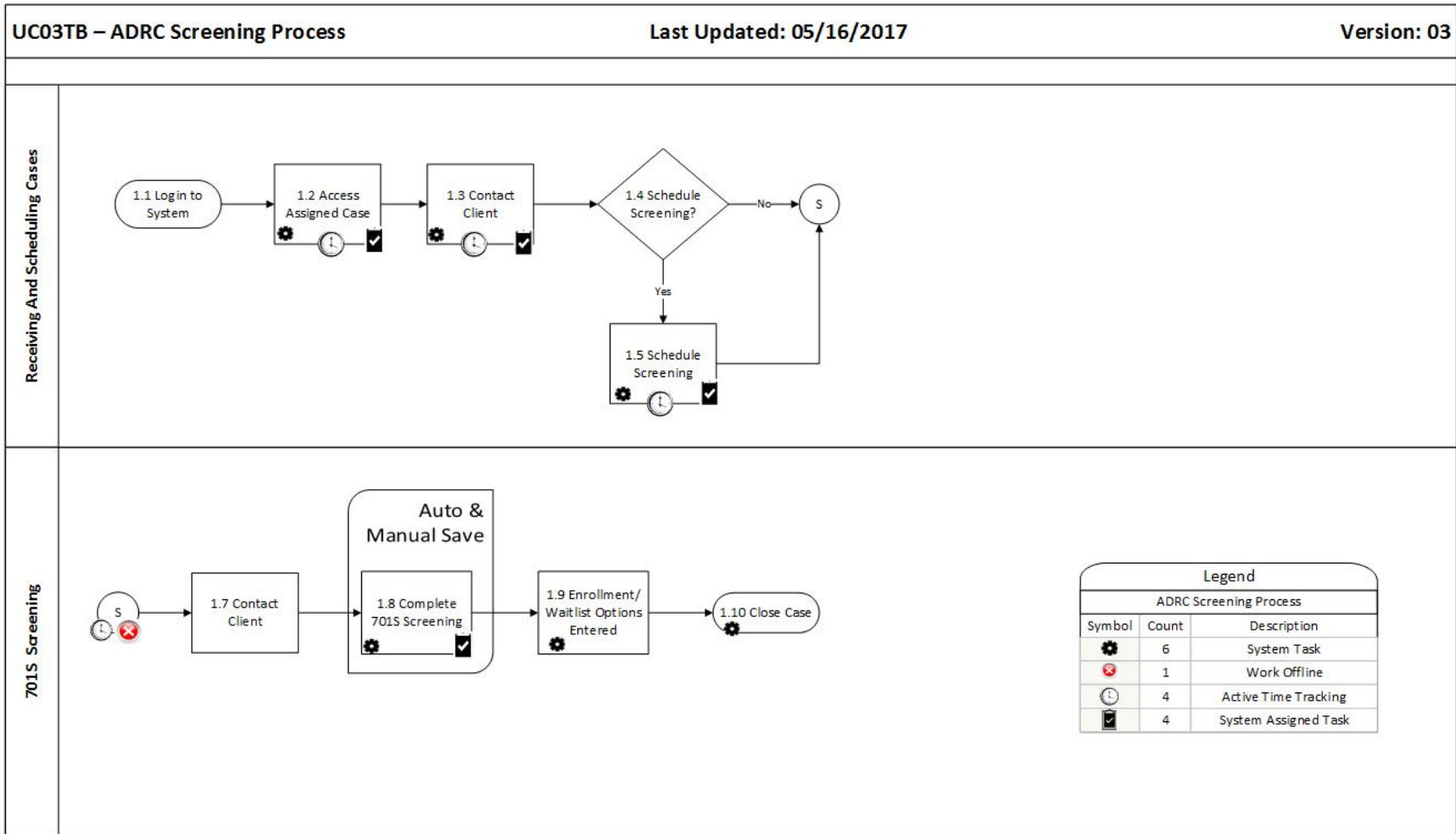
| Process Step # | Process Step | Process Summary Table – UC02TB – CARES Assessment Process Process Step Description | Responsibility | Change Implication |
|-----------------------|---|---|------------------------|--------------------------------------|
| | | Note: If a user exits the Assessment before the assessment is marked complete, the system will provide the option to save the assessment. When the user accesses the case, the system will return the user to the assessment at the point where the user previously exited. | | |
| 1.10 | Decision: PASRR Level II Required? | A PASRR Level II may be required if the client is requesting NF placement and is suspected to have a SMI or ID. <ul style="list-style-type: none"> • If Yes, proceed to process step 1.15. • If No, proceed to process step 1.11. | CARES Assessor/ RNS | Business/ Operations, Training |
| 1.11 | Decision: Staffing Needed? | Staffing is required to recommend a LOC and Placement for the client. <ul style="list-style-type: none"> • If Yes, proceed to process step 1.13. • If No, proceed to process step 1.12. | CARES Assessor, RNS | None |
| 1.12 | Close Case | <ul style="list-style-type: none"> • The user selects <i>Close Case</i>. • If tasks linked to the case are open, the system displays a pop-up message: “The case cannot be closed until the following tasks are completed [system displays list of open tasks with an option to close the tasks].” • Once all tasks associated with the case are closed, the user enters a case note, selects the <i>Close Reason</i> from the drop-down and selects <i>Close</i>. • The system updates the case status to Closed and displays the user’s Home Dashboard. | CARES Assessor, RNS | Business/ Operations, Training |
| 1.13 | Staffing Process | <ul style="list-style-type: none"> • Proceed to the UC04TB – Staffing Process. | CARES Assessor, RNS | Business/ Operations, Training |
| 1.14 | P | <ul style="list-style-type: none"> • Proceed to process step 1.15. | | |
| | Processing PASRR Level II | | | |

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| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC02TB – CARES Assessment Process Process Step Description</i> | <i>Responsibility</i> | <i>Change Implication</i> |
|-----------------------|--|---|-----------------------------|--------------------------------------|
| 1.15 | Create PASRR Level II Request | <ul style="list-style-type: none"> The user selects <i>Create PASRR Level II Request</i> from the Case Screen. The system creates a task for a PASRR Level II request and displays the Task window with the user as the default assignee. The user may update the assignee by selecting <i>Assign</i> and choosing a person, or queue, from the drop-down list and select <i>Save</i>. <ul style="list-style-type: none"> The system updates the assignee and places an alert on the new assignee’s Home Dashboard. The system returns the user to the Client Screen. | CARES Assessor, RNS, System | Business/ Operations, Training |
| 1.16 | Generate PASRR Notification Letter | <ul style="list-style-type: none"> The user selects <i>Generate PASRR Notification</i> from the <i>PASRR Level II Request</i> task screen. The system generates a PASRR notification letter using the client, or representative, demographic information, saves it to the client’s record as a PDF file, and displays the PDF to the user. The letter is sent using the clients Preferred Communication Method. The user selects <i>Save</i> and the system displays the Task Screen. | CARES Assessor, RNS, System | Business/ Operations, Communications |
| 1.17 | Decision: Documents Uploaded by NF? | <p>Nursing Facility Staff may upload documentation to the KEPRO Portal on behalf of the client. If a NF has uploaded the client documentation, CARES must approve the documentation for submission to KEPRO.</p> <p>If Yes, proceed to process step 1.19. If No, proceed to process step 1.20.</p> | CARES Assessor, RNS | None |
| 1.18 | Documents Uploaded by NF | <ul style="list-style-type: none"> The user logs into KEPRO, reviews the documents sent by the NF. The user determines the PASRR Level II is deemed appropriate and selects <i>Submit</i>. The documentation is sent to KEPRO. Proceed to process step 1.20. | CARES Assessor, RNS | None |

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC02TB – CARES Assessment Process Process Step Description</i> | <i>Responsibility</i> | <i>Change Implication</i> |
|-----------------------|---|--|-----------------------------|--------------------------------|
| 1.19 | Download Client Documents | <p>Client documents are stored electronically on the client record.</p> <ul style="list-style-type: none"> • The user selects <i>Download Client Documents</i> from the Task Screen. • The system displays the documents attached to the client record. • The user selects the documents to download, selects <i>Download</i> and chooses the location to store the documents. • The user selects the hyperlink to the KEPRO document upload web page from the Task Screen (the KEPRO web page will be displayed), submits the selected documents, and closes the KEPRO web page. • The system displays the Task Screen. • The user selects the <i>Date Submitted to KEPRO</i> and selects the date. • The user selects <i>Save</i>, the system creates the PASRR Level II Request Task, assigns the task to the user’s Home Dashboard, and displays the user’s Home Dashboard. | CARES Assessor, RNS, System | Business/ Operations, Training |
| 1.20 | Upload KEPRO Evaluation and Determination Summary | <ul style="list-style-type: none"> • The Evaluation and Determination Summary are received from KEPRO and saved to the client record. • The system populates the <i>Date Received from KEPRO</i> in the PASRR Level II Request task and updates the task status to Closed. | System | Business/ Operations, Training |
| 1.21 | Staffing Process | <ul style="list-style-type: none"> • Proceed to the UC04TB – Staffing Process. | CARES Assessor, RNS | None |

3.4.3. UC03TB – ADRC Screening Process



Deliverable 2 CIRT Business Process and Definition Document

| Process Step # | Process Step | Process Summary Table – UC03TB – ADRC Screening Process Process Step Description | Responsibility | Change Implication |
|-----------------------|--|---|-----------------------|--------------------------------------|
| | Creating, Receiving, and Scheduling Cases | | | |
| 1.1 | Login to System | <ul style="list-style-type: none"> User logs into the system. System displays their Home Dashboard. | ADRC Staff | Business/ Operations |
| 1.2 | Access Assigned Case | <p>The user receives an assigned case through the Intake and Referral Process.</p> <ul style="list-style-type: none"> A user selects the assigned case from their Home Dashboard. The system displays the Case Screen. | ADRC Staff, System | Business/ Operations, Training |
| 1.3 | Contact Client | <ul style="list-style-type: none"> The user selects <i>Log Contact Attempt</i> from the Case Screen. The system displays the Contact form and prepopulates the Preferred Communication Method as defined by business rules. The user attempts to contact the client and selects the Contact Outcome from the following drop-down list: <ul style="list-style-type: none"> Successful. Unsuccessful. The user enters the appropriate notes based on the outcome of the call. The user selects <i>Save</i>, the system saves the information and returns the user to the Case Screen. | ADRC Staff, System | Business/ Operations, Training |
| 1.4 | Decision: Schedule Screening? | <p>If the client is unable to complete the screening when contacted initially by the ADRC Staff, the screening is scheduled for completion.</p> <ul style="list-style-type: none"> If Yes, proceed to process step 1.5. If No, proceed to process step 1.7. | ADRC Staff | Business/ Operations |
| 1.5 | Schedule Screening | <ul style="list-style-type: none"> The user selects <i>Schedule Screening</i> from the Case Screen. The system displays the case owner’s calendar. The user selects the date and time of the screening and selects <i>Save</i>. The system places an assessment task on the user’s calendar and if the client has email, sends a calendar appointment to their email address. | ADRC Staff, System | Business/ Operations, Training |

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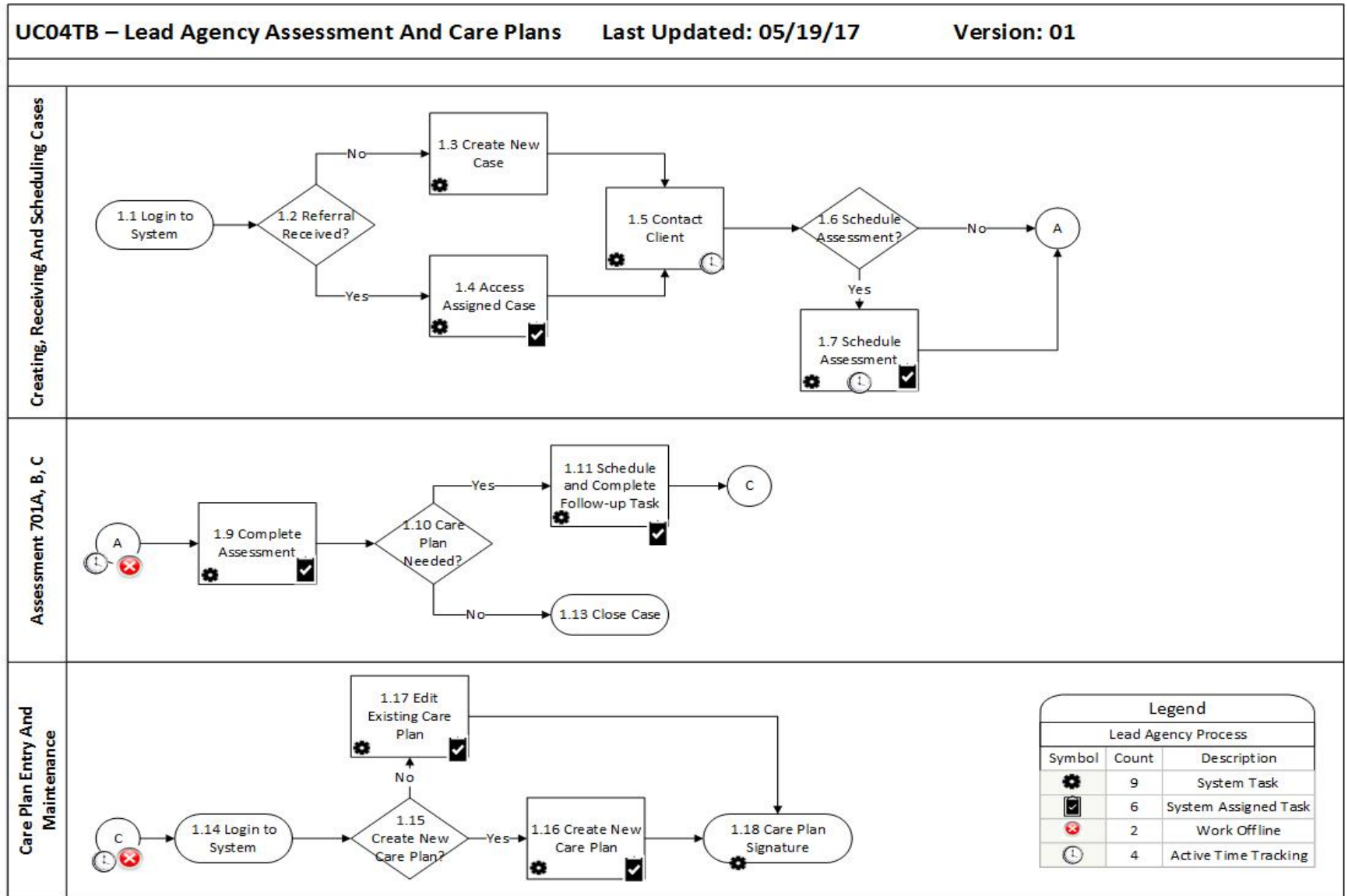
| Process Step # | Process Step | Process Summary Table – UC03TB – ADRC Screening Process Process Step Description | Responsibility | Change Implication |
|-----------------------|-------------------------|---|--------------------|------------------------------------|
| 1.6 | S | <ul style="list-style-type: none"> Proceed to process step 1.7. | | |
| 701S Screening | | | | |
| 1.7 | Contact Client | <ul style="list-style-type: none"> The user selects <i>Log Contact Attempt</i> from the Case Screen. The system displays the Contact form and prepopulates the Preferred Communication Method as defined by business rules. The user attempts to contact the client and selects the Contact Outcome from the following drop-down list: <ul style="list-style-type: none"> Successful; or Unsuccessful. The user enters the appropriate notes based on the outcome of the call. The user selects <i>Save</i>, the system saves the information and returns the user to the Case Screen. | ADRC Staff, System | Business/ Operations, Training |
| 1.8 | Complete 701S Screening | <ul style="list-style-type: none"> The user selects the client’s case from their Home Dashboard and the system displays the Case screen. The user selects <i>Begin Screening</i> from the Case Screen. If a previous screening exists, a message is displayed: “Copy Previous screening dated: mm/dd/yyyy?” If the user selects <i>Yes</i>, data from the previous screening is populated to the current screening form. If the user selects <i>No</i>, a blank screening form is displayed. The user updates the screening form. The user selects <i>Complete</i>, the system computes the Priority and Rank Score, updates the Screening Task to Complete, and displays the Case Screen. <p>Note: If a user exits the assessment before the assessment is marked complete, the system will provide the option to save the assessment. When the user accesses the case, the system will return the user to the assessment at the point where the user previously exited.</p> | ADRC Staff, System | Business/ Operations, and Training |

Deliverable 2 CIRTIS Business Process and Definition Document

| Process Step # | Process Step | Process Summary Table – UC03TB – ADRC Screening Process Process Step Description | Responsibility | Change Implication |
|-----------------------|-------------------------------------|---|-----------------------|--|
| 1.9 | Enrollment/Waitlist Options Entered | <p>The waitlist is a program-specific list maintained in the system when immediate enrollment in the SMMC LTC is not available. The waitlist has many programs with each program having many clients associated with it. If a client is determined to need services which are not currently available, they are placed on the waitlist.</p> <ul style="list-style-type: none"> • The user selects <i>waitlist</i> from the Case Screen. • The system displays waitlist Form. • The user selects one, or multiple, programs from a check list and the system adds the client to each appropriate program waitlist. • The user selects <i>Save</i>, the system: <ul style="list-style-type: none"> ○ Validates the client’s demographic information against the FLORIDA and FMMIS databases; ○ Evaluates need for Medicaid Eligibility Documents to be sent based on priority and rank score; ○ Prepopulates the Medicaid Eligibility Documents with client’s demographic information if priority and rank score are met; ○ Sends Medicaid Eligibility Documents electronically, if the client meets priority and rank score range and has elected to receive the documents via email; ○ Notifies the user to print and mail Medicaid Eligibility Documents to the client If the client meets priority and rank score range and has not elected to receive the documents electronically; and ○ Is returned to the Case Screen. | ADRC Staff, System | Business/ Operations, Policy, and Training |
| 1.10 | Close Case | <ul style="list-style-type: none"> • The user selects <i>Close Case</i>. <ul style="list-style-type: none"> ○ If tasks linked to the case are open the system displays a message: “All tasks must be closed prior to closing the case.” • Once all tasks associated with the case are closed, the user enters a case note, selects the Close Reason from the drop-down and selects <i>Close</i>. • The system updates the case status to Closed and displays the user’s Home Dashboard. | ADRC Staff, System | Business/ Operations |

| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC03TB – ADRC Screening Process Process Step Description</i> | <i>Responsibility</i> | <i>Change Implication</i> |
|-----------------------|---------------------|---|-----------------------|---------------------------|
|-----------------------|---------------------|---|-----------------------|---------------------------|

3.4.4. UC04TB – Lead Agency Assessment and Care Plan Process



Deliverable 2 CIRTBS Business Process and Definition Document

| Process Step # | Process Step | UC04TB – Lead Agency Assessment and Care Plan Process Process Step Description | Responsibility | Change Implications |
|----------------|---|---|---------------------------|-------------------------------|
| | Creating, Receiving and Scheduling Cases | | | |
| 1.1 | Login to System | <ul style="list-style-type: none"> User logs into the system. System displays their Home Dashboard. | Lead Agency Staff | Business/Operations |
| 1.2 | Decision: Referral Case? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.4. If No, proceed to process step 1.3. | Lead Agency Staff | None |
| 1.3 | Create New Case | <p>A case must be opened for an Assessment to be completed.</p> <ul style="list-style-type: none"> The user selects <i>Search Client</i> from their Home Dashboard and the system displays the Search Screen. The user enters the required information and selects <i>Search</i>. The system displays the search results. The user selects the client from the list of search results and the system displays the Client Screen. The user selects <i>Create Case</i> from the Client Screen, the system will assign the case by default to the user and the system displays the Case Screen with the case type defaulted to Information Only. The user selects the Case Type from the following drop-down list: <ul style="list-style-type: none"> Annual Assessment; or Change of Condition Proceed to process step 1.5. | Lead Agency Staff | Business/Operations, Training |
| 1.4 | Access Assigned Case | <p>The user receives an assigned case through the Intake and Referral Process</p> <ul style="list-style-type: none"> A user selects the assigned case from their Home Dashboard. The system displays the Case Screen. | Lead Agency Staff | Business/Operations |
| 1.5 | Contact Client | <ul style="list-style-type: none"> The user selects <i>Log Contact</i> from the Case Screen. | Lead Agency Staff, System | Business/Operations |

Deliverable 2 CIRTIS Business Process and Definition Document

| Process Step # | Process Step | UC04TB – Lead Agency Assessment and Care Plan Process Process Step Description | Responsibility | Change Implications |
|----------------|--|--|-------------------|--------------------------|
| | | <ul style="list-style-type: none"> The system displays the Contact form and populates the Preferred Communication Method as defined by business rules. The user attempts to contact the client and selects the Contact Outcome from the following drop-down list: <ul style="list-style-type: none"> Successful. Unsuccessful. The user enters the appropriate notes based on the outcome of the call. The user selects <i>Save</i>, the system saves the information and returns the user to the Case Screen. | | |
| 1.6 | Decision: Schedule Assessment? | If the client is unable to complete the assessment when contacted initially by the Lead Agency Staff, the assessment is scheduled for completion. <ul style="list-style-type: none"> If Yes, proceed to process step 1.7. If No, proceed to process step 1.9. | Lead Agency Staff | None |
| 1.7 | Schedule Assessment | <ul style="list-style-type: none"> The user selects <i>Schedule Assessment</i> from the Case Screen. The system displays the user’s calendar. The user selects the date and time of the assessment and selects <i>Save</i>. The system places an assessment task on the user’s calendar and if the client has email, sends a calendar appointment to their email address. Proceed to process step 1.9. | Lead Agency Staff | Business/ Operations |
| 1.8 | A | <ul style="list-style-type: none"> Proceed to process step 1.9. | | |
| | Lead Agency Performing Assessment: 701A, B, C | <ul style="list-style-type: none"> Lead agencies can perform assessments such as 701A, B, or C. | | |
| 1.9 | Complete Assessment | <ul style="list-style-type: none"> The user selects the client’s case from their Home Dashboard and the system displays the Case screen. The user selects <i>Conduct Assessment</i> from the Case Screen. | Lead Agency Staff | Business/ Operations, |

Deliverable 2 CIRT Business Process and Definition Document

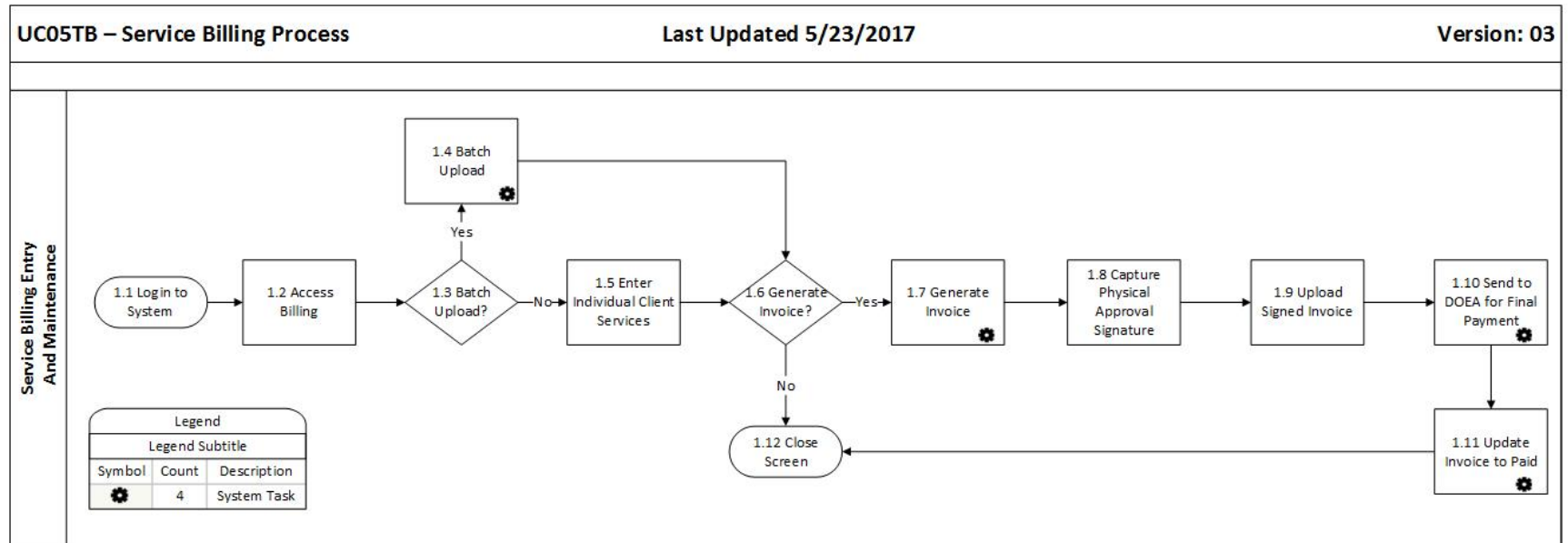
| Process Step # | Process Step | UC04TB – Lead Agency Assessment and Care Plan Process Process Step Description | Responsibility | Change Implications |
|----------------|--------------------------------------|--|-------------------|--|
| | | <ul style="list-style-type: none"> • The user selects <i>Assessment Type</i> from the following drop-down list: <ul style="list-style-type: none"> ○ 701A – Condensed Assessment Form. ○ 701B – Comprehensive Assessment Form. ○ 701C – Congregate Meals Assessment Form. • If a previous assessment exists, a message is displayed: “Copy Previous Assessment dated: mm/dd/yyyy?” • If the user selects <i>Yes</i>, assessment data from the previous assessment is populated to the current assessment form. • If the user selects <i>No</i>, a blank assessment form is displayed. • The user updates the assessment form. • The user selects <i>Complete</i>, the system computes the Priority and Rank Score (if required) and updates the Assessment Task to Complete. • The system displays the Case Screen. <p>Note: If a user exits the Assessment before the Assessment is marked complete, the system will provide the option to save the assessment. When the user accesses the case, the system will return the user to the assessment at the point where the user previously exited.</p> | | Communications and Training |
| 1.10 | Decision: Care Plan Needed? | Completion of a 701A and 701B Assessment requires a Care Plan to be created, or updated, per business rules. <ul style="list-style-type: none"> • If Yes, proceed to process step 1.11. • If No, proceed to process step 1.13. | | |
| 1.11 | Schedule and Complete Follow-Up Task | Care Plans are required to be completed within 14 days of the assessment being completed. <ul style="list-style-type: none"> • The system schedules a follow-up task as defined by business rules and creates an alert for the assigned case owner on their Home Dashboard. | System | Business/ Operations, Training, Communications |
| 1.12 | C | <ul style="list-style-type: none"> • Proceed to process step 1.14. | | |
| 1.13 | Close Case | <ul style="list-style-type: none"> • The user selects <i>Close Case</i>. <ul style="list-style-type: none"> ○ If tasks linked to the case are open, the system displays a pop-up message: “All tasks must be closed prior to closing the case.” | Lead Agency Staff | Business/ Operations |

Deliverable 2 CIRTBS Business Process and Definition Document

| Process Step # | Process Step | UC04TB – Lead Agency Assessment and Care Plan Process Process Step Description | Responsibility | Change Implications |
|----------------|--|--|-------------------|--|
| | | <ul style="list-style-type: none"> Once all tasks associated with the case are complete, the user enters a case note, selects the Close Reason from the drop-down and selects <i>Close</i>. The system updates the case status to Closed and displays the user's Home Dashboard. | | |
| | Care Plan Entry and Maintenance | | | |
| 1.14 | Login to System | <ul style="list-style-type: none"> User logs into the system. System displays their Home Dashboard. | Lead Agency Staff | None |
| 1.15 | Decision: Create New Care Plan? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.16. If No, proceed to process step 1.17. | Lead Agency Staff | None |
| 1.16 | Create New Care Plan | <ul style="list-style-type: none"> The user selects the client's case from their Home Dashboard and the system displays the Case screen. The user selects <i>Create New Care Plan</i> from the Case Screen. If a previous Care Plan exists, a message is displayed: "Copy previous Care Plan dated: mm/dd/yyyy?" If the user selects <i>Yes</i>, data from the previous Care Plan is populated into the current care plan form. If the user selects <i>No</i>, a blank care plan form is displayed. The user updates the care plan form. The user selects <i>Complete</i>. The system saves the Care Plan and displays the Care Plan Screen. | Lead Agency Staff | Business/ Operations, Policy and Training |
| 1.17 | Edit Existing Care Plan | <ul style="list-style-type: none"> The user selects the client's case from their Home Dashboard and the system displays the Case screen. The user selects <i>Care Plan</i> from the Case Screen. The system displays the existing care plan. The user inputs or updates the Care Plan and selects <i>Complete</i>. The system displays Care Plan screen. | Lead Agency Staff | Business/ Operations, Policy and Training |

| Process Step # | Process Step | UC04TB – Lead Agency Assessment and Care Plan Process Process Step Description | Responsibility | Change Implications |
|-----------------------|---------------------|---|-----------------------|--|
| 1.18 | Care Plan Signature | <p>DOEA requires the client to sign the completed Care Plan.</p> <ul style="list-style-type: none"> • The system displays a PDF of the Care Plan and three options for obtaining client signature. <ul style="list-style-type: none"> ○ The client is in person and wishes to sign. The user presents the client with an on-screen PDF of the Care Plan with an associated signature box for the client to sign electronically. ○ The user is remote and has an email on record. The system will automatically send a copy of the Care Plan to the client for signature. ○ The user is remote and does not have an email on record. The user will print the PDF file and mail to the client for signature. • When the Care Plan is signed, it is saved to the client’s record. • The system updates the status of the case to Closed and displays the user’s Home Dashboard. | System | Business/ Operations, Policy and Training |

3.4.5. UC05TB –Service Billing Process



Deliverable 2 CIRTIS Business Process and Definition Document

| <i>Process Step #</i> | <i>Process Step</i> | <i>UC05TB – Service Billing Process Process Step Description</i> | <i>Responsibility</i> | <i>Change Implications</i> |
|-----------------------|--|---|-----------------------|---|
| | Service Billing Entry and Maintenance | <ul style="list-style-type: none"> Providers are required to document the services delivered to the client. Providers must submit invoices for services delivered to the ADRC and DOEA for payment. | | |
| 1.1 | Login to System | <ul style="list-style-type: none"> User logs into the system and the system displays the user’s Home Dashboard. | Provider | Business/ Operations |
| 1.2 | Access Billing | <ul style="list-style-type: none"> The user selects <i>Billing</i> from their Home Dashboard and the system displays the Billing Screen. | Provider | Business/ Operations |
| 1.3 | Decision: Batch Upload? | <p>Batch uploading allows the service provider to upload data for multiple clients into the system using a defined, standardized file format.</p> <ul style="list-style-type: none"> If Yes, proceed to process step 1.4. If No, proceed to process step 1.5. | Provider | None |
| 1.4 | Batch Upload | <ul style="list-style-type: none"> The user selects <i>Services Batch Upload</i> from the Billing Screen and the system displays the Batch Upload Screen. The user selects <i>Locate File</i>, the system displays a File Explorer window, the user locates the file and selects <i>Upload</i>. The system parses and validates the data. If the data validation was not successful, a failure report is displayed to the user with the following information: <ul style="list-style-type: none"> Date/time stamp of error; Login of requestor; and Error identifier and error message. If the system validation is successful, the client’s record is updated with services billed by the provider, and a confirmation report is displayed to the user in the Services Batch Upload screen. The system updates contract tracking totals with the services provided and displays the user’s Home Dashboard. | Provider, System | Business/ Operations and Training |
| 1.5 | Enter Individual Client Services | A provider may elect to update the Billing Screen as services are delivered to the client. | Provider | Business/ Operations and Training |

Deliverable 2 CIRTIS Business Process and Definition Document

| <i>Process Step #</i> | <i>Process Step</i> | <i>UC05TB – Service Billing Process Process Step Description</i> | <i>Responsibility</i> | <i>Change Implications</i> |
|-----------------------|------------------------------------|---|--|--|
| | | <ul style="list-style-type: none"> • The user selects <i>Search Client</i> from their Home Dashboard and the system displays the Search Screen. • The user enters the required information, selects <i>Search</i>, and the system displays the search results. • The user selects the client from the list of search results and the system displays the Client Screen. • The user selects <i>Client Services</i> from the Client Screen, and the system displays the Service Billed Screen. • The user inputs the required fields in the Services Billed Screen by selecting the services from drop-down lists which are populated from the client’s Care Plan. <ul style="list-style-type: none"> ○ If the services are not available in the drop-down list, the user selects <i>Add New Service</i>. ○ The user selects the new service to add and selects <i>Update</i>. The system adds the services to the client’s Care Plan and Services Billed Form. • The user selects <i>Save</i>, the system saves the information, updates contract tracking totals with the services provided, and displays the user’s Home Dashboard. | | |
| 1.6 | Decision: Generate Invoice? | <p>The provider is required to bill monthly for services delivered to the client.</p> <ul style="list-style-type: none"> • If Yes, proceed to process step 1.7. • If No, proceed to process step 1.12. | Provider | None |
| 1.7 | Generate Invoice | <ul style="list-style-type: none"> • The user selects <i>Billing</i> from the user’s Home Dashboard. • The system displays the Billing Screen. • The user selects <i>Create Invoice</i> from the Billing Screen and the system displays the Invoice Screen. • The user completes the Invoice Form, enters the Invoice Date Range, selects the option to include or exclude a reconciled YTD (year-to-date) total, and selects <i>Generate</i>. | AAA/ADRC or Lead Agency Fiscal Staff, System | Business/ Operations, Policy, and Training |

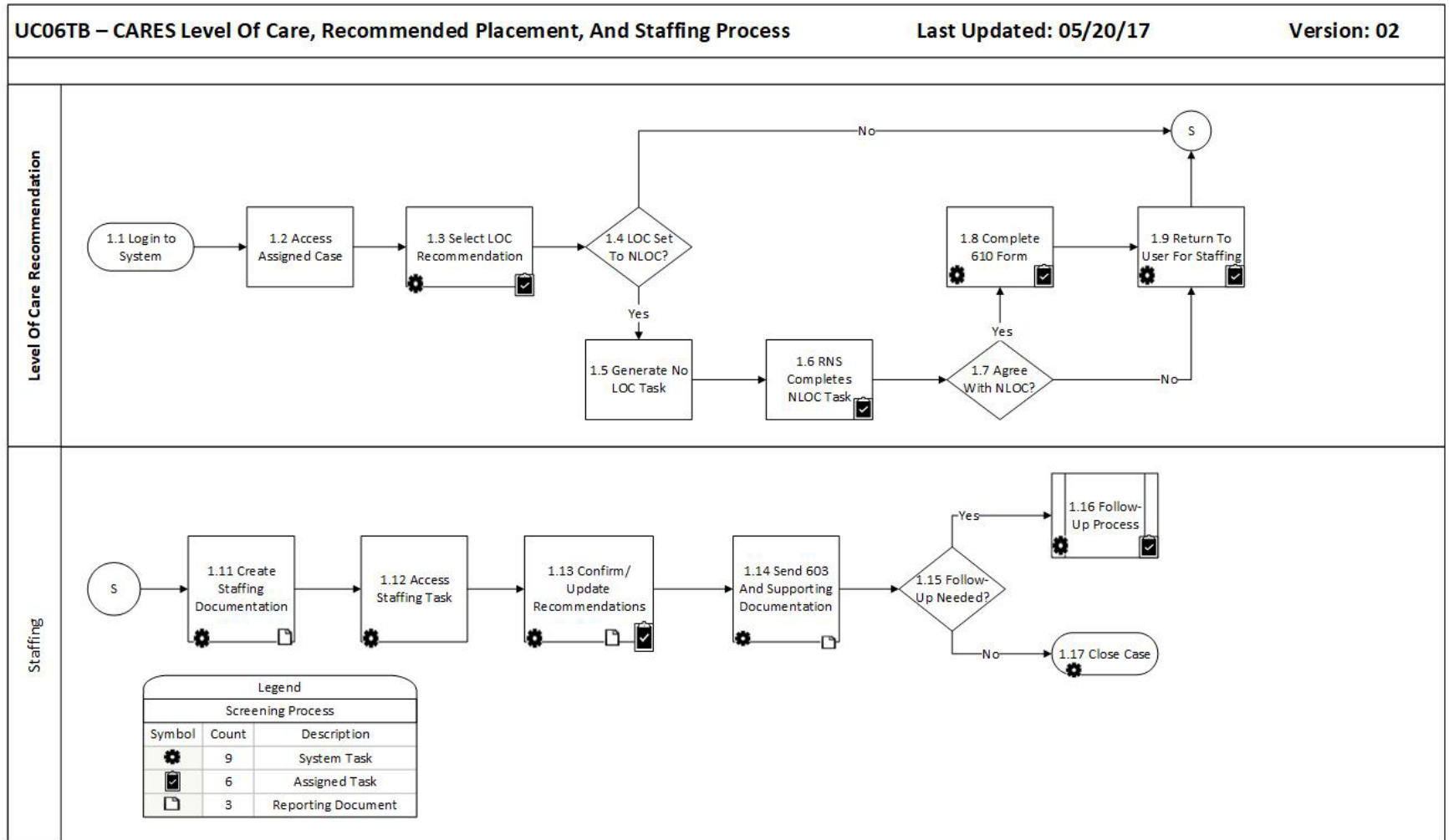
Deliverable 2 CIRTIS Business Process and Definition Document

| <i>Process Step #</i> | <i>Process Step</i> | <i>UC05TB – Service Billing Process Process Step Description</i> | <i>Responsibility</i> | <i>Change Implications</i> |
|-----------------------|-------------------------------------|---|--|--|
| | | <ul style="list-style-type: none"> The system assigns a unique invoice identifier, updates each service status to Invoiced, generates an Invoice as a PDF and displays the PDF to the user. | | |
| 1.8 | Capture Physical Approval Signature | <ul style="list-style-type: none"> The user selects <i>Print Invoice for Approval</i> and the system displays the Print screen to the user. The user selects <i>Print</i> to print the Invoice, selects <i>Close</i>, and the system displays the user’s Home Dashboard. | AAA/ADRC or Lead Agency Fiscal Staff | Business/ Operations, Policy, and Training |
| 1.9 | Upload Signed Invoice | <ul style="list-style-type: none"> The user logs into the system and the system displays the user’s Home Dashboard. The user selects <i>Billing</i> from their Home Dashboard and the system displays the Billing Screen. The user selects <i>Search</i>, and the system displays the Search Screen. The user enters the Invoice Identifier, selects <i>Search</i>, and the system displays the Invoice Screen. The user selects <i>Upload</i> from the Invoice Screen, the system displays the File Explorer window, the user locates the file and selects <i>Attach</i>. The system attaches the document to the Provider Record and displays the Invoice Screen. | AAA/ADRC or Lead Agency Fiscal Staff, System | Business/ Operations, Policy, and Training |
| 1.10 | Send to DOEA for Final Payment | <p>Note: Only AAAs can send final invoices to DOEA.</p> <ul style="list-style-type: none"> The user selects <i>Send for Final Invoice</i>, selects <i>Save</i>, the system batches required data to the ACMS database on pre-defined intervals, and displays the Invoice Screen. The user selects <i>Close</i> to close the Invoice screen and the system displays the user’s Home Dashboard. | AAA/ADRC Fiscal Staff, System | Business/ Operations, Policy, and Training |
| 1.11 | Update Invoice to Paid | Contract totals are updated in ACMS per the received data from the system after an approval process as defined by the Accounting Department’s business rules is completed. | System | Business/ Operations, Policy, and Training |

Deliverable 2 CIRTTS Business Process and Definition Document

| <i>Process Step #</i> | <i>Process Step</i> | <i>UC05TB – Service Billing Process Process Step Description</i> | <i>Responsibility</i> | <i>Change Implications</i> |
|-----------------------|---------------------|---|-----------------------|----------------------------|
| | | <ul style="list-style-type: none"> The system receives a batch upload from ACMS with contract totals updated, checks the invoice identifier, updates the services associated with the invoice, and updates the Invoice status as Paid. | | |
| 1.12 | Close Screen | <ul style="list-style-type: none"> The user selects <i>Close</i> and the system displays the user's Home Dashboard. | Fiscal Staff | None |

3.4.6. UC06TB – CARES Level of Care (LOC), Recommended Placement and Staffing Process



Deliverable 2 CIRTS Business Process and Definition Document

| Process Step # | Process Step | Process Summary Table – UC06TB – Level of Care, Recommended Placement, and Staffing Process Process Step Description | Responsibility | Change Implication |
|----------------|-------------------------------------|---|----------------------------|--|
| | Level of Care Recommendation | The Level of Care Recommendation conducted in accordance with Rules 59G-4.180 and 4.290, Florida Administrative Code, to determine if a person meets the medical eligibility for NF and if so what Level of Care is needed and the appropriate placement for specific Medicaid programs. A determination is made based on the eligibility criteria requirements. | | |
| 1.1 | Login to System | <ul style="list-style-type: none"> The user logs into the system. The system displays their Home Dashboard. | CARES Assessor/RNS | |
| 1.2 | Access Assigned Case | <ul style="list-style-type: none"> The user selects the assigned case from their Home Dashboard. The system displays the Case Screen. | CARES Assessor/RNS | |
| 1.3 | Select LOC Recommendation | <ul style="list-style-type: none"> The user selects the <i>New Level of Care Recommendation</i> from the client Case Screen. System displays the <i>DOEA-CARES Form 603</i> Screen with fields populated from the client’s demographic information. The case owner updates the form as required and selects <i>Complete</i>. The system displays the suggested LOC, Placement and Program Recommendation, and displays the recommendation in edit mode. The case owner updates the recommendations, if needed, enters case notes for the recommendation justification and selects <i>Save</i>. The system saves the information and displays the Case Screen. | CARES Assessor/RNS, System | Business/ Operations, Policy, and Training |
| 1.4 | Decision: LOC set to NLOC? | <p>If the LOC Recommendation is a NLOC, the system will create a NLOC task and assign per business rules.</p> <ul style="list-style-type: none"> If Yes, proceed to process step 1.5. If No, proceed to process step 1.11. | System | |
| 1.5 | Generate NLOC Task | <ul style="list-style-type: none"> The system displays a CARES Individual Review of No Level of Care Recommendation 610 Form Screen, populates the form with data | System | Business/ Operations |

Deliverable 2 CIRTIS Business Process and Definition Document

| Process Step # | Process Step | Process Summary Table – UC06TB – Level of Care, Recommended Placement, and Staffing Process Process Step Description | Responsibility | Change Implication |
|----------------|-----------------------------------|---|---------------------------------------|-----------------------------------|
| | | from the client information, creates a NLOC task, updates the assignee per business rules, and places an alert on the assignee’s Home Dashboard. | | |
| 1.6 | RNS Completes NLOC Task | <ul style="list-style-type: none"> The assigned CARES RNS logs into the system, selects the NLOC task from their Home Dashboard, and system displays the NLOC Form Screen. The CARES RNS performs a review of the client record, updates the NLOC Form Screen, enters review notes, and selects <i>Complete</i>. The system updates the task assignee as defined by business rules and displays the user’s Home Dashboard. | CARES RNS | Business/ Operations |
| 1.7 | Decision: Agree with NLOC? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.8. If No, proceed to process step 1.9. | System | None |
| 1.8 | Complete 610 Form | <p>If the RNS agrees with the NLOC recommendation the system will reassign the task to the next reviewer as defined by business rules.</p> <ul style="list-style-type: none"> The reviewer logs into the system and selects the NLOC task from their Home Dashboard. The system displays the NLOC Form Screen. The reviewer performs a review of the client record, updates the NLOC Form Screen, enters review notes, and selects <i>Save</i>. The system displays the reviewer’s Home Dashboard. The system reassigns the task as defined by business rules until all required reviewers have reviewed and updated the NLOC Form as appropriate, the system assigns the NLOC task to the case owner. | CARES CAS, POA, RN Consultant, System | Business/ Operations |
| 1.9 | Return to Case Owner for Staffing | <ul style="list-style-type: none"> The case owner logs into the system, selects the NLOC task from their Home Dashboard, and the system displays the NLOC Form Screen. | CARES Assessor/RNS, System | Business/ Operations and Training |

Deliverable 2 CIRTIS Business Process and Definition Document

| Process Step # | Process Step | Process Summary Table – UC06TB – Level of Care, Recommended Placement, and Staffing Process Process Step Description | Responsibility | Change Implication |
|----------------|-------------------------------|---|----------------------------|-----------------------------------|
| | | <ul style="list-style-type: none"> The case owner reviews the justification and selects <i>Close</i>. The system saves the information and displays the Case Screen. If the LOC recommendation remains NLOC, the case owner updates the case note on the Case Screen with a NLOC Recommendation Reason, selects <i>Save</i>, and the system displays the Case Screen. | | |
| 1.10 | S | <ul style="list-style-type: none"> Proceed to process step 1.11. | | |
| | Staffing | <p>After a comprehensive assessment is completed, CARES must determine if an individual meets medical criteria (Level of Care) for nursing facility Medicaid or community-based Medicaid Programs. CARES must also determine if an individual’s needs are met in the community or if nursing facility is the most appropriate placement. These decisions are finalized in an interdisciplinary team meeting called “staffing.” The goal of staffing is to assign the appropriate and correct Level of Care, program recommendation, and placement recommendation.</p> | | |
| 1.11 | Create Staffing Documentation | <ul style="list-style-type: none"> The user selects <i>Staff Client</i> from the Case Screen and the system displays the Staffing Screen. The user selects <i>Choose Staffing Documents</i> and the system displays the electronic documents for the client record. The user selects the required document(s) for Staffing. The system places a link for each selected document on the Staffing Screen, generates the Summary of Details document from the assessment data and links it to the Staffing Screen. The user selects <i>Save</i>. The system checks to confirm documentation required for Staffing has been selected as defined by business rules. If documentation is missing, a message is displayed to the user with a list of possible missing documentation. | CARES Assessor/RNS, System | Business/ Operations and Training |

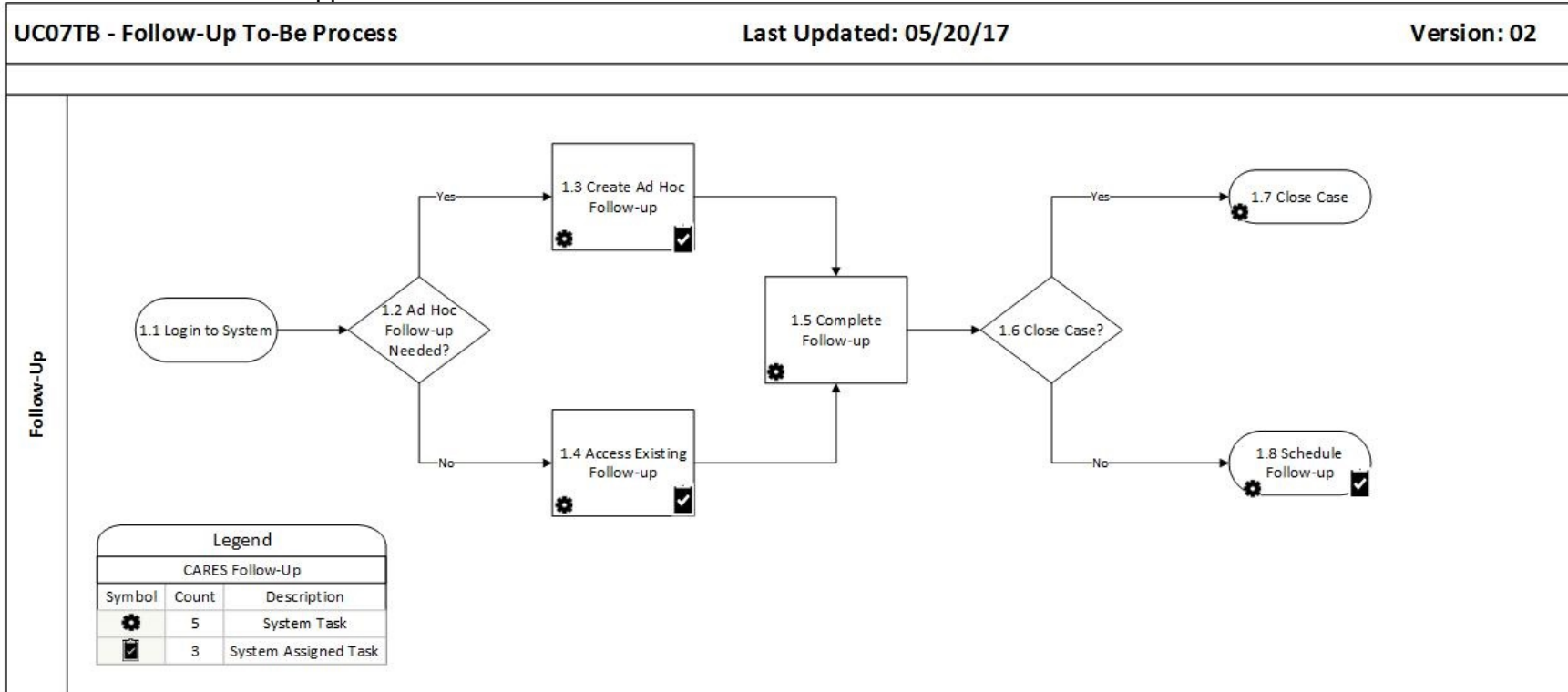
Deliverable 2 CIRTTS Business Process and Definition Document

| Process Step # | Process Step | Process Summary Table – UC06TB – Level of Care, Recommended Placement, and Staffing Process Process Step Description | Responsibility | Change Implication |
|----------------|---------------------------------------|---|--|-----------------------------------|
| | | <ul style="list-style-type: none"> The system creates a task, updates the task status to Ready for Staffing, assigns it according to business rules, places the task on the case owner’s calendar, and places an alert on the assignee’s Home Dashboard. | | |
| 1.12 | Confirm/Update Recommendations | <ul style="list-style-type: none"> The Physician, or CARES RNS, logs into the system, selects the Staffing task from their Home Dashboard, and the system displays the Staffing Screen. The Consulting Physician, or CARES RNS, reviews the required forms, client documentation, the LOC, and Recommended Placement and Program for the client. If any updates should be made to the LOC, Recommended Placement or Program, the Staffing Manager creates a case note to recommend the changes, and selects <i>Reassign</i>. <ul style="list-style-type: none"> The Physician, or CARES RNS, selects the case owner from a drop-down list and selects <i>Save</i>. The task is assigned to the selected case owner. The case owner updates the Staffing Form with the needed corrections, assigns the case back to the Physician or CARES RNS to continue with the Staffing process and selects <i>Save</i>. The Physician, or CARES RNS, selects <i>Confirm</i> from the Staffing screen, the system displays the DOEA-CARES Form 603 with an associated signature box for them to sign electronically or print and sign manually. The system saves the information to the client’s case, reassigns the Staffing task to the case owner, and displays the user’s Home Dashboard. | Physician or CARES RNS, CARES Assessor, CARES Supervisor, Staffing Manager, System | Business/ Operations and Training |
| 1.13 | Send 603 And Supporting Documentation | <ul style="list-style-type: none"> The case owner accesses the Staffing task from their Home Dashboard, and the system displays the Staffing Form Screen. | CARES Assessor/RNS, System | Business/ Operations |

| Process Step # | Process Step | Process Summary Table – UC06TB – Level of Care, Recommended Placement, and Staffing Process Process Step Description | Responsibility | Change Implication |
|----------------|------------------------------------|--|----------------------------|---------------------|
| | | <ul style="list-style-type: none"> • If the LOC recommendation is a NLOC, the case owner verifies the justification reason and enters a note into the client case indicating the justification for the NLOC. • The user selects <i>Complete</i>. • The system displays a message: “Send Completed LOC?” <ul style="list-style-type: none"> ○ If the user selects <i>Yes</i>, the system sends the LOC information and additional documents as required by the business rules via email or integrated fax to DCF, Enrollment Broker, and Nursing Facilities (if needed) via a batch process. ○ If the user selects <i>No</i>, the user is returned to the Staffing Form and the task remains open. • The system updates the task to Complete and displays the Case Screen. | | |
| 1.14 | Decision: Follow-Up Needed? | The system creates Follow-up tasks based on the Placement and Recommendation. <ul style="list-style-type: none"> • If Yes, proceed to process step 1.15. • If No, proceed to process step 1.16. | System | None |
| 1.15 | Follow-Up Process | <ul style="list-style-type: none"> • The system schedules a follow-up task as defined by business rules and creates an alert for the assigned case owner on their Home Dashboard. • Continue to the UC07TB – CARES Follow-Up Process. | System | Business/Operations |
| 1.16 | Close Case | <ul style="list-style-type: none"> • The user selects <i>Close Case</i> from the Case Screen. • The updates the status of the case to Closed and displays the user’s Home Dashboard. | CARES Assessor/RNS, System | Business/Operations |

3.4.7. UC07TB – CARES Follow-up Process

The follow-up process includes business rules which should be followed by the system when generating follow-up tasks. These rules can be found in Appendix B of this document.

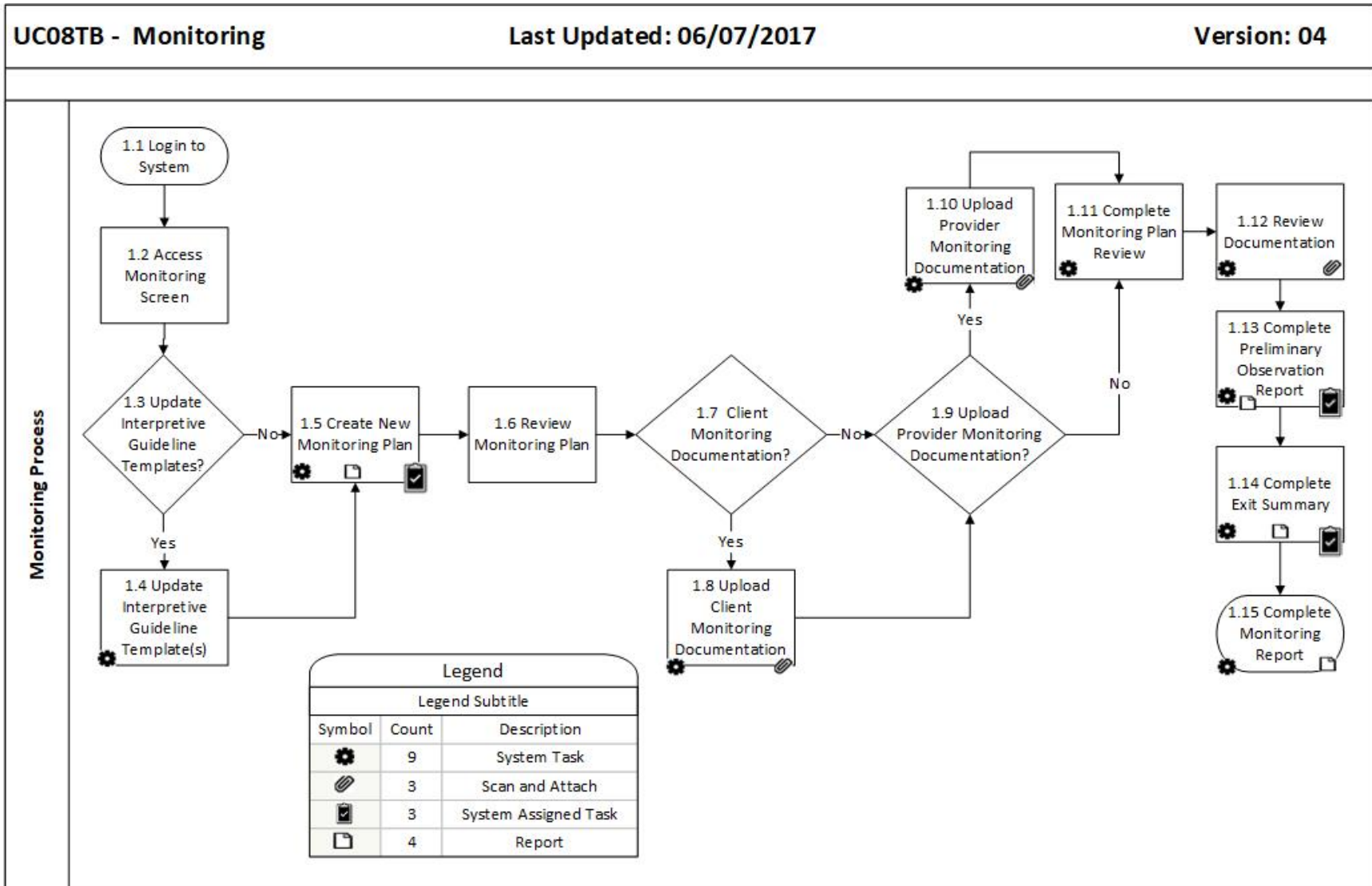


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| Process Step # | Process Step | Process Summary Table – UC07TB – CARES Follow-up Process Process Step Description | Responsibility | Change Implication |
|-----------------------|---|---|----------------------------|----------------------------------|
| | Follow-up | After staffing has occurred, CARES staff is required to follow and update the case status at various intervals as defined by Case Follow-up business rules. | | |
| 1.1 | Login to System | <ul style="list-style-type: none"> User logs into the system. The system displays the user’s Home Dashboard. | CARES Assessor/RNS | Business/Operations |
| 1.2 | Decision: Ad-Hoc Follow-Up Needed? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.3. If No, proceed to process step 1.4. | CARES Assessor/RNS | Business/Operations |
| 1.3 | Create Ad-Hoc Follow-up | <p>An ad hoc follow-up task may be scheduled when the user determines additional follow-ups are required outside of the pre-defined system tasks.</p> <ul style="list-style-type: none"> The user selects <i>Search Client</i> from their Home Dashboard and the system displays the Search Screen. The user enters the required information, selects <i>Search</i> and the system displays the search results. The user selects the client from the list of search results and the system displays the Client Screen. The user selects <i>Cases</i> and the system displays the open case for the client. The user selects <i>Create Ad Hoc Follow-Up</i> and system displays the Follow-up Form Screen. The user selects the due date and selects <i>Save</i>. The system creates a task categorized as follow-up, assigns the task to the user, and places an alert on the user’s Home Dashboard. | CARES Assessor/RNS, System | Business/Operations and Training |
| 1.4 | Access Existing Follow-up | <ul style="list-style-type: none"> The user selects a follow-up task from their Home Dashboard. The system displays the Follow-Up Form Screen. | CARES Assessor, RNS | Business/Operations |
| 1.5 | Complete Follow-up | <ul style="list-style-type: none"> The user selects <i>Follow-up</i> from their Home Dashboard and the system displays the Follow-up Form Screen. | CARES Assessor/RNS | Business/Operations and Training |

| Process Step # | Process Step | Process Summary Table – UC07TB – CARES Follow-up Process Process Step Description | Responsibility | Change Implication |
|----------------|------------------------------|--|----------------------------|-----------------------------------|
| | | <ul style="list-style-type: none"> The user performs the follow-up, updates the Follow-up Form Screen and enters appropriate case notes. The user selects <i>Save</i> and the system saves the information to the client’s case. The system displays the Follow-Up Form Screen. | | |
| 1.6 | Decision: Close Case? | <p>A completed Follow-Up can close the client’s case.</p> <ul style="list-style-type: none"> If Yes, proceed to process step 1.7 If No, proceed to process step 1.8 | CARES Assessor/RNS | Business/ Operations |
| 1.7 | Close Case | <ul style="list-style-type: none"> The user selects <i>Close Case</i> from the Follow-up Form Screen. If non-follow up tasks are open, the system displays a message: “The case cannot be closed until the following tasks are completed [system displays list of open tasks with an option to close the tasks].”, and the follow-up form Screen is displayed to the user without closing the case. If only follow-up tasks are open for the client case, the system closes existing scheduled or unscheduled follow-up tasks and closes the client’s case. The system displays the user’s Home Dashboard. | CARES Assessor/RNS, System | Business/ Operations and Training |
| 1.8 | Schedule Follow-up | <ul style="list-style-type: none"> The user selects <i>Close Task</i> from the Follow-up Form Screen. The system determines if the current task is a scheduled or unscheduled follow-up. If the task is a scheduled follow-up, the system updates the task status to Closed and schedules a future follow-up task as defined in the business rules. If the task is an ad hoc follow-up, the system updates the task status to Closed. The system displays the user’s Home Dashboard. | CARES Assessor/RNS, System | Business/ Operations and Training |

3.4.8. UC08TB – Monitoring Process



| Process Step # | Process Step | Process Summary Table – UC08TB - Monitoring Process Process Step Description | Responsibility | Change Implication |
|-----------------------|---|---|-----------------------|--------------------------------------|
| | Monitoring Process | The monitoring process is designed to provide quality assurance for compliance requirements through case review and policy adherence verification. | | |
| 1.1 | Login to System | <ul style="list-style-type: none"> The Monitor logs into the system and the system displays the user’s Home Dashboard. | Monitor(s) | Business/ Operations |
| 1.2 | Access Monitoring Screen | <ul style="list-style-type: none"> The user selects <i>Monitoring</i> from their Home Dashboard and the system displays the Monitoring Screen. | Monitor(s) | Business/ Operations |
| 1.3 | Decision: Update Interpretive Guideline Templates? | <p>Interpretive Guidelines serve to interpret and clarify compliance requirements of the effectiveness, efficiency, and appropriateness of service delivery by the ADRC, CARES staff, and Lead Agencies.</p> <ul style="list-style-type: none"> If Yes, proceed to process step 1.4. If No, proceed to process step 1.5. | Monitor(s) | None |
| 1.4 | Update Interpretive Guideline Template(s) | <ul style="list-style-type: none"> The user selects <i>Templates</i>. The system displays a list of Templates and the user selects an existing template or <i>Create New Template</i>. The Monitor updates the template, selects <i>Save</i> and the system displays the Monitoring Screen. | Monitor(s), System | Business/ Operations |
| 1.5 | Create New Monitoring Plan | <p>A monitoring plan is the collection of tools such as forms, documents, checklists and randomized client lists required to perform the monitoring process.</p> <ul style="list-style-type: none"> The Monitor selects <i>Create New Monitoring Plan</i> from the Monitoring Screen and the system displays the Monitoring Plan Screen. The Monitor selects the appropriate template(s) from the checklist, <i>Monitoring Recipient(s)</i> from a drop-down list, the Monitoring Date, and selects <i>Generate</i>. The system generates the selected monitoring documentation and attaches the documentation to the Monitoring Plan. The user selects <i>Save</i> and the system: | System, Monitor(s) | Business/ Operations, Training |

| Process Step # | Process Step | Process Summary Table – UC08TB - Monitoring Process Process Step Description | Responsibility | Change Implication |
|----------------|--|--|------------------------------|--------------------------------|
| | | <ul style="list-style-type: none"> ○ Creates a Monitoring Task assigned to the Monitor; ○ Places the task with a predefined alert on the Monitor’s calendar; ○ Sends an email and calendar appointment to the Monitoring Recipient attaching a link to the Monitoring Plan; ○ Places an alert on the Monitoring Recipient’s Home Dashboard; and ○ Displays the Monitor’s Home Dashboard. | | |
| 1.6 | Review Monitoring Plan | <ul style="list-style-type: none"> ● The Monitoring Recipient logs into the system and the system displays the user’s Home Dashboard. ● The user selects the Monitoring Task from their Home Dashboard and the system displays the Monitoring Plan. ● The user reviews and updates the Monitoring Plan. | Monitoring Recipient | Business/ Operations, Training |
| 1.7 | Decision: Upload Client Monitoring Documentation? | <p>While reviewing the Monitoring Plan, the Monitoring Recipient will review the client documentation and determine if additional documentation should be uploaded to the client’s electronic record.</p> <ul style="list-style-type: none"> ● If Yes, proceed to process step 1.8. ● If No, proceed to process step 1.9. | Monitoring Recipient | None |
| 1.8 | Upload Client Monitoring Documentation | <ul style="list-style-type: none"> ● The user selects a client from the Monitoring Plan Screen and the system displays the Client Screen. ● The user selects <i>Upload Documents</i> from the Client Screen, the system displays a File Explorer window, the user selects the file(s), selects <i>Attach</i>, the system uploads the file(s) and displays the Client Screen. ● The user selects <i>Close</i> from the client screen and the system displays the Monitoring Plan Screen. | Monitoring Recipient, System | Business/ Operations, Training |

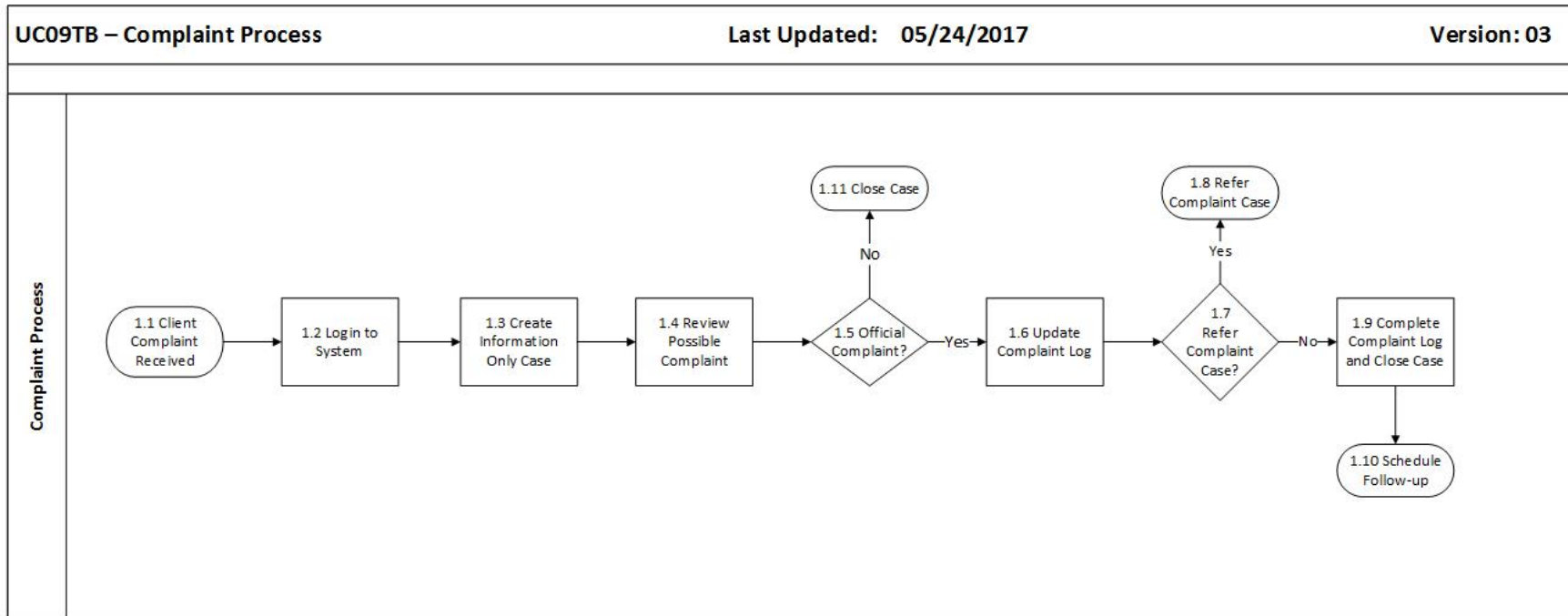
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| Process Step # | Process Step | Process Summary Table – UC08TB - Monitoring Process Process Step Description | Responsibility | Change Implication |
|----------------|---|--|--|--------------------------------|
| 1.9 | Decision: Upload Provider Monitoring Documentation | <p>When reviewing the Monitoring Plan, the Monitoring Recipient will review the provider documentation and determine if additional documentation should be uploaded to the provider’s electronic record.</p> <ul style="list-style-type: none"> • If Yes, proceed to process step 1.10. • If No, proceed to process step 1.11. | Monitoring Recipient | None |
| 1.10 | Upload Provider Monitoring Documentation | <ul style="list-style-type: none"> • The user selects <i>Upload</i> from the Monitoring Plan Screen, the system displays a File Explorer window, the user selects the file(s), and selects <i>Attach</i>. • The system uploads the file(s) and displays the Monitoring Plan Screen. | Monitoring Recipient, System | Business/ Operations, Training |
| 1.11 | Complete Monitoring Plan Review | <ul style="list-style-type: none"> • The Monitoring Recipient selects <i>Review Complete</i> from the Monitoring Plan Screen. • The system: <ul style="list-style-type: none"> ○ Updates the task status to Pending Document Review; ○ Assigns the task to the Monitor; ○ Sends an email to the Monitor of the change in status; Places an alert on the Monitor’s Home Dashboard; and ○ Displays the Monitoring Recipient’s Home Dashboard. | Monitoring Recipient, System | Business/ Operations, Training |
| 1.12 | Review Documentation | <ul style="list-style-type: none"> • The Monitor logs into the system and the system displays the Monitor’s Home Dashboard. • The Monitor selects the Monitoring Task from their Home Dashboard and the system displays the Monitoring Plan Screen. • The Monitor performs a desk review of the documentation for completeness and accuracy. • The Monitor enters notes in the Monitoring Plan Screen. • If any updates should be made to the documentation the Monitor creates a note and chooses <i>Reassign</i>. | System, Monitor(s), Monitoring Recipient | Business/ Operations, Training |

| Process Step # | Process Step | Process Summary Table – UC08TB - Monitoring Process Process Step Description | Responsibility | Change Implication |
|-----------------------|---|---|-----------------------|---------------------------|
| | | <ul style="list-style-type: none"> ○ The Monitor selects the Monitoring Recipient(s) from the drop-down list and selects <i>Save</i>. ○ The task is assigned to the Monitoring Recipient(s). The Monitoring Recipient updates the Monitoring Plan Screen with the needed information, assigns the Monitoring Plan back to the Monitor to continue with the Monitoring process. | | |
| 1.13 | Complete Preliminary Observation Report | <ul style="list-style-type: none"> ● The Monitor selects <i>Create Preliminary Observation Report</i> from the Monitoring Plan Screen. ● The Monitor enters the required information, selects <i>Complete</i>, the system: <ul style="list-style-type: none"> ○ Saves the information; ○ Sends an email to the Monitoring Recipient(s) with a link to the report; ○ Updates the task status to Preliminary Sent; and ○ Displays the Monitor’s Home Dashboard. | Monitor(s), System | Business/ Operations |
| 1.14 | Complete Exit Summary | <p>After completing the Preliminary Observation Report, the Monitor goes on-site to the Providers location and completes the Monitoring process. Prior to leaving the on-site monitoring location, an exit summary is completed for requested follow-up activities.</p> <ul style="list-style-type: none"> ● The Monitor logs into the system and the system displays the Monitor’s Home Dashboard. ● The Monitor selects the Monitoring task from their Home Dashboard and the system displays the Monitoring Plan Screen. ● The Monitor selects <i>Create Exit Summary</i> and the system displays the Exit Summary Screen. ● The Monitor updates and completes the Exit Summary Screen, selects the <i>Due Date</i>, and selects <i>Send</i>. <p>The system:</p> | Monitor(s), System | Business/ Operations |

| Process Step # | Process Step | Process Summary Table – UC08TB - Monitoring Process Process Step Description | Responsibility | Change Implication |
|-----------------------|----------------------------|--|-----------------------|---------------------------|
| | | <ul style="list-style-type: none"> ○ Saves the information; ○ Emails the Monitoring Recipient(s) a link to the Exit Summary; ○ Updates the task status to Exit Complete; ○ Creates an alert on the Monitoring Recipient(s) home dashboard; ○ Creates calendar follow-up appointments for the Monitor and Monitoring Recipient(s); and ○ Displays the Monitor’s Home Dashboard. | | |
| 1.15 | Complete Monitoring Report | <ul style="list-style-type: none"> ● The Monitor logs into the system and the system displays the Monitor’s Home Dashboard. ● The Monitor selects the Monitoring Task from their Home Dashboard and the system displays the Monitoring Plan Screen. ● The Monitor selects <i>Monitoring Report</i> from the Monitoring Plan Screen and the system displays the Monitoring Report Screen. ● The Monitor completes the report and selects <i>Complete</i>. ● The system: <ul style="list-style-type: none"> ○ Emails the Monitoring Recipient(s) a link to the Monitoring Report; ○ Sets the Monitoring Plan task status to Completed; and ○ Displays the Monitor’s Home Dashboard. | Monitor(s), System | Business/ Operations |

3.4.9. UC09TB – Complaint Process

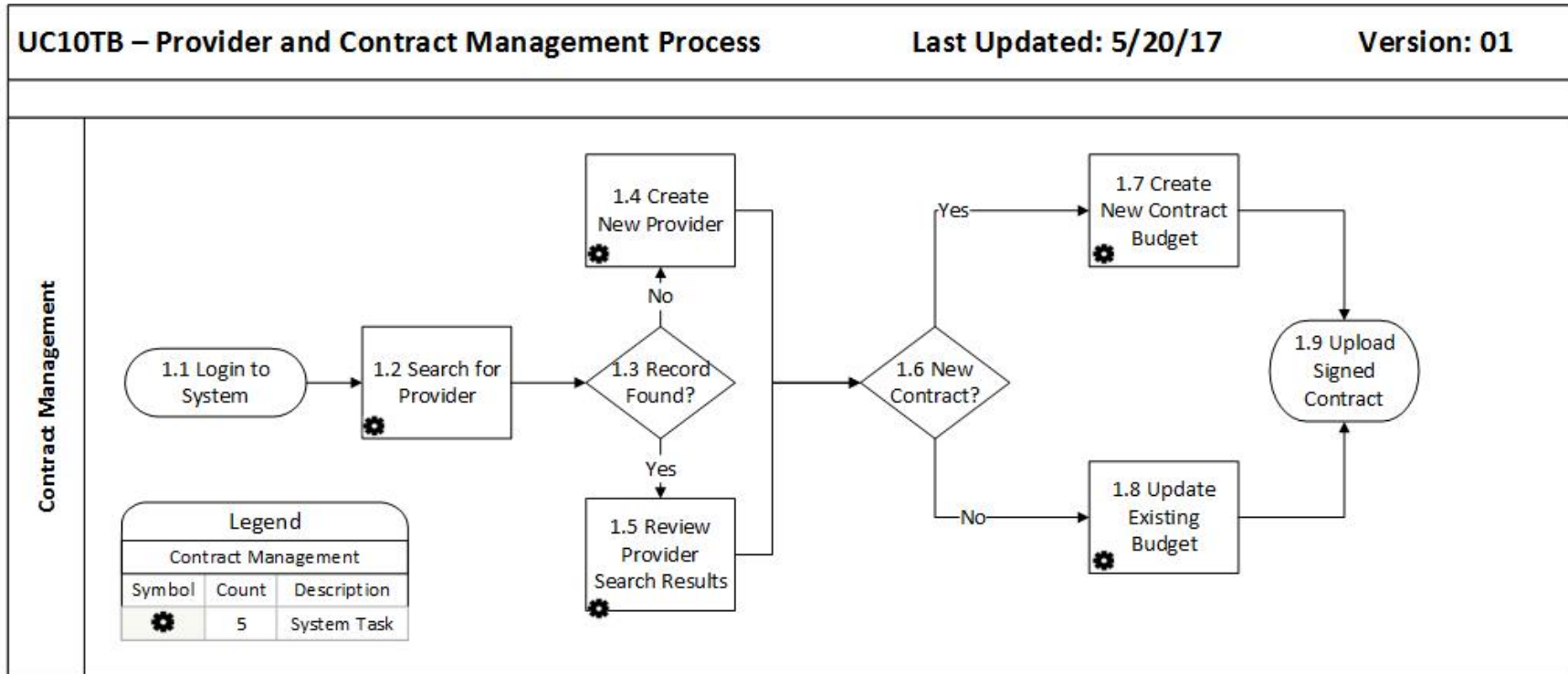


| Process Step # | Process Step | Process Summary Table – UC09TB –Complaint Process Process Step Description | Responsibility | Change Implication |
|-----------------------|------------------------------|---|--|-----------------------------------|
| | Complaint Received | A complaint is received from a client or client’s authorized representative regarding services provided. | | |
| 1.1 | Client Complaint Received | <ul style="list-style-type: none"> • A client or client’s authorized representative may submit a complaint to the ADRC, CARES, or DOEA offices through one of the following channels: <ul style="list-style-type: none"> ○ Phone Call (including the Elder Helpline); ○ U.S. Postal Mail; ○ Email; ○ Fax; or ○ Hand Delivery. | ADRC, CARES, DOEA, and Lead Agency Staff | None |
| 1.2 | Login to System | <ul style="list-style-type: none"> • The recipient of the complaint logs into the system. • The system displays the user’s Home Dashboard. | ADRC, CARES, DOEA, and Lead Agency Staff | Business/ Operations and Training |
| 1.3 | Create Information Only Case | <p>A case must be opened for a complaint to be documented.</p> <ul style="list-style-type: none"> • The user selects <i>Search Client</i> from their Home Dashboard and the system displays the Search Screen. • The user enters the required information, selects <i>Search</i>, and the system displays the search results. • The user selects the correct client from the list of search results and the system displays the Client Screen. • The user selects <i>Create Case</i> from the Client Screen. • The system defaults the case type to Information Only and the case owner to the current user. • The user enters notes as appropriate, updates the case type to Possible Complaint, and selects <i>Save</i>. • The system saves the information, assigns the case to the Complaint Reviewer, and returns the user to their Home Dashboard. | ADRC, CARES, DOEA, Lead Agency Staff, and System | Business/ Operations and Training |

| Process Step # | Process Step | Process Summary Table – UC09TB –Complaint Process Process Step Description | Responsibility | Change Implication |
|----------------|--|---|-------------------------------|---|
| 1.4 | Review Possible Complaint | <ul style="list-style-type: none"> • The Complaint Reviewer logs into the system, selects the assigned case from their Home Dashboard, and the system displays the Complaint Screen. • The Complaint Reviewer researches the case information and contacts the client for possible case resolution. | Complaint Reviewer | Business/ Operations and Training |
| 1.5 | Decision: Official Complaint? | The Complaint Reviewer determines if the Complaint is valid. <ul style="list-style-type: none"> • If Yes, proceed to process step 1.6. • If No, proceed to process step 1.11. | Complaint Reviewer | Business/ Operations and Training |
| 1.6 | Update Complaint Log | <ul style="list-style-type: none"> • The Complaint Reviewer updates the case type to Official Complaint from the Case Screen. • The system displays the Complaint Log Screen. • The user updates the Complaint Log Screen. <p>Note: If a Complaint Reviewer exits the Complaint Log Screen before the case is marked Complete, the system will provide the option to save the Complaint Log. When the user accesses the case, the system will return the user to the Complaint Log at the point where the user previously exited.</p> | Complaint Reviewer and System | Business/ Operations and Training |
| 1.7 | Decision: Refer Complaint Case? | Complaints may be referred to the ADRC Group, DOEA Group, Lead Agency Group, or CARES Group for review. <ul style="list-style-type: none"> • If Yes, proceed to process step 1.8. • If No, proceed to process step 1.9. | Complaint Reviewer and System | None |
| 1.8 | Refer Complaint Case | <ul style="list-style-type: none"> • The Complaint Reviewer selects the <i>Referral Group</i> from the following drop-down list: <ul style="list-style-type: none"> ○ ADRC; ○ CARES; ○ DOEA; or ○ Lead Agency. | Complaint Reviewer | Business/ Operations, Policy and Training |

| Process Step # | Process Step | Process Summary Table – UC09TB –Complaint Process Process Step Description | Responsibility | Change Implication |
|-----------------------|---------------------------------------|---|-------------------------------|-----------------------------------|
| | | <ul style="list-style-type: none"> The Complaint Reviewer selects <i>Save</i> and the system creates a follow-up task on the Complaint Reviewer’s calendar, updates the assigned case owner per business rules, places an alert for the assigned case owner’s Home Dashboard, updates the case status to Pending, and displays the user’s Home Dashboard. | | |
| 1.9 | Complete Complaint Log and Close Case | <ul style="list-style-type: none"> The Complaint Reviewer enters case notes and selects a <i>Close Reason</i> from the following drop-down list: <ul style="list-style-type: none"> Issue Resolved; Referred to AHCA; or Referred to MCO. The Complaint Reviewer selects <i>Save</i>. The system updates the case status to Closed and displays the Complaint Reviewer’s Home Dashboard. | Complaint Reviewer | Business/ Operations and Training |
| 1.10 | Schedule Follow-up | <p>After an official complaint has been filed, a follow-up is required to ensure the resolution provided was sufficient and the client is satisfied.</p> <ul style="list-style-type: none"> The system schedules a follow-up task as defined by business rules and creates an alert for the assigned case reviewer on their Home Dashboard. | System | Business/ Operations and Training |
| 1.11 | Close Case | <ul style="list-style-type: none"> The Complaint Reviewer updates the case type to Information Only, enters notes, and selects <i>Close Case</i>. The system saves the information, updates the case status to Closed and displays the Complaint Reviewer’s Home Dashboard. | Complaint Reviewer and System | Business/ Operations and Training |

3.4.10. UC10TB – Provider and Contract Management Process



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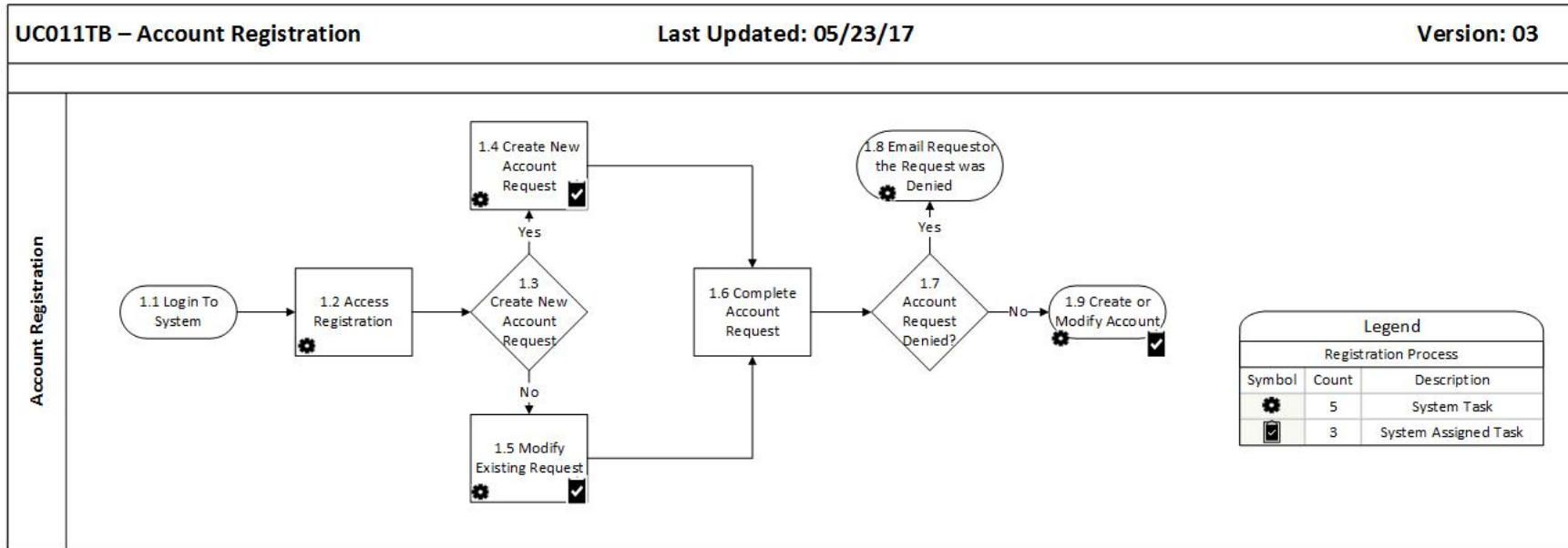
| <i>Process Step #</i> | <i>Process Step</i> | UC010TB –Contract Management Process Process Step Description | Responsibility | Change Implications |
|-----------------------|--------------------------------|--|-----------------------|---|
| | Contract Budget Entry | Providers must be registered in the system and have their associated signed contracts maintained in the system. | | |
| 1.1 | Login to System | <ul style="list-style-type: none"> The user logs into the system and the user’s Home Dashboard is displayed. | AAA/ADRC Fiscal Staff | None |
| 1.2 | Search for Provider | <ul style="list-style-type: none"> The user selects <i>Provider Search</i> from their Home Dashboard and the system displays the Provider Search Screen. The user enters the provider search information and selects <i>Search</i>. | AAA/ADRC Fiscal Staff | None |
| 1.3 | Decision: Record Found? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.5. If No, proceed to process step 1.4. | AAA/ADRC Fiscal Staff | None |
| 1.4 | Create New Provider | <ul style="list-style-type: none"> The user selects <i>Create New Provider</i> from the Search Results Screen. The search criteria entered in process step 1.2 pre-populates the required fields for the new provider record. The user completes any additional required information selects <i>Save</i> and the system displays the Provider Screen. Proceed to process step 1.6. | AAA/ADRC Fiscal Staff | None |
| 1.5 | Review Provider Search Results | <ul style="list-style-type: none"> A list of records in the Search Results screen is displayed to the user. <ul style="list-style-type: none"> If the user determines none of the providers in the list match their provider, the user proceeds to process step 1.4 to create a new provider. The user selects the provider from the list and the system displays the Provider Screen. | AAA/ADRC Fiscal Staff | None |
| 1.6 | Decision: New Contract? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.7. If No, proceed to process step 1.8. | AAA/ADRC Fiscal Staff | None |
| 1.7 | Create New Contract Budget | <ul style="list-style-type: none"> User selects <i>Create New Contract Budget</i> from the Provider Screen and the system displays the New Contract Screen. If the provider has a previous Contract Budget on record, the system displays a dialog to the user: “Copy previous year’s Contract Budget?” | AAA/ADRC Fiscal Staff | Business/ Operations and Training |

Deliverable 2 CIRT5 Business Process and Definition Document

| Process Step # | Process Step | UC010TB –Contract Management Process Process Step Description | Responsibility | Change Implications |
|----------------|---------------------------------|---|-----------------------|-----------------------------------|
| | | <ul style="list-style-type: none"> • If the user selects <i>Yes</i>, data from previous year’s Contract Budget is populated into the current Contract Screen. • If the user selects <i>No</i>, the system creates a new blank Contract Screen for the current year. • The user completes the Contract Screen and selects <i>Complete</i>. • The system updates the Provider Approved Services on the provider record with the Contract Screen data. • The user selects <i>Generate Contract</i> on the Contract Screen, the system creates the Contract PDF, and displays the PDF to the user. • The user selects <i>Print</i> or <i>Email the Contract</i> for signature, selects <i>Close</i>, and the system displays the user’s Home Dashboard. | | |
| 1.8 | Update Existing Contract Budget | <ul style="list-style-type: none"> • User selects <i>Contract Budget</i> from the Provider Screen and the system displays the existing Contract Budget in view-only mode. • The user selects <i>Edit</i>, updates the Contract Form Screen, and selects <i>Complete</i>. • The system updates the Provider Approved Services on the provider record with the Contract Screen data. • The user selects <i>Generate Amended Contract Budget</i> on the Contract Screen, the system creates the Amended Contract Budget PDF and displays the PDF to the user. • The user selects <i>Print</i> or <i>Email the Amended Contract</i> for signature, selects <i>Close</i>, and the system displays the user’s Home Dashboard. | AAA/ADRC Fiscal Staff | Business/ Operations and Training |
| 1.9 | Upload Signed Contract | <ul style="list-style-type: none"> • When the signed Contract Budget is received from the provider it must be uploaded to the provider record. • The user selects <i>Provider Search</i> from their Home Dashboard and the system displays the Provider Search Screen. • The user enters the required information, selects <i>Search</i>, and the system displays the Search Results. • The user selects the Provider from the list of Search Results and the system displays the Provider Screen. | AAA/ADRC Fiscal Staff | Business/ Operations and Training |

| <i>Process Step #</i> | <i>Process Step</i> | UC010TB –Contract Management Process Process Step Description | Responsibility | Change Implications |
|-----------------------|---------------------|--|----------------|---------------------|
| | | <ul style="list-style-type: none"> • The user selects <i>Upload Documentation</i> from the Provider Screen, the system displays the File Explorer window, the user locates the file, and selects <i>Attach</i>. • The system attaches the documents to the provider record and displays the Provider Screen. • The user selects <i>Close</i> and the system displays the user’s Home Dashboard. | | |

3.4.11. UC11TB – Account Registration Process

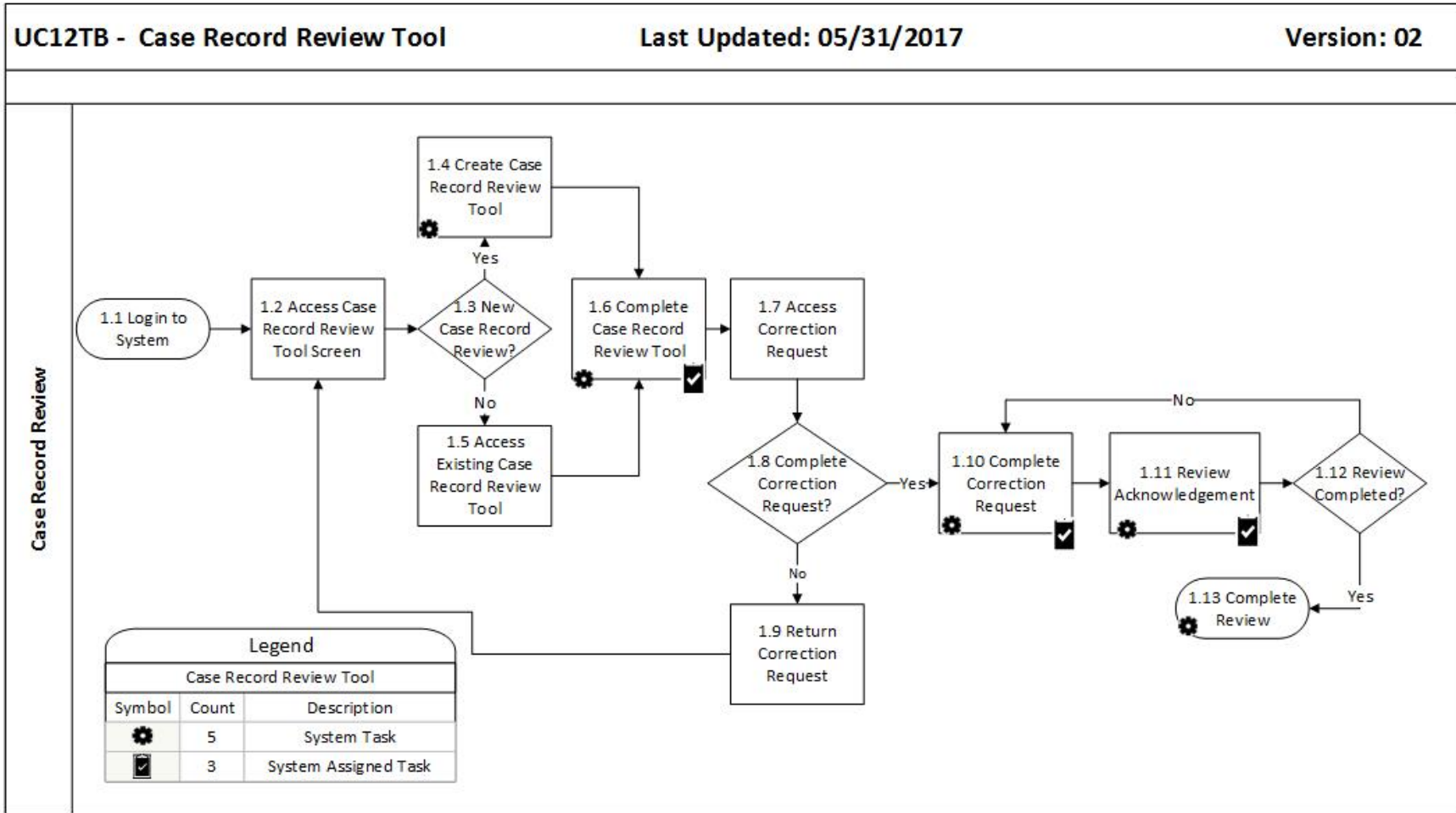


| Process Step # | Process Step | Process Summary Table – UC11TB –Account Registration Process Process Step Description | Responsibility | Change Implication |
|-----------------------|--|--|---------------------------|---|
| | Account Registration | Request for an approved user account to be provisioned with the requested roles and security access assuming the required network access has already been provided. | | |
| 1.1 | Login to System | <ul style="list-style-type: none"> The Account Requester logs into the system. The system displays the Account Requestor’s Home Page. | Account Requestor | |
| 1.2 | Access Registration | <ul style="list-style-type: none"> The Account Requestor selects <i>Account Registration</i> from their Home Dashboard. The system displays the Account Registration Screen. | Account Requestor, System | Business/ Operations, Training and Policy |
| 1.3 | Decision: Create New Account Request? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.4. If No, proceed to process step 1.5. | Account Requestor | None |
| 1.4 | Create New Account Request | <ul style="list-style-type: none"> The Account Requestor selects <i>New Account Request</i> from the Account Registration Screen and the system displays the Account Request Screen. The user completes the Account Request Screen and selects <i>Save</i>. The system saves the account request information, assigns a unique request identification number (ID), creates a Request task and sets the status to Pending Approval, updates the Request task assignee to the Account Approver as defined by business rules, places an alert on the Account Approver’s Home Dashboard, and displays the Account Requestor’s Home Dashboard. Proceed to process step 1.6. | Account Requestor, System | Business/ Operations, Training and Policy |
| 1.5 | Modify Existing Account Request | <ul style="list-style-type: none"> The Account Requestor selects <i>Account Registration</i> from their Home Dashboard and the system displays the Account Registration Screen. The user selects <i>Search</i> from the Account Registration Screen and the system displays the Search Screen. | Account Requestor, System | Business/ Operations, Training and Policy |

| Process Step # | Process Step | Process Summary Table – UC11TB –Account Registration Process Process Step Description | Responsibility | Change Implication |
|----------------|--|--|------------------|---|
| | | <ul style="list-style-type: none"> • The user enters the required search criteria, selects <i>Search</i>, and the system displays the Search Results Screen. • The user selects the Account Request from the list of search results and the system displays the Account Request Screen. • The user updates the Account Request as required and selects <i>Save</i>. • The system saves the Account Request information, updates the Request Task status to Pending Approval, updates the assignee to the Account Approver per business rules, places an alert on the Account Approver’s Home Dashboard, and displays the Account Requestor’s Home Dashboard. | | |
| 1.6 | Complete Account Request | <ul style="list-style-type: none"> • The Account Approver logs into the system, accesses the Request task from their Home Dashboard, and the system displays the Account Request Screen. • The user updates the form and selects the <i>Request Status</i> from the following drop-down list: <ul style="list-style-type: none"> ○ Approve; or ○ Deny. • The Account Approver selects <i>Save</i>. | Account Approver | Business/ Operations, Training and Policy |
| 1.7 | Decision: Account Request Denied? | <ul style="list-style-type: none"> • If Yes, proceed to process step 1.8. • If No, proceed to process step 1.9. | | |
| 1.8 | Email Requestor the Request Was Denied | <ul style="list-style-type: none"> • The system updates the Request status to Denied, reassigns the Request task to the Account Requestor, generates a standard email stating the status of the request with the reason for denial, and displays the Account Approver’s Home Dashboard. • The system places an alert on the Account Requestor’s Home Dashboard and sends an email to the employee’s Supervisor. • The Account Request status is updated to Closed if not resubmitted and approved within 10 business days. | System | Business/ Operations |

| Process Step # | Process Step | Process Summary Table – UC11TB –Account Registration Process Process Step Description | Responsibility | Change Implication |
|-----------------------|--------------------------|--|-------------------------------|---------------------------------|
| 1.9 | Create or Modify Account | <ul style="list-style-type: none"> • The system updates the Request Status to Approved and reassigns the Request task to the Account Administrator to create the account. • The Account Administrator logs into the system and accesses the Request task from their Home Dashboard. • The system displays the Account Request Screen, the Account Administrator selects <i>Manage User Accounts</i> and the Manage User Accounts Screen is Displayed. • The Account Administrator creates or modifies the account with the approved security roles and permissions. • The system saves the information, updates the Request Status to Activated, sends an email to the new user with their login information and instructions for login, sends an email to the Account Requestor and Account Approver notifying them of account activation, and displays the user’s Home Dashboard. | Account Administrator, System | Business/ Operations and Policy |

3.4.12. UC12TB – CARES Case Record Review Tool (CRRT)



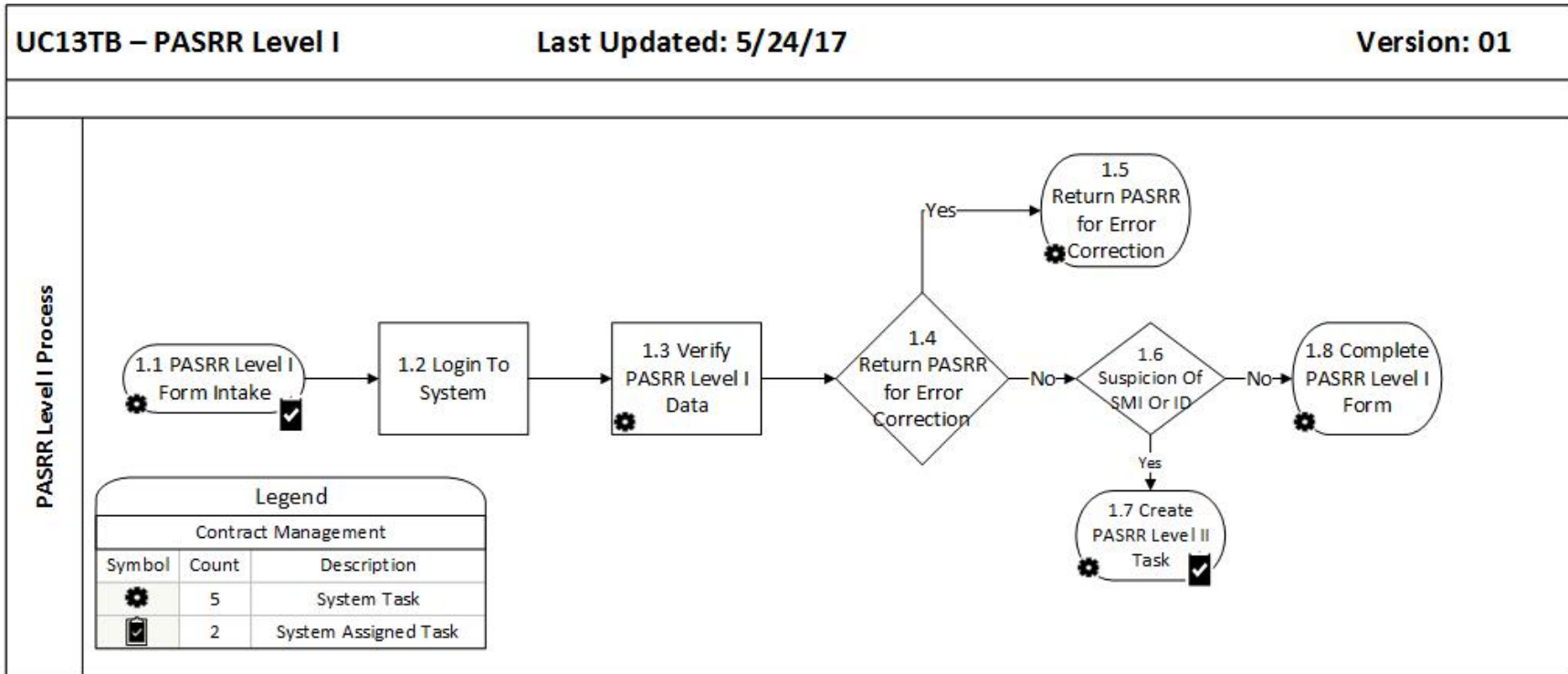
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| Process Step # | Process Step | Process Summary Table – UC12TB – Case Record Review Tool Process Step Description | Responsibility | Change Implication |
|-----------------------|--|--|-----------------------|--------------------------------------|
| | Case Record Review | The case review process is designed to provide quality assurance and performance reviews for Assessors and Staff Assistants. | | |
| 1.1 | Login to System | <ul style="list-style-type: none"> The user logs into the system and the system displays the user’s Home Dashboard. | Reviewer | Training |
| 1.2 | Access Case Record Review Tool Screen | <ul style="list-style-type: none"> The user selects <i>Case Record Review</i> from the user’s Home Dashboard and the system displays the Case Record Review Tool screen. | Reviewer | Business/ Operations, Training |
| 1.3 | Decision: New Case Record Review? | <ul style="list-style-type: none"> If Yes, proceed to process step 1.4. If No, proceed to process step 1.5. | Reviewer | None |
| 1.4 | Create Case Record Review Tool | <ul style="list-style-type: none"> The user selects <i>Create New CRRT</i> from the Case Record Review Tool Screen and the system displays the Search screen. The user enters the search criteria, a date range in which cases were opened, selects <i>Search</i>, and system displays the search results. The user selects the case to review, selects <i>Begin Review</i>, updates the screen with information from the selected case, and displays the Case Record Review Tool Screen. Proceed to process step 1.6. | Reviewer, System | Business/ Operations, Training |
| 1.5 | Access Existing Case Record Review Tool | <ul style="list-style-type: none"> The user selects <i>Search</i> from the Case Record Review Tool Screen and the system displays the Search screen. The user enters the required information, selects <i>Search</i>, and the system displays the Search Results Screen. The user selects <i>Case Record Review</i> and the system displays the Case Record Review Tool Screen. | Reviewer | Business/ Operations, Training |
| 1.6 | Complete Case Record Review Tool | <ul style="list-style-type: none"> The user enters required information in the Case Record Review Tool screen, selects a Due Date, and selects <i>Complete</i>. The system calculates the Review Score and displays the Case Record Review Tool Screen. | Reviewer, System | Business/ Operations, Training |

| Process Step # | Process Step | Process Summary Table – UC12TB – Case Record Review Tool Process Step Description | Responsibility | Change Implication |
|-----------------------|---|---|-----------------------------------|--------------------------------|
| | | <ul style="list-style-type: none"> • The user selects <i>Sign Review</i> and the system displays a box for electronic signature. • The user signs the document electronically and selects <i>Save</i>. • The system: <ul style="list-style-type: none"> ○ Creates a CRRT Task; ○ Assigns the task, an alert, and a calendar appointment to the Assessor and/or Staff Assistant as defined by business rules; and ○ Displays the reviewer’s Home Dashboard. | | |
| 1.7 | Access Correction Request | <ul style="list-style-type: none"> • The Assessor or Staff Assistant logs into the system and the system displays the user’s Home Dashboard. • The user selects the CRRT task from the user’s Home Dashboard and the system displays the Case Record Review Tool Screen. • The user reviews the CRRT for errors prior to completing the request. If an error is found, the request is returned to the Reviewer. | Assessor, Staff Assistant | Business/ Operations, Training |
| 1.8 | Decision: Complete Correction Request? | <p>The Assessor or Staff Assistant determines if the correction request can be completed.</p> <ul style="list-style-type: none"> • If Yes, proceed to process step 1.10. • If No, proceed to process step 1.9. | Assessor, Staff Assistant | Business/ Operations, Training |
| 1.9 | Return Correction Request | <ul style="list-style-type: none"> • The Assessor or Staff Assistant updates the Case Record Review Tool noting the errors. • The Assessor or Staff Assistant selects the reviewer from drop-down list on the Case Record Review Tool Screen and selects <i>Assign</i>. • The system saves the information, assigns the task to the Reviewer, places an alert on the Reviewer’s Home Dashboard and displays the user’s Home Dashboard. • Proceed to process step 1.2. | Assessor, Staff Assistant, System | Business/ Operations, Training |

| Process Step # | Process Step | Process Summary Table – UC12TB – Case Record Review Tool Process Step Description | Responsibility | Change Implication |
|-----------------------|------------------------------------|---|-----------------------------------|--------------------------------|
| 1.10 | Complete Correction Request | <ul style="list-style-type: none"> • The user selects the case from the Case Record Review Tool Screen and the system displays the Case Screen. • The user updates the case as needed, selects <i>Close</i>, and the system displays the Case Record Review Tool Screen. • The user selects <i>Sign Review</i> and the system displays a box for electronic signature. • The user signs the document electronically and selects <i>Correction Completed</i>. • The system saves the information, assigns the task to the Reviewer, places an alert on the Reviewer’s Home Dashboard, and displays the user’s Home Dashboard. | Assessor, Staff Assistant, System | Business/ Operations, Training |
| 1.11 | Review Acknowledgement | <ul style="list-style-type: none"> • The Reviewer logs into the system and the system displays the user’s Home Dashboard. • The user selects the CRRT task from the user’s Home Dashboard and the system displays the Case Record Review Tool screen. • The user reviews the corrections, enters comments, and selects Completion Status from the following drop-down list: <ul style="list-style-type: none"> ○ Completed; or ○ Returned for Corrections. | Reviewer, System | Business/ Operations, Training |
| 1.12 | Decision: Review Completed? | The case reviewer determines if the corrections made by the Assessor or Staff Assistant completes the Case Record Review Tool. <ul style="list-style-type: none"> • If Yes, proceed to process step 1.10. • If No, proceed to process step 1.6. | Reviewer | None |
| 1.13 | Complete Review | <ul style="list-style-type: none"> • The system sets the Case Record Review Tool status to Complete, updates the task status to complete, and sends an email as defined by business rules. | System | None |

3.4.13. UC13TB – PASRR Level I Process



| <i>Process Step #</i> | <i>Process Step</i> | <i>Process Summary Table – UC13TB – PASRR Level I Process Process Step Description</i> | <i>Responsibility</i> | <i>Change Implication</i> |
|-----------------------|---|---|-----------------------|--------------------------------------|
| | PASRR Level I Process | A PASRR Level I screen is completed on individuals seeking admission to a Medicaid-certified NF to determine whether the individual has, or is suspected of having, an SMI and/or ID or related condition. | | |
| 1.1 | PASRR Level I Form Intake | <ul style="list-style-type: none"> • A PASRR Level I form can be delivered to the system by electronic fax or Optical Character Recognition (OCR) scanned upload. • The system: <ul style="list-style-type: none"> ○ Creates a new client record with client demographic information if no client record is found; ○ Populates the PASRR Level I data to the database for viewing from the PASRR Level I screen; ○ Marks the record for verification required; and ○ Attaches the PASRR Level I Form to the client’s record. | System | Business/ Operations, Training |
| 1.2 | Login to System | <ul style="list-style-type: none"> • The user logs into the system and the system displays the user’s Home Dashboard. | CARES Staff | Business/ Operations, Training |
| 1.3 | Verify PASRR Level I Data | <ul style="list-style-type: none"> • The user selects <i>PASRR Level I Review Queue</i> from their Home Dashboard and the system displays the Queue Screen. • The user selects a client from the Queue screen and the system displays the PASRR Level I screen. • The user reviews the information for accuracy and completeness of Fax OCR output or scanned information. If the output or scanned information does not import correctly, the user can make corrections in the system or request a resend. | CARES Staff | Business/ Operations, Training |
| 1.4 | Decision: Return PASRR for Error Correction? | <p>The user determines if the PASRR Level I should be returned to the sender after reviewing the information.</p> <ul style="list-style-type: none"> • If Yes, proceed to process step 1.5. • If No, proceed to process step 1.6. | CARES Staff | None |

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| Process Step # | Process Step | Process Summary Table – UC13TB – PASRR Level I Process Process Step Description | Responsibility | Change Implication |
|-----------------------|--|---|-----------------------|--------------------------------|
| 1.5 | Return PASRR for Error Correction | <ul style="list-style-type: none"> The user selects <i>Return for Error Correction</i> on the PASRR Level I screen and the system displays PASRR Level I Return Screen. The user enters required information, selects <i>Send</i>, the system sends the form through an integrated fax, and displays the PASRR Level I Screen. | CARES Staff, System | Business/ Operations, Training |
| 1.6 | Decision: Suspicion of SMI or ID? | <p>If a suspicion of SMI or ID is displayed on the PASRR Level I form, additional review for a potential PASRR Level II is required.</p> <ul style="list-style-type: none"> If Yes, proceed to process step 1.7. If No, proceed to process step 1.8. | System | None |
| 1.7 | Create PASRR Level II Task | <ul style="list-style-type: none"> The user selects <i>Save</i>. The system: <ul style="list-style-type: none"> Removes the Verification Required flag from the client record; Creates a PASRR Level II Task; Assigns the PASRR Level II Task according to business rules; and Displays the Search Screen. | CARES Staff, System | Business/ Operations, Training |
| 1.8 | Complete PASRR Level I Form | <ul style="list-style-type: none"> The user selects <i>Save</i>, the system removes the Verification Required flag from the client record, and displays the Search Results Screen. | CARES Staff, System | Business/ Operations, Training |

Appendix A – Placement, Program & Level of Care Considerations

The following table shows how the system should display the Program Recommendation and available LOC/Waivers based on the Placement Recommendation and the Programs Considered. This is to be used by the system for the staffing processes.

| Placement Rec. | Program Considered | Program Recommendation | Level of Care/Waiver |
|--------------------------------------|--|------------------------------------|-------------------------|
| AFCH=Adult Family Care Home | ACFW, BSCW, NONE, OTHR, PACE, PACW, LTCC | ACFW, BSCW, PACE, PACW, LTCC | INO, INT, ROH, RON, SKD |
| | | CCDA, HSPC, NONE, OTHR | DNM, INO, INT, SKD, WHL |
| ALFE=ALF with Extended Cong. Care | BSCW, CCDA, HSPC, NONE, OTHR, PACE, PACW, LTCC, ELDC | BSCW, PACE, PACW, LTCC, CHAN, ELDC | INO, INT, ROH, RON, SKD |
| | | CCDA, HSPC, NONE, OTHR | DNM, INO, INT, SKD, WHL |
| ALFM=ALF with Limited MH Services | BSCW, CCDA, HSPC, NONE, OTHR, PACE, PACW, LTCC, ELDC | BSCW, PACE, PACW, LTCC, CHAN, ELDC | INO, INT, ROH, RON, SKD |
| | | CCDA, HSPC, NONE, OTHR | DNM, INO, INT, SKD, WHL |
| ALFN=ALF with Limited Nurs. Services | BSCW, CCDA, HSPC, NONE, OTHR, PACE, PACW, LTCC, ELDC | BSCW, PACE, PACW, LTCC, CHAN, ELDC | INO, INT, ROH, RON, SKD |
| | | CCDA, HSPC, NONE, OTHR | DNM, INO, INT, SKD, WHL |
| ALFS=Assisted Living Facility | BSCW, CCDA, HSPC, NONE, OTHR, PACE, PACW, LTCC, ELDC | BSCW, PACE, PACW, LTCC, CHAN, ELDC | INO, INT, ROH, RON, SKD |
| | | CCDA, HSPC, NONE, OTHR | DNM, INO, INT, SKD, WHL |
| GRHO=Group Home | DEVS, NONE, OTHR | DEVS, NONE, OTHR | DNM, INO, INT, SKD, WHL |
| HOSP=Hospital | HSPC, NONE, SBHO, SNUH | HSPC, NONE | DNM, INO, INT, SKD, WHL |
| | | SNUH | SKD |
| | | SBHO | INO, INT, SKD |
| MRDD=MR/DD Fac. | NONE | NONE | DNM, INO, INT, SKD, WHL |
| NHTP=Temporary NH | ACFW, BSCW, CCDA, CCFE, CDCW, DEVS, ELDC, FDMW, HSPC, NHSS, NONE, OMDW, OTHR, PACE, PACW, LTCN | LTCP | INO, INT, SKD |
| | | HSPC, NHSS, NONE, LTCN | INO, INT, SKD |

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| | | | |
|---------------------------------|--|--|------------------------------|
| NUHO=Nursing Home | ACFW, BSCW, CCDA, CCFE, CDCW, DEVS, ELDC, FDMW, HSPC, NHSS, NONE, OMDW, OTHR, PACE, PACW, LTCN | HSPC, NHSS, NONE, LTCN | INO, INT, SKD |
| OTHR=Other | NONE, OTHR | NONE, OTHR | DNM, INO, INT, SKD, WHL |
| PRNH=Prison NH | NONE | NONE | NONE |
| PRRE=Private Residence | ACFW, BSCW, CCDA, CCFE, CDCW, ELDC, FDMW, HSPC, NONE, OMDW, OTHR, PACE, PACW, LTCC | ACFW, ALZW, BSCW, CDCW, CHAN, FDMW, OMDW, PACE, PACW, LTCC | INO, INT, ROH, RON, SKD |
| | | CCDA, CCFE, ELDC, HSPC, NONE, OTHR | INO, INT, SKD, DNM, WHL |
| PSYF= Psychiatric Fac. | NONE | NONE | DNM, INO, INT, SKD, WHL |
| REHB= Rehab Hospital | NONE | NONE | DNM, INO, INT, SKD, WHL |
| SHNH=State Mental Hosp. NH Unit | NONE | NONE | INO, INT, SKD |
| SMHO=State Mental Hosp. | NONE | NONE | DNM, INO, INT, SKD, WHL, MEN |

This chart identifies the available program and level of care codes for each placement recommendation.

Appendix B – Follow-up Schedule

The first follow-up will be based on the staffing date. All other follow-ups will be based on the previous follow-up date. For example, the first follow-up will be one month from the staffing date, the 90-day follow-up will be two months from the 30-day follow-up, the 180-day follow-up will be three months from the 90-day follow-up, and the Annual follow-up will be six months from the 180-day follow-up. Unscheduled follow-ups are scheduled at any time for an open case and will not interfere with the regular follow-up schedule. If the case is reassessed and staffed, the follow-up schedule will start over and will be based on the staffing date.

| Schedule Follow Up | Living Arrangement | Placement Recommendation | Program Recommendation | Follow Up Schedule | Case Termination Reasons |
|--------------------|-------------------------|-------------------------------|---|---|--|
| Nursing Home | Not Equal NUHO, SHNH | Equal NUHO, SHNH | Equal HSPC, NONE, LTCN | Every 30 days until Living Arrangement=NUHO or SHNH then Auto Close (or manually closed) | <ol style="list-style-type: none"> 1. If placed IN=In Nursing Home 2. Manual Close |
| Community | | Not Equal NHTP, NUHO, SHNH | Equal ACFW, BSCW, FDMW, NONE, OTHR, PACE, PACW | Assessor=CAR 30, 90, 180, Annual, Auto Close (or manually closed) Assessor Does Not=CAR & Program Recommendation=Waiver Case will automatically close at staffing Assessor Does Not=CAR & Program Recommendation Does Not=Waiver 30, 90, 180, Annual, Auto Close (or manually closed) | <ol style="list-style-type: none"> 1. If Annual CA=Close Annual 2. If Waiver/CARES not Assessor NN=No Longer Needed 3. Manual Close |
| | | | LTCC | Initial: Assessor=CAR 30, 90, 180, Annual, Auto Close (or manually closed) until Case Manager does not=CAR, then Auto Close | <ol style="list-style-type: none"> 1. If Annual CA=Close Annual 2. If CARES not Case Manager CP=Closed/In Plan 3. Manual Close |

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| Schedule Follow Up | Living Arrangement | Placement Recommendation | Program Recommendation | Follow Up Schedule | Case Termination Reasons |
|----------------------------|--------------------|--------------------------|------------------------|---|-------------------------------|
| | | | | Annual: Assessor Does Not=CAR Case will automatically close at staffing Assessor Does Not=CAR & Case Manager Does Not=CAR at Follow Up Auto Close | 1. CP=Closed/In Plan |
| Swing Bed/SNUH | | Equal HOSP | Equal SBHO, SNUH | 30, 90, 180, Annual & Ongoing Annual (or manually closed) | 1. Manual Close |
| Needs Specialized Services | | Equal NHTP, NUHO | Equal NHSS | 30, 90, 180, Annual & Ongoing Annual (or manually closed) | 1. Manual Close |
| Temporary Nursing Home | | Equal NHTP | Equal NONE, LTCN | 30, 90, 180, Annual, Auto Close (or manually closed) | 1. If Annual CA=Closed Annual |
| | | | | Every 30 days until Case Manager does not = CARES and then 90, 180, Annual, Auto Close (or manually closed) | 2. Manual Close |

Appendix C – PASRR, Resident Review, and Level I Return Cover Sheet Naming Conventions

When saving PASRR Level I, PASRR Level II, Resident Review and Level I Return Cover Sheets into a document management system, the following naming conventions are required.

| Naming Convention Type | Naming Convention | Example |
|--------------------------------------|--|--|
| Complete/Correct PASRR Level I | SSN-date Received by CARES (yymmdd) | 123456789-151112 |
| Incomplete/Incorrect PASRR Level I | SSN-I-date received by CARES (capital I) | 123456789-I-151112 |
| PASRR Level II | SSN-L2-date received by CARES (yymmdd) | 123456789-L2-151112 |
| Resident Review Request | SSN-RR-date received by CARES (yymmdd) | 123456789-RR-151112 *If received in parts add -1, -2, -3 after date |
| PASRR Level I-RR Return Cover sheets | SSN-CS-date returned (yymmdd) | 123456789-CS-151112 |
| RR not Required Letters | SSN-NRL-date sent (yymmdd) | 123456789-NRL-151112 |
| PASRR Level II Notice Letters | SSN-PNL-date sent (yymmdd) | 123456789-PNL-151112 |
| Sent eFax Confirmations | SSN-EC-date returned (yymmdd) | 123456789-EC-151112 |

Appendix D – Forms Used by DOEA, CARES and ADRC Staff and Processes

Below is a table of forms used within the processes outlined in this document. Links are provided as a convenience. It is important to note that some forms are provided by external sources and cannot be changed by new processes.

| Form | Form Description | Form Type | Source | Notes |
|--|--|-----------|--------|---|
| PASRR Level I Screen Form | Preadmission Screening and Resident Review Level I Screen Form (form only) | PASRR | AHCA | This is the current PASRR Level I Screen Form. |
| PASRR Level I With Instructions | Preadmission Screening and Resident Review Level I Screen Form with Instructions | PASRR | AHCA | This is the current PASRR Level I form with instructions. |
| PASRR Level II Request Form | Request for Level II PASRR Evaluation | PASRR | DOEA | |
| PASRR Resident Review Eval Request with Instructions | PASRR Resident Review Evaluation Request Form with Instructions | PASRR | AHCA | This is the current PASRR Resident Review Request Form. |
| PASRR Resident Review Eval Request | PASRR Resident Review Eval Request (form only) | PASRR | AHCA | This is the current PASRR Resident Review Evaluation Request Form (without instructions). |
| 2040 | Informed Consent | General | AHCA | |
| 2040-Creole | Informed Consent (Creole) | General | AHCA | |
| 2040-Spanish | Informed Consent (Spanish) | General | AHCA | |
| 2506 DCF | Client Discharge/Change Notice | General | DCF | |

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| Form | Form Description | Form Type | Source | Notes |
|---------------------------------------|--|---------------|--------|---|
| 2506A DCF | Client Referral / Change Form | General | DCF | Client Referral / Change Form |
| 2506A Instruction DCF | Instructions for 2506A-client Referral/Change Form | General | DCF | |
| 2515 DCF | Certification of Enrollment Status for Home and Community Based Services | General | DCF | |
| 2515 Instructions DCF | Instructions for 2015-Certification of Enrollment Status for Home and Community Based Services | General | DCF | |
| 3007 DCF | ACCESS - CARES Communication Form | General | DCF | |
| 3008 | Medical Certification for Medicaid Long-term Care Services and Patient Transfer Form | Level of Care | AHCA | AHCA Form 5000-3008, revised June 2016 |
| 3008 Instructions | Instructions for Completing the Medical Certification for Medicaid Long-term Care Services and Patient Transfer Form | Level of Care | AHCA | Instructions for AHCA Form 5000-3008, revised June 2016 |

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| Form | Form Description | Form Type | Source | Notes |
|--|--|---------------|--------|---|
| 3008 Jun 2016 Referral Cover Sheet | AHCA 5000-3008 Referral Cover Sheet | Level of Care | DOEA | |
| 3008 Return Cover Sheet | AHCA 5000-3008 Return FAX Cover Sheet | Level of Care | DOEA | |
| 603 | Notification of Level of Care | Level of Care | DOEA | |
| 603-FF | Notification of Level of Care (fillable form) | Level of Care | DOEA | |
| 607 | Project AIDS Care Physician Referral & Request for LOC Determination | Level of Care | DOEA | See the AHCA Project AIDS Care Waiver Services Coverage & Limitations Handbook for additional information: http://portal.flmmis.com/FLPublic/Portals/0/StaticContent/Public/HANDBOOKS/CL_06_051201_Waiver_PAC_ver1_1.pdf |
| 610 | CARES Individual Review of No Level of Care Recommendation | Level of Care | DOEA | |
| 611 | CARES Intake Form | General | DOEA | |
| 612 | CARES Contact Letter | General | DOEA | Complete fields as indicated. HIDE ALL MARKUPS BEFORE PRINTING! (Settings -> Print All Pages -> uncheck Print Markup) |
| 612 FF | CARES Contact Letter (fillable form) | General | DOEA | |
| 613 | CARES 3008 Letter | General | DOEA | Complete fields as indicated. HIDE ALL MARKUPS BEFORE PRINTING! (Settings -> Print All Pages -> uncheck Print Markup) |
| 617 | Request for Additional Medical Information for LOC Determination | Level of Care | DOEA | |
| 701A | Condensed Assessment | Assessment | DOEA | |

Deliverable 2 CIRT Business Process and Definition Document

| Form | Form Description | Form Type | Source | Notes |
|--|---|----------------|--------|--|
| 701B | Comprehensive Assessment | Assessment | DOEA | |
| 701C | Congregate Meals Assessment | Assessment | DOEA | |
| 701D | Instructions for Completing the 701B Comprehensive Assessment | Assessment | DOEA | |
| 701S | Screening Form | Assessment | DOEA | |
| 701T | Non-Community Placement Assessment | Assessment | DOEA | |
| DOEA CARES Letterhead - Editable Address | DOEA Letterhead with editable office address. | Administrative | DOEA | Edit the footer with the appropriate CARES office address, telephone, and fax number; do not alter the font. |
| Level 1 PASRR Return | Level 1 PASRR Return | PASRR | DOEA | This form is used to return an incomplete or incorrect PASRR Level I form to the screening entity. |
| Notice of Privacy Practices | Notice of Privacy Practices | Administrative | DOEA | |
| Notification to Nursing Facility | Notification to NF - PASRR Required (fillable form) | PASRR | DOEA | Use this letter to inform the NF that a Level I PASRR is required for a recent admission. |
| PAC Waiver Annual Update Info Sheet | PAC Waiver Annual Update Info Sheet | Level of Care | DOEA | |
| PAC Waiver Annual Update Info Sheet | PAC Waiver Annual Update Info Sheet | Level of Care | DOEA | |
| PAC Waiver Referral Form | PAC Waiver Referral Form | Level of Care | DOEA | |
| PAC Waiver Referral Form | PAC Waiver Referral Form | Level of Care | DOEA | |
| PASRR eFax Cover | PASRR eFax Cover | PASRR | DOEA | A cover sheet for sending PASRRs (Level I, Level II, or Resident Review) to the CARES office using FAX-to-Email. |

Deliverable 2 CIRTIS Business Process and Definition Document

| Form | Form Description | Form Type | Source | Notes |
|---|---|------------------|---------------|--|
| PASRR Level II Not Required Letter | Resident Review Not Required Letter | PASRR | DOEA | |
| PASRR Notice Letter | PASRR Notice Letter | PASRR | DOEA | This is the notification of the required PASRR screening upon admission to a NF. |
| PASRR Resident Review Evaluation Request Return - Fax Cover | Fax cover for returning incomplete or incorrect resident review request | PASRR | DOEA | |
| PASRR fax | PASRR Level I Facsimile Sheet | PASRR | DOEA | |
| SS Request Notice | SS Request Notice | Administrative | DOEA | |
| TAV-FF | Technical Assistance Formal Site Visit Checklist (fillable form) | Administrative | DOEA | |

Signature and Acceptance Page

We have reviewed the 2.A – DOEA Business Process Reengineering Document and agree that the content of the document is accurate as of this point in the project and clearly delineates the work to be completed for the project. This document serves as the source of project information and will be updated as required.

Steve Grantham, Project Manager

Date

Jenny Rojas, Contract Manager

Date

Signature and Acceptance Page

We have reviewed the 2.A – DOEA Business Process Reengineering Document and agree that the content of the document is accurate as of this point in the project and clearly delineates the work to be completed for the project. This document serves as the source of project information and will be updated as required.



Steve Grantham, Project Manager

6-8-2017
Date



Jenny Rojas, Contract Manager

6/8/17
Date

Fields to be completed after vendor responses are received.

| Last Updated Cycle | | 06/11/2018 2.6 | | | | | | | | | | | | | | | | | | | |
|--------------------|------------|------------------------------------|--|------------------------|-------------|---|--------------|-------------|-----------------|--------|------------|---------|--|--------------------------------------|----------------------|----------------------------|-----------------|---------|-----------------------|------------|--|
| Req ID | Req Type | Business Process Area | Other Business Process Areas Affected | Category | Subcategory | Requirement | Req Priority | Status Code | Source Category | Source | Date Avail | Support | Related Policy | Related Rule | Related Statute | Specifications and Metrics | Requirement Met | How Met | Cost of Customization | Change Log | |
| 1 | Business | Account Registration | | Security | | The system shall have the ability to display an assessment or screening based on the current user's role. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | | 430.2053 | | | | | | |
| 2 | Business | ADRC Intake/Screening | | Database Architecture | | The system shall allow for Enrollment Management System (EMS) Waitlist tracking. | Priority 1 | Proposed | | | | | | Chapter 74-2, F.A.C. | 59G-4.180, 59G-4.290 | 409.985 | | | | | |
| 3 | Business | All Processes | | Business Rules Engine | | The system shall allow the ADRC to place a LOC request for a client with categories: EMS, APS, SIXT. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 4 | Business | CARES Assessment | CARES Follow-Up, CARES Staffing, ADRC Referral and Screening, CARES Follow-Up, CARES Staffing, ADRC Referral and Screening | Workflow | | The system shall allow for a client case to be returned to an ADRC queue in the case a client cannot be reached for a LOC request follow-up in the allotted time. | Priority 2 | Proposed | | | | | | | | | | | | | |
| 5 | Business | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment | Workflow | | The system shall provide the capability to route case or workflow action to the appropriate business entity (or multiple business entities) determinant on client responses to predetermined verbal indicators. | Priority 2 | Proposed | | | | | | | | | | | | | |
| 6 | Business | CARES LOC, Rec Placement, Staffing | Document Upload | Correspondence & Forms | | The system shall allow for the attachment of the client's Department of Children and Families (DCF) 2515 and 603 forms for completion once LOC is completed. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 7 | Business | CARES LOC, Rec Placement, Staffing | | Workflow | | The system shall allow for automated notification to appropriate ADRC staff of completion of an LOC for a client if it originated from the ADRC via a Waitlist release. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 9 | Functional | Account Registration | ADRC Intake/Screening, CARES Assessment, Service Billing Process, Lead Agency Assessment & Care Plan | Mobility | | The system shall provide a mechanism for authorized users to securely access needed system functionality offsite to support work events away from the office. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | | |
| 10 | Functional | Account Registration | | Account Management | | The system shall provide the ability to associate accounts with specific permissions granted by the "parent" entity. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | | |
| 11 | Functional | Account Registration | | Account Management | | The system shall provide the ability to maintain an administrator-defined list of required fields a user must complete to request an account (e.g., name, address) by business rules. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | | |
| 12 | Functional | Account Registration | | Account Management | | The system shall provide the ability for a user to securely reset the password for their account. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | | |
| 13 | Functional | Account Registration | | Account Management | | The system shall provide the ability for an authorized user to create an account and associate roles to the account. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | | |
| 14 | Functional | Account Registration | | Account Management | | The system shall provide the ability to define functionality applicable to role-based categories of users. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | | |
| 15 | Functional | Account Registration | | Account Management | | The system shall enable authorized users to manage users assigned to a role. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | | |
| 16 | Functional | Account Registration | | Account Management | | The system shall enable authorized users to create, activate, modify, or deactivate users for an unlimited number of roles. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | | |
| 17 | Functional | Account Registration | | Account Management | | The system shall enable authorized users to identify and report inactive user accounts. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | | |
| 18 | Functional | Account Registration | | Account Management | | The system shall provide authorized users with an Account Registration screen displaying pending registration requests and allowing the user to add new registrations or modify a denied or pending registration. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | | |

| Req ID | Req Type | Business Process Area | Other Business Process Areas Affected | Category | Subcategory | Requirement | Req Priority | Status Code | Source Category | Source | Date Avail | Support | Related Policy | Related Rule | Related Statute | Specifications and Metrics | Requirement Met | How Met | Cost of Customization | Change Log |
|--------|------------|-----------------------|--|----------------------------------|-------------|---|--------------|-------------|-----------------|--------|------------|---------|--|--------------------------------------|-------------------|----------------------------|-----------------|---------|-----------------------|------------|
| 19 | Functional | Account Registration | | Account Management | | The system shall provide the ability to search for pending or denied account registration requests. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 20 | Functional | Account Registration | | Account Management | | The system shall provide administrators with an Account Management screen to add, modify and disable system user accounts and roles associated with them. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 21 | Functional | Account Registration | | Database Architecture | | The system shall enable authorized users to add case types and attributes via configuration tables without a requirement to update programming code or compiling any software. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 22 | Functional | Account Registration | | Development And Support Services | | The system shall enable authorized users to administer users, logs, reports and configurations. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 23 | Functional | Account Registration | | Security | | The system shall enable restricting access to selected features by user identity and user role. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 24 | Functional | Account Registration | | Security | | The system shall provide a single sign on which will seamlessly authenticate the authorized user into each module within the system based on the user's assigned security role(s). | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 25 | Functional | Account Registration | | Security | | The system shall enable authorized users to assign multiple individuals to a role. | Priority 3 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 26 | Functional | Account Registration | | Workflow | | The system shall allow administrators to create workflow processes for account registration and approvals with associated roles and status' for the request. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 27 | Functional | ADRC Intake/Screening | ADRC Intake/Screening, CARES Assessment, CARES Follow-Up, CARES LOC, Rec Placement, Staffing, Lead Agency Assessment & Care Plan, Monitoring | Events And Scheduling | | The system shall provide the ability to modify existing scheduled events (e.g., begin date, end date, frequency, and business process-specific information). | Priority 1 | Proposed | | | | | | | | | | | | |
| 28 | Functional | ADRC Intake/Screening | CARES Assessment, CARES Follow-Up, CARES Intake and ADRC I&R, CARES LOC, Rec Placement, Staffing, Lead Agency Assessment & Care Plan, Monitoring | Events And Scheduling | | The system shall provide the ability to notify the user of a scheduled event based on user-defined criteria or business rules within a workflow (e.g., reminder time, delivery mechanism). | Priority 1 | Proposed | | | | | | | | | | | | |
| 29 | Functional | ADRC Intake/Screening | CARES Assessment, CARES Intake and ADRC I&R, CARES LOC, Rec Placement, Staffing, CARES Follow-Up, Lead Agency Assessment & Care Plan, Monitoring | Events And Scheduling | | The system shall provide the ability to link documentation to a scheduled appointment task or event. | Priority 1 | Proposed | | | | | | | | | | | | |
| 30 | Functional | ADRC Intake/Screening | CARES Assessment, Lead Agency Assessment & Care Plan | Business Rules Engine | | The system shall allow authorized users to set threshold parameters on the results provided by the priority and rank scoring algorithm for use by the system to automatically initiate workflow actions without further intervention from the user. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 31 | Functional | ADRC Intake/Screening | CARES Assessment, Lead Agency Assessment & Care Plan | Database Architecture | | The system shall provide the ability to create, modify and deploy a ranking and priority algorithm at the database level and initiated according to workflow actions and associated business rules. | Priority 1 | Proposed | | | | | | | 409.979, 430.2053 | | | | | |
| 32 | Functional | ADRC Intake/Screening | CARES Assessment, Lead Agency Assessment & Care Plan | Database Architecture | | The system shall provide authorized users the ability to add, modify, or remove medications list entries in a database through a graphical interface. | Priority 1 | Proposed | | | | | | | | | | | | |
| 33 | Functional | ADRC Intake/Screening | CARES Intake and ADRC I&R | Business Rules Engine | | The system shall provide the ability to set the status code for a client released to receive SMMC ALF services to APS. | Priority 2 | Proposed | | | | | | | | | | | | |
| 34 | Functional | ADRC Intake/Screening | CARES Intake and ADRC I&R | Workflow | | The system shall update a client's MedWaiver pipeline checklist when a completed 3008 form is received and the client's status indicates an active pipeline status code. | Priority 1 | Proposed | | | | | | | 409.979, 430.2053 | | | | | |
| 35 | Functional | ADRC Intake/Screening | CARES Intake and ADRC I&R | Workflow | | The system shall provide the ability to move a client currently in the MedWaiver APPL and APCL from one PSA to different PSA without disenrollment from their current MedWaiver APPL status. The system shall provide a notification of the action to the receiving PSA as defined by business rules. | Priority 1 | Proposed | | | | | | | 409.979, 430.2053 | | | | | |

| Req ID | Req Type | Business Process Area | Other Business Process Areas Affected | Category | Subcategory | Requirement | Req Priority | Status Code | Source Category | Source | Date Avail | Support | Related Policy | Related Rule | Related Statute | Specifications and Metrics | Requirement Met | How Met | Cost of Customization | Change Log |
|--------|------------|-----------------------|---|---------------------------|-------------|--|--------------|-------------|-----------------|--------|------------|---------|----------------|--------------|-------------------|----------------------------|-----------------|---------|-----------------------|------------|
| 36 | Functional | ADRC Intake/Screening | CARES Intake and ADRC I&R | Workflow | | The system shall allow for a client return to the MedWaiver pipeline without requiring a waitlist release after termination if requirements are met according to business rules. Examples of requirements for the conditional return to the Pipeline can be found on page 28 of the SMMC LTC EMS Procedures.doc. | Priority 1 | Proposed | | | | | | | 409.979, 430.2053 | | | | | |
| 37 | Functional | ADRC Intake/Screening | CARES Intake and ADRC I&R, CARES Assessment, CARES Follow-Up, CARES LOC, Rec Placement, Staffing, Lead Agency Assessment, & Care Plan | Events And Scheduling | | The system shall provide the ability to utilize business rules to associate a scheduled event with the appropriate system records (e.g., case record to an appointment). | Priority 1 | Proposed | | | | | | | | | | | | |
| 38 | Functional | ADRC Intake/Screening | | Application Functionality | | The system shall provide users with a 701S Screening screen allowing authorized users to enter data as an telephonic screening is being conducted. This form contains a subset of fields available on the 701B Comprehensive Assessment. An example of the 701S Screening screen fields in the current CIRT5 system is shown on page(s) 75 - 81 of the CIRT5 User Guide for CARES-701S.pdf | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 39 | Functional | ADRC Intake/Screening | | Business Rules Engine | | The system shall provide Medicaid Waiver Waitlist termination codes to track a client within the EMS enrollment span. An example of the report fields in the current CIRT5 system is shown on page 53 of the SMMC LTC EMS Procedures.doc | Priority 1 | Proposed | | | | | | | | | | | | |
| 40 | Functional | ADRC Intake/Screening | | Business Rules Engine | | The system shall provide the ability to create, modify and delete EMS Waitlist Release Eligibility categories with correspondence codes and category descriptions. An example of the categories in the current CIRT5 system is shown on page 14 of the SMMC LTC EMS Procedures.doc. | Priority 1 | Proposed | | | | | | | 409.979 | | | | | |
| 41 | Functional | ADRC Intake/Screening | | Business Rules Engine | | The system shall allow the ability to configure MedWaiver enrollment status allowed for concurrent enrollment based on type of enrollment and business rules. (e.g., it is not permitted to have a SIXT status at the same time as an APCL or APPL, it is not permitted to be in the PACE program and SMMC LTC at the same time). | Priority 1 | Proposed | | | | | | | 409.979 | | | | | |
| 42 | Functional | ADRC Intake/Screening | | CRM | | The system shall provide the capability to track, modify and create MedWaiver Application Timeline entry for a client. | Priority 1 | Proposed | | | | | | | 409.979 | | | | | |
| 43 | Functional | ADRC Intake/Screening | | CRM | | The system shall have the ability to track a client's enrollment on a waiver or general revenue program waitlist. | Priority 1 | Proposed | | | | | | | 409.979 | | | | | |
| 44 | Functional | ADRC Intake/Screening | | CRM | | The system shall have the ability to track a start and end date of each client's enrollment on a waiver, OAA Program, or general revenue program. | Priority 1 | Proposed | | | | | | | 409.979 | | | | | |
| 45 | Functional | ADRC Intake/Screening | | CRM | | Client screen should display the client's current MedWaiver status. | Priority 1 | Proposed | | | | | | | 409.979 | | | | | |
| 46 | Functional | ADRC Intake/Screening | | CRM | | The system shall have the ability to automatically end the enrollment on individual program waitlists when the they have been moved to the MedWaiver Pipeline for SMMC LTC programs. | Priority 1 | Proposed | | | | | | | | | | | | |
| 47 | Functional | ADRC Intake/Screening | | CRM | | The system shall update a client's progress through a MedWaiver Pipeline as required milestones are met according to the workflow and associated business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 48 | Functional | ADRC Intake/Screening | | Database Architecture | | The system shall allow for the ability to complete an Eligibility Research checklist when a client is released from the Enrollment Management System (EMS) Waitlist. | Priority 1 | Proposed | | | | | | | | | | | | |
| 49 | Functional | ADRC Intake/Screening | | Database Architecture | | The system shall provide the ability for an authorized user to create an EMS Waitlist Release checklist to be verified by the user prior to the release process. An example of the verification checklist is shown on page 14 of the SMMC LTC EMS Procedures.doc. | Priority 1 | Proposed | | | | | | | 409.979, 430.2053 | | | | | |
| 50 | Functional | ADRC Intake/Screening | | Workflow | | The system shall not allow a client EMS Release Status to reflect an active pipeline status code until the client demographic information such as SSN, First Name, Last Name and Date of Birth has been matched to FMMIS. | Priority 2 | Proposed | | | | | | | | | | | | |
| 51 | Functional | ADRC Intake/Screening | | Workflow | | The system shall automatically set pipeline termination status' and close the current client case associated with the MedWaiver timeline according to business rules of pipeline termination | Priority 2 | Proposed | | | | | | | 409.979, 430.2053 | | | | | |

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|--------|------------|-----------------------|---|---------------------------------|-------------|---|--------------|-------------|-----------------|--------|------------|---------|----------------|---|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 52 | Functional | ADRC Intake/Screening | | Workflow | | The system shall allow for a client's APPL enrollment status to update to complete and the MedWaiver pipeline to update with a closure date when the client status indicates enrolled in SMMC LTC. | Priority 1 | Proposed | | | | | | | | | | | | |
| 53 | Functional | ADRC Screening | CARES Assessment, CARES Intake and ADRC I&R, Lead Agency Assessment & Care Plan | Correspondence & Forms | | The system shall enable downloading a printable view of (blank, completed or partially completed) online forms. | Priority 1 | Proposed | | | | | | | | | | | | |
| 54 | Functional | ADRC Screening | CARES Assessment, Lead Agency Assessment & Care Plan | Correspondence & Forms | | The system shall have the ability to determine which fields should be required and visible based on the type of 701 series assessment the user is completing. | Priority 1 | Proposed | | | | | | | | | | | | |
| 55 | Functional | ADRC Screening | CARES Assessment, Lead Agency Assessment & Care Plan | Correspondence & Forms | | The system shall allow for completion of the 701 Assessment and Screening Tool. An example of the 701B Comprehensive Assessment screen fields in the current CIRT system is shown on page(s) 33 - 74 of the CIRTSS_User_Guide_for_CARES 2013.pdf. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 56 | Functional | ADRC Screening | CARES Assessment, Lead Agency Assessment & Care Plan | Correspondence & Forms | | The system shall provide the ability to copy field data between data entry screens if common fields exist and are populated (e.g., copy data entered on a 701T screen to a 701B screen). | Priority 1 | Proposed | | | | | | 58-A-1.010, Florida Administrative Code | | | | | | |
| 57 | Functional | ADRC Screening | CARES Assessment, Lead Agency Assessment & Care Plan | Correspondence & Forms | | The system shall allow for the copying of previous assessment form data into a new assessment data entry screen for editing. | Priority 1 | Proposed | | | | | | | | | | | | |
| 58 | Functional | ADRC Screening | CARES Assessment, Lead Agency Assessment & Care Plan | Correspondence & Forms | | The system shall allow for the copying of shared data between common fields within a data entry screen (e.g., addresses, prescribing physicians for medications, etc.). | Priority 1 | Proposed | | | | | | | | | | | | |
| 59 | Functional | ADRC Screening | CARES Assessment, Lead Agency Assessment & Care Plan | Interfaces And Interoperability | | The system shall enable an authorized user to record assessment information on a Wi-Fi and cellular connected mobile device, as well as when offline. | Priority 1 | Proposed | | | | | | | | | | | | |
| 60 | Functional | ADRC Screening | CARES Assessment, Lead Agency Assessment & Care Plan | Mobility | | The system shall enable authorized users to suspend a data entry screen and save the entered data information on a mobile device as a work in progress, including when offline. | Priority 1 | Proposed | | | | | | | | | | | | |
| 61 | Functional | ADRC Screening | CARES Assessment, Lead Agency Assessment & Care Plan | Mobility | | The system shall provide the ability for a user to prepare for offline actions by downloading required data, forms, etc. prior to disconnecting from the system. | Priority 1 | Proposed | | | | | | | | | | | | |
| 62 | Functional | All Processes | | Application Functionality | | The system shall perform automated background saves on data entry screens at predetermined or configurable intervals to reduce the occurrence of lost data. | Priority 1 | Proposed | | | | | | | | | | | | |
| 63 | Functional | All Processes | | Application Functionality | | The system shall display case and contact history entries in chronological order newest to oldest with the ability to change to oldest to newest using a sort function. | Priority 2 | Proposed | | | | | | | | | | | | |
| 64 | Functional | All Processes | | Application Functionality | | The system shall provide a positive acknowledgement the data entry has been accepted. | Priority 1 | Proposed | | | | | | | | | | | | |
| 65 | Functional | All Processes | | Application Functionality | | The system shall provide the ability, where appropriate, to save work in progress as a user-initiated action. | Priority 1 | Proposed | | | | | | | | | | | | |
| 66 | Functional | All Processes | | Application Functionality | | The system shall require a client SSN when a user attempts to add a client to a Medicaid Waiver/Program Waitlist by changing the client status to APCL, indicating they are on the assessed priority consumer list. The system shall present a message to the user "SSN is required when changing client status to APCL." | Priority 1 | Proposed | | | | | | | | | | | | |
| 67 | Functional | All Processes | | Application Functionality | | The system shall provide users with a Case Screen providing the ability to view cases related to a client, including options to add a new case, modify, close or reassign current cases. An example of the case screen fields in the current CIRT system is shown on page 24 of the CIRTSS_User_Guide_for_CARES 2013.pdf. | Priority 1 | Proposed | | | | | | | | | | | | |
| 68 | Functional | All Processes | | Application Functionality | | The system shall provide users with the ability to view a client's case note history in a list format allowing for the sorting of notes by column headings. At a minimum the column headings should include case note entry date, category, entered by user, PSA, date of event if different from date entered and a snippet of the case note. This screen should be accessible from the client's current or past Case screen. An example of a case note history screen in the current CIRT system is shown on page(s) 116 - 122 of the CIRTSS_User_Guide_for_CARES 2013.pdf. | Priority 1 | Proposed | | | | | | | | | | | | |

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|--------|------------|-----------------------|---------------------------------------|---------------------------|-------------|--|--------------|-------------|-----------------|--------|------------|---------|----------------|--------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 69 | Functional | All Processes | | Application Functionality | | The system shall display abbreviated client information on all screens presented to the user related to the client (e.g., the Care Plan Screen display a read-only view of the client's Name, SSN, Date of Birth). | Priority 1 | Proposed | | | | | | | | | | | | |
| 70 | functional | All Processes | | Business Rules Engine | | The system shall allow partial save of data entry screens based on business rules once the required fields have been updated. | Priority 2 | Proposed | | | | | | | | | | | | |
| 71 | Functional | All Processes | | Business Rules Engine | | The system shall restrict users from completing a data entry screen until all required information is entered. | Priority 1 | Proposed | | | | | | | | | | | | |
| 72 | Functional | All Processes | | Business Rules Engine | | The system shall enable authorized users to override established dates as guided by the business rules. | Priority 2 | Proposed | | | | | | | | | | | | |
| 73 | Functional | All Processes | | Business Rules Engine | | The system shall enable authorized users to enter and maintain data validation rules. | Priority 2 | Proposed | | | | | | | | | | | | |
| 74 | Functional | All Processes | | Business Rules Engine | | The system shall enable authorized users to define data dependencies. | Priority 2 | Proposed | | | | | | | | | | | | |
| 75 | Functional | All Processes | | Business Rules Engine | | The system shall enable the scheduling, manual initiation, and control of all batch processes. | Priority 2 | Proposed | | | | | | | | | | | | |
| 76 | Functional | All Processes | | Business Rules Engine | | The system shall evaluate case information against user-specified status conditions and update case status information according to business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 77 | Functional | All Processes | | Business Rules Engine | | The system shall allow for priority search order to be set for search criteria when multiple criteria are provided by the user, e.g., Social Security number should be prioritized over first name and last name. | Priority 1 | Proposed | | | | | | | | | | | | |
| 78 | Functional | All Processes | | Business Rules Engine | | The system shall provide the ability to establish business rules for the automatic generation of notifications to appropriate recipients (e.g., authorized user, external user, clients, referring sources) for needed actions (e.g., follow-up required, need for data or documentation, scheduled appointment). | Priority 1 | Proposed | | | | | | | | | | | | |
| 79 | Functional | All Processes | | Business Rules Engine | | The system shall provide the ability to identify the method of transmission for each type of notification (e.g., paper, electronic). | Priority 1 | Proposed | | | | | | | | | | | | |
| 80 | Functional | All Processes | | Business Rules Engine | | The system shall provide the ability to maintain administrator-defined business rules specific to tracking information across multiple time zones (e.g., calendaring with the ability to reconcile 9:00 AM EST is 8:00 AM CST). | Priority 1 | Proposed | | | | | | | | | | | | |
| 81 | Functional | All Processes | | Business Rules Engine | | The system shall provide the ability to maintain notifications based on business processes and system events. | Priority 1 | Proposed | | | | | | | | | | | | |
| 82 | Functional | All Processes | | Business Rules Engine | | The system shall provide the ability for authorized users to create, modify and delete business rules for processing email messages sent to specific email addresses, contains particular keywords or sent with a specific subject line. | Priority 1 | Proposed | | | | | | | | | | | | |
| 83 | Functional | All Processes | | Business Rules Engine | | The system shall provide authorized users with the ability to setup automated case notes which are triggered by workflow actions and entered by the system without additional user interaction. An example of a case note history screen in the current CIRT system is shown on page(s) 122 - 124 of the CIRTs_User_Guide_for_CARES 2012.pdf | Priority 1 | Proposed | | | | | | | | | | | | |
| 84 | Functional | All Processes | | Business Rules Engine | | The system shall provide authorized users the ability to filter dropdown lists dependent on selection of parent or grandparent values on a data entry screen. (e.g., billing services of a Lead Agency should be filtered by the Service indicated on a client's Care Plan) | Priority 3 | Proposed | | | | | | | | | | | | |
| 85 | Functional | All Processes | | Business Rules Engine | | The system shall allow the ability for system-based workflow actions populate fields as a business rule without intervention from the user. | Priority 1 | Proposed | | | | | | | | | | | | |
| 86 | Functional | All Processes | | Correspondence & Forms | Assessment | The system shall allow the ability to create/modify/delete/save form data. | Priority 1 | Proposed | | | | | | | | | | | | |
| 87 | Functional | All Processes | | Correspondence & Forms | | The system shall display the remaining free-text fields character count on data entry screens. | Priority 3 | Proposed | | | | | | | | | | | | |
| 88 | Functional | All Processes | | Correspondence & Forms | | The system shall enable printing of reports, documents, and transmittals by authorized users on specified printers. | Priority 1 | Proposed | | | | | | | | | | | | |
| 89 | Functional | All Processes | | Correspondence & Forms | | The system shall allow for electronic signature in compliance with Chapter 66B, Florida Statutes. | Priority 1 | Proposed | | | | | | | | | | | | |
| 90 | Functional | All Processes | | Correspondence & Forms | | The system shall generate and send reminders of actions needed to designated system users. | Priority 1 | Proposed | | | | | | | | | | | | |
| 91 | Functional | All Processes | | Correspondence & Forms | | The system shall enable an authorized user to create standard form letters for generating an unlimited number of correspondence types. | Priority 1 | Proposed | | | | | | | | | | | | |

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|--------|------------|-----------------------|---------------------------------------|------------------------|-------------|--|--------------|-------------|-----------------|--------|------------|---------|----------------|--------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 92 | Functional | All Processes | | Correspondence & Forms | | The system shall enable authorized users to modify correspondence (both system generated and manually generated). | Priority 1 | Proposed | | | | | | | | | | | | |
| 93 | Functional | All Processes | | Correspondence & Forms | | The system shall provide the ability to store, retrieve, and resend one or many correspondence items in a single user request. | Priority 1 | Proposed | | | | | | | | | | | | |
| 94 | Functional | All Processes | | Correspondence & Forms | | The system shall enable generating correspondence as printed letters or a variety of electronic media in accordance with business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 95 | Functional | All Processes | | Correspondence & Forms | | The system shall provide the ability to produce correspondence and envelope printing options, electronic files, and/or email for mass mailings. | Priority 3 | Proposed | | | | | | | | | | | | |
| 96 | Functional | All Processes | | Correspondence & Forms | | Remarks applicable to the correspondence shall be maintained for each correspondence item. | Priority 3 | Proposed | | | | | | | | | | | | |
| 97 | Functional | All Processes | | Correspondence & Forms | | The system shall automatically capture the date and user ID at the time any comment is added to any correspondence records. | Priority 1 | Proposed | | | | | | | | | | | | |
| 98 | Functional | All Processes | | Correspondence & Forms | | The system shall enable viewing a list of created correspondence not yet sent. | Priority 2 | Proposed | | | | | | | | | | | | |
| 99 | Functional | All Processes | | Correspondence & Forms | | The system shall enable viewing a list of all items of correspondence that require action by the user to be performed. | Priority 2 | Proposed | | | | | | | | | | | | |
| 100 | Functional | All Processes | | Correspondence & Forms | | The system shall enable users to search for and display correspondence item to which they have rights to view or modify. | Priority 3 | Proposed | | | | | | | | | | | | |
| 101 | Functional | All Processes | | Correspondence & Forms | | The system shall have the ability to create or update correspondence templates for use in the development of correspondence. | Priority 2 | Proposed | | | | | | | | | | | | |
| 102 | Functional | All Processes | | Correspondence & Forms | | The system shall utilize approved correspondence templates for use in the development of correspondence. | Priority 2 | Proposed | | | | | | | | | | | | |
| 103 | Functional | All Processes | | Correspondence & Forms | | The system shall pre-populate correspondence variables based as determined in the template definitions. | Priority 3 | Proposed | | | | | | | | | | | | |
| 104 | Functional | All Processes | | Correspondence & Forms | | The system shall provide the ability to create a review workflow process and approve templates for use in correspondence. | Priority 1 | Proposed | | | | | | | | | | | | |
| 105 | Functional | All Processes | | Correspondence & Forms | | The system shall provide the capability to perform spelling and grammatical checks on correspondence. | Priority 2 | Proposed | | | | | | | | | | | | |
| 106 | Functional | All Processes | | Correspondence & Forms | | The system shall support the ability to enter free-form text into correspondence. | Priority 2 | Proposed | | | | | | | | | | | | |
| 107 | Functional | All Processes | | Correspondence & Forms | | The system shall support WYSIWYG editing of the correspondence. | Priority 2 | Proposed | | | | | | | | | | | | |
| 108 | Functional | All Processes | | Correspondence & Forms | | The system shall increment draft version and update summary data when correspondence is saved. | Priority 2 | Proposed | | | | | | | | | | | | |
| 109 | Functional | All Processes | | Correspondence & Forms | | The system shall provide a mechanism for draft correspondence to be reviewed and approved before publishing for use. | Priority 2 | Proposed | | | | | | | | | | | | |
| 110 | Functional | All Processes | | Correspondence & Forms | | The system shall support the ability to electronically sign the correspondence. | Priority 1 | Proposed | | | | | | | | | | | | |
| 111 | Functional | All Processes | | Correspondence & Forms | | The system shall provide the capability to attach existing images, documents and correspondence to a new correspondence. | Priority 1 | Proposed | | | | | | | | | | | | |
| 112 | Functional | All Processes | | Correspondence & Forms | | The system shall provide date time stamps or alert notifications for correspondence distribution as successful or unsuccessful in distribution (e.g., was the email or fax sent?). | Priority 1 | Proposed | | | | | | | | | | | | |
| 113 | Functional | All Processes | | Correspondence & Forms | | The system shall maintain timers and monitor date-sensitive information based upon the time of distribution of the correspondence and other events. | Priority 2 | Proposed | | | | | | | | | | | | |
| 114 | Functional | All Processes | | Correspondence & Forms | | The system shall provide a capability to develop and publish correspondence to multiple recipients within a defined business process (e.g., not developed one recipient at a time). | Priority 2 | Proposed | | | | | | | | | | | | |
| 115 | Functional | All Processes | | Correspondence & Forms | | The system shall have the ability to produce and send corrected correspondence. | Priority 2 | Proposed | | | | | | | | | | | | |
| 116 | Functional | All Processes | | Correspondence & Forms | | The system shall prevent the update of published correspondence. | Priority 2 | Proposed | | | | | | | | | | | | |
| 117 | Functional | All Processes | | Correspondence & Forms | | The system shall support the re-printing of published correspondence. | Priority 2 | Proposed | | | | | | | | | | | | |
| 118 | Functional | All Processes | | Correspondence & Forms | | The system shall support the ability to manually and automatically resend correspondence if a system failure occurs before or during distribution (e.g., SMTP failure, internet connection failure, etc.). | Priority 1 | Proposed | | | | | | | | | | | | |
| 119 | Functional | All Processes | | Correspondence & Forms | | The system shall support proper formatting such as portrait and landscape page and page breaks for multiple page correspondence. | Priority 3 | Proposed | | | | | | | | | | | | |

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|--------|------------|-----------------------|---------------------------------------|------------------------|-------------|---|--------------|-------------|-----------------|--------|------------|---------|----------------|--------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 120 | Functional | All Processes | | Correspondence & Forms | | The system shall support the ability to print one or more pieces of correspondence without viewing the documents. | Priority 3 | Proposed | | | | | | | | | | | | |
| 121 | Functional | All Processes | | Correspondence & Forms | | The system shall support the correcting of address data to meet current U.S. Postal Service regulations and standards. | Priority 3 | Proposed | | | | | | | | | | | | |
| 122 | Functional | All Processes | | Correspondence & Forms | | The system shall support the maintenance of correspondence outside of a workflow (business process) where ad hoc generation/maintenance of correspondence may occur. | Priority 2 | Proposed | | | | | | | | | | | | |
| 123 | Functional | All Processes | | Correspondence & Forms | | The system shall support the ability to specify archive rules for correspondence according to retention policies. | Priority 2 | Proposed | | | | | | | | | | | | |
| 124 | Functional | All Processes | | Correspondence & Forms | | The system shall support the ability to search for correspondence based upon defined search criteria, including keyword search. | Priority 2 | Proposed | | | | | | | | | | | | |
| 125 | Functional | All Processes | | Correspondence & Forms | | The system shall support the ability to sort and filter on search results for correspondence and correspondence templates. | Priority 2 | Proposed | | | | | | | | | | | | |
| 126 | Functional | All Processes | | Correspondence & Forms | | The system shall enable batch processing of user-configured mass e-mailings. | Priority 2 | Proposed | | | | | | | | | | | | |
| 127 | Functional | All Processes | | Correspondence & Forms | | The system shall provide the capability for an authorized user to override the system generated date-time stamp. | Priority 3 | Proposed | | | | | | | | | | | | |
| 128 | Functional | All Processes | | CRM | | The system shall provide the ability to communicate with clients or providers based on their preferred communication method (e.g., email notifications, fax, paper). | Priority 1 | Proposed | | | | | | | | | | | | |
| 129 | Functional | All Processes | | CRM | | The system shall enable an authorized user to define and maintain status conditions for each case type. | Priority 1 | Proposed | | | | | | | | | | | | |
| 130 | Functional | All Processes | | CRM | | The system shall support the ability to re-open a case that has been closed according to business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 131 | Functional | All Processes | | CRM | | The system should allow for a user or predefined condition to mark a client record as confidential so that only specific roles can access the client record and its related data. | Priority 1 | Proposed | | | | | | | | | | | | |
| 132 | Functional | All Processes | | CRM | | The system shall have case management, client information tracking, and work resource management features. | Priority 1 | Proposed | | | | | | | | | | | | |
| 133 | Functional | All Processes | | CRM | | The system shall provide the ability to display customizable lists or menus for field completion. | Priority 1 | Proposed | | | | | | | | | | | | |
| 134 | Functional | All Processes | | CRM | | The system shall provide an easy-to-use knowledgebase for the storage and retrieval of customer service-related information. | Priority 3 | Proposed | | | | | | | | | | | | |
| 135 | Functional | All Processes | | CRM | | The system shall provide a user dashboard to allow for quick and easy access to scheduled events, tasks, follow-ups, documents and alerts as they are associated with client or provider records. | Priority 1 | Proposed | | | | | | | | | | | | |
| 136 | Functional | All Processes | | Database Architecture | | The system shall enable authorized users to create, modify and delete hyperlinks to internal and external documents, records, files or sites for use on their dashboard or within case notes. | Priority 1 | Proposed | | | | | | | | | | | | |
| 137 | Functional | All Processes | | Database Architecture | | The system shall allow the configuration of an unlimited number of statuses across case types including status hierarchy, overrides, actions, or processes which affect client status. | Priority 1 | Proposed | | | | | | | | | | | | |
| 138 | Functional | All Processes | | Database Architecture | | The system shall provide the user with predefined selectable lists wherever possible. Drop-down lists, radio buttons and "lookup" tables will maximize the entry of correct and complete data and will ensure that business rules are followed. | Priority 1 | Proposed | | | | | | | | | | | | |
| 139 | Functional | All Processes | | Database Architecture | | Wherever applicable, the system shall provide pick lists and/or multi-pick lists instead of manual text entry. Pick lists shall not force a refresh of the screen after selection. | Priority 1 | Proposed | | | | | | | | | | | | |
| 140 | Functional | All Processes | | Database Architecture | | The system shall enable authorized users to maintain and manage the pick lists within the system. | Priority 2 | Proposed | | | | | | | | | | | | |
| 141 | Functional | All Processes | | Database Architecture | | The system shall enable users to enter multiple characters to select a specific choice from a pick list. For example the user should be able to enter "Jac" to get to Jacksonville rather than typing J several times to move through list to Jacksonville. | Priority 2 | Proposed | | | | | | | | | | | | |
| 142 | Functional | All Processes | | Database Architecture | | The system shall enable users to manage entries in a custom dictionary. | Priority 2 | Proposed | | | | | | | | | | | | |
| 143 | Functional | All Processes | | Database Architecture | | The system shall enable authorized users to create and maintain lists to be used as predefined selectable drop-down lists, radio buttons, and "lookup" tables. | Priority 2 | Proposed | | | | | | | | | | | | |

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|--------|------------|-----------------------|---------------------------------------|----------------------------------|-------------|---|--------------|-------------|-----------------|--------|------------|---------|----------------|--------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 144 | Functional | All Processes | | Database Architecture | | The system shall provide the ability for an authorized user to create, modify, and delete look-up values including both codes and code values. | Priority 1 | Proposed | | | | | | | | | | | | |
| 145 | Functional | All Processes | | Database Architecture | | The system shall be client- and provider-centric with records linked to specific clients and/or providers. | Priority 1 | Proposed | | | | | | | | | | | | |
| 146 | Functional | All Processes | | Database Architecture | | The system shall be able to extract data from the current combined database systems and restore the historical data in the new database. | Priority 1 | Proposed | | | | | | | | | | | | |
| 147 | Functional | All Processes | | Development And Support Services | | The system shall provide pop ups on how to correctly complete the data entry screens to reduce the amount of errors and deficiencies. | Priority 1 | Proposed | | | | | | | | | | | | |
| 148 | Functional | All Processes | | Development And Support Services | | The system shall return error messages to the user when invalid information is entered into a data entry screen field. | Priority 1 | Proposed | | | | | | | | | | | | |
| 149 | Functional | All Processes | | Development And Support Services | | The system shall provide users with context-sensitive help for user capabilities provided by the system. | Priority 2 | Proposed | | | | | | | | | | | | |
| 150 | Functional | All Processes | | Development And Support Services | | The system shall enable users to search on available indexed help topics. | Priority 3 | Proposed | | | | | | | | | | | | |
| 151 | Functional | All Processes | | Development And Support Services | | The system shall enable authorized users to update the system help files. The help function shall provide the ability to include smart tips, plain text or HTML instructions, and video demonstrations. | Priority 3 | Proposed | | | | | | | | | | | | |
| 152 | Functional | All Processes | | Development And Support Services | | The system shall enable authorized users to create, maintain, search, and view system Frequently Asked Questions (FAQs) and their answers. | Priority 3 | Proposed | | | | | | | | | | | | |
| 153 | Functional | All Processes | | Development And Support Services | | The system shall enable authorized users to configure error messages and online help text. | Priority 3 | Proposed | | | | | | | | | | | | |
| 154 | Functional | All Processes | | Development And Support Services | | The system shall report batch processing results (success, failure) for each batch job. | Priority 1 | Proposed | | | | | | | | | | | | |
| 155 | Functional | All Processes | | Development And Support Services | | The system shall display a warning to all users if the browser does not meet the minimum technical requirements to display and utilize the application. | Priority 1 | Proposed | | | | | | | | | | | | |
| 156 | Functional | All Processes | | Development And Support Services | | The system shall be compatible with the current supported version of the chosen database platform(s). | Priority 1 | Proposed | | | | | | | | | | | | |
| 157 | Functional | All Processes | | Development And Support Services | | The system shall provide the ability to restart an interface transmission from a specific point (e.g., restart at failed record, restart from beginning). | Priority 1 | Proposed | | | | | | | | | | | | |
| 158 | Functional | All Processes | | Development And Support Services | | The system shall provide the ability to deploy new functionality to the system without impacting existing non-related functionality. | Priority 2 | Proposed | | | | | | | | | | | | |
| 159 | Functional | All Processes | | Development And Support Services | | System shall limit/minimize the hard-coding of configuration or programmatic functionality. | Priority 1 | Proposed | | | | | | | | | | | | |
| 160 | Functional | All Processes | | Events And Scheduling | | The system shall provide the ability to execute system events based on a user-configurable schedule. | Priority 1 | Proposed | | | | | | | | | | | | |
| 161 | Functional | All Processes | | Events And Scheduling | | The system shall provide a graphical calendar object to select from when entering or changing dates. | Priority 2 | Proposed | | | | | | | | | | | | |
| 162 | Functional | All Processes | | Integrated Imaging | | The system shall provide the ability to systematically associate supporting documents to a client record or provider record (e.g., images, faxes, scanned physical and electronic documents). | Priority 1 | Proposed | | | | | | | | | | | | |
| 163 | Functional | All Processes | | Integrated Imaging | | The system shall provide document digital imaging functions that allow the user to view digital facsimiles of documents that are generated and associated with the system functions. The document digital imaging functions shall provide for easy duplicate printing of the selected document. | Priority 1 | Proposed | | | | | | | | | | | | |
| 164 | Functional | All Processes | | Integrated Imaging | | The system shall provide the ability to retrieve and view imaged documentation provided by users and clients based on business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 165 | Functional | All Processes | | Integrated Imaging | | The system shall have the capability to perform optical character recognition (OCR) on scanned documents and images including documents uploaded in various formats (e.g., PDF, TIFF, JPEG, etc.). | Priority 1 | Proposed | | | | | | | | | | | | |
| 166 | Functional | All Processes | | Interfaces And Interoperability | | The system shall provide for encrypted user authentication for remote users. | Priority 1 | Proposed | | | | | | | | | | | | |
| 167 | Functional | All Processes | | Interfaces And Interoperability | | The system shall enable all data stored and transmitted on remote or mobile devices to be encrypted. | Priority 1 | Proposed | | | | | | | | | | | | |
| 168 | Functional | All Processes | | Interfaces And Interoperability | | The system shall provide the ability to remotely wipe any data stored on remote or mobile devices. | Priority 1 | Proposed | | | | | | | | | | | | |
| 169 | Functional | All Processes | | Interfaces And Interoperability | | The system shall have the ability to process emails according to business rules in which the email message is sent with a specific subject line, contains particular keywords within the body of the message or is sent to a particular email address. | Priority 1 | Proposed | | | | | | | | | | | | |
| 170 | Functional | All Processes | | Interfaces And Interoperability | | The system shall interface with electronic signature devices and software. | Priority 1 | Proposed | | | | | | | | | | | | |

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|--------|------------|-----------------------|---------------------------------------|---------------------------------|-------------|---|--------------|-------------|-----------------|--------|------------|---------|---|--------------------------------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 171 | Functional | All Processes | | Interfaces And Interoperability | | The system shall provide support for PDF electronic signatures. | Priority 1 | Proposed | | | | | | | | | | | | |
| 172 | Functional | All Processes | | Interfaces And Interoperability | | The system shall automatically update a client's date of death field in the system to match the imported data from the Department of Health's (DOH) Office of Vital Statistics, according to business rules (e.g., if the current date of death is blank, the SSN, name and date of birth matches the Vital Statistic imported data). | Priority 1 | Proposed | | | | | | | | | | | | |
| 173 | Functional | All Processes | | Interfaces And Interoperability | | The system shall allow the ability to create, modify, and send by email correction requests to the Department of Health's (DOH) Office of Vital Statistics. | Priority 1 | Proposed | | | | | | | | | | | | |
| 174 | Functional | All Processes | | Mobility | | The system shall provide secure remote access for authorized users using wireless internet-enabled mobile computers or handheld devices. | Priority 1 | Proposed | | | | | | | | | | | | |
| 175 | Functional | All Processes | | Mobility | | The system shall provide the ability to securely record and to automatically synchronize data as it is captured between a mobile device and the system when offline. | Priority 1 | Proposed | | | | | | | | | | | | |
| 176 | Functional | All Processes | | Record Management And Audit | | The system shall provide the ability to setup, modify, edit version control on documents maintained within the system allowing the user to view version history and restore previous versions as provided by their role. | Priority 1 | Proposed | | | | | | | | | | | | |
| 177 | Functional | All Processes | | Record Management And Audit | | The system shall enable authorized users to view audit trails by various selection criteria such as: case, external user, authorized user, and PSA. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 178 | Functional | All Processes | | Record Management And Audit | | The system shall provide the ability of displaying audit trail information reflecting system activity by any user, either internal or external, to include data actions such as read/write/update/delete and archiving and printing. Audit trail information should also include date, time, and function of the data action. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 179 | Functional | All Processes | | Record Management And Audit | | The system shall protect information and tools from unauthorized access, modification, and deletion. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 180 | Functional | All Processes | | Record Management And Audit | | The system shall use internal system clocks to generate time stamps for audit records. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 181 | Functional | All Processes | | Reporting & Dashboard | | The system shall have the ability to present data in a dashboard format. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 182 | Functional | All Processes | | Reporting & Dashboard | | The system shall display the user's Home Dashboard as their primary landing page subsequent to login. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 183 | Functional | All Processes | | Search And Navigation | | The system shall provide the ability to remediate a system message without navigating to another screen (e.g., a display message, "All tasks must be closed close prior to closing the case" should allow the list of open tasks to be presented for user action). | Priority 2 | Proposed | | | | | | | | | | | | |
| 184 | Functional | All Processes | | Search And Navigation | | The system shall enable users to search, sort, filter, and view any data specific to a client or entity in the system. | Priority 1 | Proposed | | | | | | | | | | | | |
| 185 | Functional | All Processes | | Search And Navigation | | The system shall enable authorized users to perform searches using 'wild cards.' | Priority 1 | Proposed | | | | | | | | | | | | |
| 186 | Functional | All Processes | | Search And Navigation | | The system shall display a list of all matching records, including key information about each record, and allow sorting of the result set by the configured columns, when more than one record matches the search criteria. | Priority 1 | Proposed | | | | | | | | | | | | |
| 187 | Functional | All Processes | | Search And Navigation | | The system shall enable users to select and view information about an individual record, when a search returns a list of records. | Priority 1 | Proposed | | | | | | | | | | | | |
| 188 | Functional | All Processes | | Search And Navigation | | The system shall provide the ability to open multiple screens/windows, and windows shall be non-modal unless specific user action is required to complete a function. | Priority 1 | Proposed | | | | | | | | | | | | |
| 189 | Functional | All Processes | | Search And Navigation | | The system shall provide the ability to access the menu structure or a navigation path while executing business functionality. | Priority 1 | Proposed | | | | | | | | | | | | |
| 190 | Functional | All Processes | | Search And Navigation | | The system shall support the use of user-defined shortcut keys to move between modules and menus. | Priority 1 | Proposed | | | | | | | | | | | | |
| 191 | Functional | All Processes | | Search And Navigation | | The system shall provide the ability to perform searches: full-text, keyword, date-range, and advanced searching using expression strings. | Priority 1 | Proposed | | | | | | | | | | | | |

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|--------|------------|-----------------------|---------------------------------------|-----------------------|-------------|--|--------------|-------------|-----------------|--------|------------|---------|---|--------------------------------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 192 | Functional | All Processes | | Search And Navigation | | The system shall provide the ability to execute advanced search functionality from any area within the system. | Priority 2 | Proposed | | | | | | | | | | | | |
| 193 | Functional | All Processes | | Search And Navigation | | The system shall require at least one search criteria is populated prior to executing a search. | Priority 1 | Proposed | | | | | | | | | | | | |
| 194 | Functional | All Processes | | Search And Navigation | | The system shall provide the ability to group, sort and filter search results. | Priority 1 | Proposed | | | | | | | | | | | | |
| 195 | Functional | All Processes | | Search And Navigation | | The system shall provide the ability to navigate to the appropriate record selected (within the context of the search). | Priority 1 | Proposed | | | | | | | | | | | | |
| 196 | Functional | All Processes | | Search And Navigation | | The system shall provide the ability to combine multiple search criteria using logical 'AND', 'OR' and 'BETWEEN' operators. | Priority 2 | Proposed | | | | | | | | | | | | |
| 197 | Functional | All Processes | | Search And Navigation | | The system shall provide the ability to search and retrieve records (or logical groups of records) matching compound search criteria. | Priority 2 | Proposed | | | | | | | | | | | | |
| 198 | Functional | All Processes | | Search And Navigation | | The system shall allow users to save search criteria and results with user-defined names. | Priority 3 | Proposed | | | | | | | | | | | | |
| 199 | Functional | All Processes | | Search And Navigation | | The system shall provide the ability to include unstructured data in query results (e.g., Microsoft Word documents, Adobe Acrobat PDF files). | Priority 3 | Proposed | | | | | | | | | | | | |
| 200 | Functional | All Processes | | Search And Navigation | | The system shall provide large result sets in a paged manner and shall indicate either the page number viewed of the total number of pages or range of listed records of the total number of records returned. | Priority 1 | Proposed | | | | | | | | | | | | |
| 201 | Functional | All Processes | | Search And Navigation | | The system shall provide query searching capabilities that can be used to search within a result set. | Priority 2 | Proposed | | | | | | | | | | | | |
| 202 | Functional | All Processes | | Search And Navigation | | The system shall provide the ability to perform advanced searches based on configurable criteria. | Priority 1 | Proposed | | | | | | | | | | | | |
| 203 | Functional | All Processes | | Search And Navigation | | The system shall provide the ability to prompt the user to save work in progress prior to navigating to a new business function. | Priority 1 | Proposed | | | | | | | | | | | | |
| 204 | Functional | All Processes | | Search And Navigation | | The system shall allow for the user to access the Search Screen from the user's Home Dashboard. | Priority 1 | Proposed | | | | | | | | | | | | |
| 205 | Functional | All Processes | | Search And Navigation | | The system shall provide users search screens displaying fields in relation to where the user is within the system. (e.g., if the user is on the Services Screen, the search fields relevant to searching for services and referrals should be displayed to the user) | Priority 1 | Proposed | | | | | | | | | | | | |
| 206 | Functional | All Processes | | Search And Navigation | | The system shall provide the ability to view the list of cases categorized as referrals from the Client Screen. At a minimum the result set of the query should display when the case was opened, reason, referral source, payment type, status, close date, reason for closure and PSA. | Priority 1 | Proposed | | | | | | | | | | | | |
| 207 | Functional | All Processes | | Search And Navigation | | The system shall provide the ability for authorized users to perform batch uploading from key navigation points within the system using a native Windows Browse and Select screen. | Priority 1 | Proposed | | | | | | | | | | | | |
| 208 | Functional | All Processes | | Search And Navigation | | The system shall provide the ability to specify the limit of the maximum number of records retrieved by a single page query. | Priority 1 | Proposed | | | | | | | | | | | | |
| 209 | Functional | All Processes | | Security | | The system shall enable viewing of retrieved correspondence based on user-defined business rules and user roles. | Priority 1 | Proposed | | | | | | | | | | | | |
| 210 | Functional | All Processes | | Security | | The system shall provide the ability to filter the search results based on the user's role. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 211 | Functional | All Processes | | Security | | The system shall provide access to data and functionality at the most granular level available (i.e., field level for data and screen access, document type for documents, and individual menu item for functionality). | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 212 | Functional | All Processes | | Security | | The system shall provide varying levels of permission to access data and functionality (e.g., no access, read-only access, create access, modify access, and delete access). | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 213 | Functional | All Processes | | Security | | The system shall provide a capability to redact information (e.g., Social Security numbers, names, addresses, etc.) on correspondence and printed reports based on business rules. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 214 | Functional | All Processes | | Security | | The system shall provide authorized users to add, modify, remove case note categories. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |

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|--------|------------|-----------------------|---------------------------------------|-----------|-------------|---|--------------|-------------|-----------------|--------|------------|---------|--|----------------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|--|
| 215 | Functional | All Processes | | Usability | | The system shall provide the ability for a user to change the language when displaying data entry screens. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | | |
| 216 | Functional | All Processes | | Usability | | The system shall allow the users to modify the screen size and associated data font of any menu without the need to modify the workstation screen resolution. | Priority 2 | Proposed | | | | | | | | | | | | | |
| 217 | Functional | All Processes | | Usability | | The system shall enable authorized users to configure the properties, format, and display of data elements. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 218 | Functional | All Processes | | Usability | | The system shall notify the user if required fields are not entered into the form prior to committing data to the database. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 219 | Functional | All Processes | | Usability | | The system shall provide the user access to data, cases, and file attachments associated with a specific client. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 220 | Functional | All Processes | | Usability | | The system shall provide data quality editing, consistency and validity checks on data elements at the point of data entry. The system shall display a meaningful error message and prevent entry of data that does not pass edit checks. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 221 | Functional | All Processes | | Usability | | The system shall display meaningful descriptions in the place of system codes (e.g., 'Male' instead of 'M'). | Priority 1 | Proposed | | | | | | | | | | | | | |
| 222 | Functional | All Processes | | Usability | | The system shall provide configurable messages to the user in the event of a system error (e.g., technical information, resolution required). | Priority 1 | Proposed | | | | | | | | | | | | | |
| 223 | Functional | All Processes | | Usability | | The system shall provide the ability to execute "copy and paste" functionality with third-party applications (e.g., Microsoft Word) per business rules. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 224 | Functional | All Processes | | Usability | | The system shall utilize colors or other visual and non-visual aids to facilitate the use of system functions in accordance with Section 508 standards. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 225 | Functional | All Processes | | workflow | | The system shall automatically generate electronic communications, alerts or documents at user-specified milestones within a workflow. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 226 | Functional | All Processes | | Workflow | | The system shall enable users to configure rules-based notifications at a minimum system alerts (e.g., pop-up windows) and automatically generated notifications with variable narrative or appropriate web links. | Priority 2 | Proposed | | | | | | | | | | | | | |
| 227 | Functional | All Processes | | Workflow | | The system shall allow for tasks to be created and initiated by a workflow action. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 228 | Functional | All Processes | | Workflow | | The system shall allow for authorized users to set due dates for workflow actions. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 229 | Functional | All Processes | | Workflow | | The system shall be able to utilize preconfigured due dates and apply them at the action level when the action is created within the workflow. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 230 | Functional | All Processes | | Workflow | | The workflow system shall allow only the current owner and authorized proxies (i.e., supervisors) of an action to modify routing information. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 231 | Functional | All Processes | | Workflow | | The system shall enable authorized users to bypass a standard workflow requirement, moving to another step in the workflow, or triggering a new workflow, and tracking information associated with the bypass request. | Priority 2 | Proposed | | | | | | | | | | | | | |
| 232 | Functional | All Processes | | Workflow | | The system shall enable sending an email and/or notification when a workflow step requires action from an authorized user. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 233 | Functional | All Processes | | Workflow | | The system shall provide the ability to enable and disable review steps in a workflow based on business rules. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 234 | Functional | All Processes | | Workflow | | The system shall provide the ability to systematically move the work item to the next step in a workflow once required documentation has been received and associated with the work item. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 235 | Functional | All Processes | | Workflow | | The system shall provide workflow functionality. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 236 | Functional | All Processes | | Workflow | | The system shall allow for email generation to each provider associated with a client record using the provider record data to individualize the correspondence. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 237 | Functional | All Processes | | Workflow | | The system should allow for email generation based on an action designated within a workflow. | Priority 1 | Proposed | | | | | | | | | | | | | |
| 238 | Functional | All Processes | | Workflow | | The system shall allow for the users to assign and reassign cases, tasks, and appointments to other users of the system based on the user's role. | Priority 1 | Proposed | | | | | | | | | | | | | |

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| 239 | Functional | All Processes | | Workflow | | The system shall either notify the user or shall trigger a workflow when entered information does not match existing known information based on business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 240 | Functional | All Processes | | Workflow | | The system shall provide the ability to manage case data and create process workflows. | Priority 1 | Proposed | | | | | | | | | | | | |
| 241 | Functional | All Processes | | Workflow | | The system shall enable managing client data and creating assessment and screening process workflows for an unlimited number of DOE, AAA, ADRC, and Lead Agency activities. | Priority 1 | Proposed | | | | | | | | | | | | |
| 242 | Functional | All Processes | | Workflow | | The system shall enable an authorized user to define external user data requirements and workflows for an unlimited number of external user types. | Priority 1 | Proposed | | | | | | | | | | | | |
| 243 | Functional | All Processes | | Workflow | | The workflow system shall be able to support automated and non-automated tasks. | Priority 1 | Proposed | | | | | | | | | | | | |
| 244 | Functional | All Processes | | Workflow | | The workflow system shall allow authorized users to define the business processes to be managed by the workflow. | Priority 1 | Proposed | | | | | | | | | | | | |
| 245 | Functional | All Processes | | Workflow | | The workflow system shall coordinate the execution of the defined processes. | Priority 1 | Proposed | | | | | | | | | | | | |
| 246 | Functional | All Processes | | Workflow | | The workflow system shall ensure that work can be moved through the defined process. This requirement provides the general capability that requires each work item is able to move through each defined process steps. | Priority 1 | Proposed | | | | | | | | | | | | |
| 247 | Functional | All Processes | | Workflow | | The workflow system shall monitor and provide a display of the progress. | Priority 1 | Proposed | | | | | | | | | | | | |
| 248 | Functional | All Processes | | Workflow | | The workflow system shall allow the viewing of the existing workflows in both text and diagram form. | Priority 1 | Proposed | | | | | | | | | | | | |
| 249 | Functional | All Processes | | Workflow | | The system shall enable authorized users to create, edit, and terminate a workflow process. | Priority 1 | Proposed | | | | | | | | | | | | |
| 250 | Functional | All Processes | | Workflow | | The system shall enable authorized users to add, view, delete, or modify an activity to a workflow process. | Priority 1 | Proposed | | | | | | | | | | | | |
| 251 | Functional | All Processes | | Workflow | | The system shall enable authorized users to assign one or more users or roles to an activity associated with a workflow process. | Priority 1 | Proposed | | | | | | | | | | | | |
| 252 | Functional | All Processes | | Workflow | | The system shall enable authorized users to define alerts associated with a workflow activity. | Priority 1 | Proposed | | | | | | | | | | | | |
| 253 | Functional | All Processes | | Workflow | | The system shall enable authorized users to define time thresholds, parameters, and lead and lag times between activities for each workflow activity. | Priority 1 | Proposed | | | | | | | | | | | | |
| 254 | Functional | All Processes | | Workflow | | The system shall enable authorized users to define concurrent activities within a workflow transaction. | Priority 1 | Proposed | | | | | | | | | | | | |
| 255 | Functional | All Processes | | Workflow | | The system shall enable both sequential and concurrent approval processing based on predefined authorized user configuration. | Priority 1 | Proposed | | | | | | | | | | | | |
| 256 | Functional | All Processes | | Workflow | | The system shall enable authorized users to assign an activity to a role or user. | Priority 1 | Proposed | | | | | | | | | | | | |
| 257 | Functional | All Processes | | Workflow | | The system shall notify appropriate authorized users when no authorized users or roles have been assigned to an activity. | Priority 2 | Proposed | | | | | | | | | | | | |
| 258 | Functional | All Processes | | Workflow | | The system shall notify the appropriate authorized users of work that has been routed to them. | Priority 1 | Proposed | | | | | | | | | | | | |
| 259 | Functional | All Processes | | Workflow | | The system shall ensure that all the business rules associated with an activity have been satisfied before the next activity in the workflow is allowed to start. | Priority 1 | Proposed | | | | | | | | | | | | |
| 260 | Functional | All Processes | | Workflow | | When work associated with a workflow process activity has been completed, the system shall automatically route the work to the next process. | Priority 1 | Proposed | | | | | | | | | | | | |
| 261 | Functional | All Processes | | Workflow | | The system shall provide for each authorized user an electronic work queue ('inbox') capability to show assigned work. | Priority 1 | Proposed | | | | | | | | | | | | |
| 262 | Functional | All Processes | | Workflow | | The electronic work queue capability shall enable multiple options for sorting and filtering views of assigned work. | Priority 1 | Proposed | | | | | | | | | | | | |
| 263 | Functional | All Processes | | Workflow | | The system shall enable authorized users to coordinate work activities according to the schedule. | Priority 2 | Proposed | | | | | | | | | | | | |
| 264 | Functional | All Processes | | Workflow | | The system shall enable generating and sending automatic reminders of required actions to designated system users based on business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 265 | Functional | All Processes | | Workflow | | The system shall enable generating automatic reminders of approaching key action deadlines that are required to be taken based on business rules and sending them to designated authorized users without additional user intervention. | Priority 1 | Proposed | | | | | | | | | | | | |
| 266 | Functional | All Processes | | Workflow | | The system shall enable additional authorized users and their proxies to have access to a user's work queue. | Priority 1 | Proposed | | | | | | | | | | | | |

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|--------|------------|-----------------------|---------------------------------------|----------|-------------|--|--------------|-------------|-----------------|--------|------------|---------|----------------|--------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 267 | Functional | All Processes | | Workflow | | The system shall ensure that once a work item has been assigned to a specific work flow, the work item follows the assigned workflow sequence, unless the workflow is overridden by an authorized user. | Priority 1 | Proposed | | | | | | | | | | | | |
| 268 | Functional | All Processes | | Workflow | | The system shall enable authorized users to view the current progress of an individual work item. | Priority 1 | Proposed | | | | | | | | | | | | |
| 269 | Functional | All Processes | | Workflow | | The system shall enable authorized users to view the current progress of a group of work items assigned to an individual role or program area. | Priority 1 | Proposed | | | | | | | | | | | | |
| 270 | Functional | All Processes | | Workflow | | The system shall enable authorized users to view overdue work items assigned to an individual, role, or PSA. | Priority 1 | Proposed | | | | | | | | | | | | |
| 271 | Functional | All Processes | | Workflow | | The system shall have the capability to maintain workflows and work queues. | Priority 1 | Proposed | | | | | | | | | | | | |
| 272 | Functional | All Processes | | Workflow | | The system shall provide the ability to define workflow routes and associated details based on user-defined business processes. | Priority 1 | Proposed | | | | | | | | | | | | |
| 273 | Functional | All Processes | | Workflow | | The system shall provide the ability to route a work item within a workflow. | Priority 1 | Proposed | | | | | | | | | | | | |
| 274 | Functional | All Processes | | Workflow | | The system shall provide the ability to maintain an administrator-defined set of required documentation needed to proceed to the next step in the workflow. | Priority 1 | Proposed | | | | | | | | | | | | |
| 275 | Functional | All Processes | | Workflow | | The system shall provide the ability to modify workflow routes which are in production. | Priority 1 | Proposed | | | | | | | | | | | | |
| 276 | Functional | All Processes | | Workflow | | The system shall provide the ability to manually reassign work items which are "in progress" to the correct workflow step at the time a production workflow is modified. | Priority 1 | Proposed | | | | | | | | | | | | |
| 277 | Functional | All Processes | | Workflow | | The system shall provide the ability to apply version control to workflows to maintain a history of changes to the workflow routes, actions, security and assigned user roles. | Priority 1 | Proposed | | | | | | | | | | | | |
| 278 | Functional | All Processes | | Workflow | | The system shall provide the ability to organize work items into work queues based on administrator-defined business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 279 | Functional | All Processes | | Workflow | | The system shall provide authorized users the ability of to assign workflow users to specific work queues. | Priority 1 | Proposed | | | | | | | | | | | | |
| 280 | Functional | All Processes | | Workflow | | The system shall provide authorized users the ability to retrieve and assign unassigned work items. | Priority 1 | Proposed | | | | | | | | | | | | |
| 281 | Functional | All Processes | | Workflow | | The system shall provide authorized users the ability to assign work items to users based on predefined business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 282 | Functional | All Processes | | Workflow | | The system shall provide authorized users the ability to assign priority to work items based on administrator-defined business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 283 | Functional | All Processes | | Workflow | | The system shall provide the ability to establish administrator-defined business rules to prevent assignment of work to a user based on user availability (e.g., vacation, sickness, existing workload). | Priority 2 | Proposed | | | | | | | | | | | | |
| 284 | Functional | All Processes | | Workflow | | The system shall provide the ability to set user properties for work queues (e.g., duration of access to queue, queue functions assigned to the user). | Priority 2 | Proposed | | | | | | | | | | | | |
| 285 | Functional | All Processes | | Workflow | | The system shall provide the ability to create tasks from system and user-initiated events. | Priority 1 | Proposed | | | | | | | | | | | | |
| 286 | Functional | All Processes | | Workflow | | The system shall provide the ability to initiate a workflow through the receipt of an electronic form or occurrence of a system event (e.g., uploaded form, imaged documentation, receipt of referral, appointment scheduled, receipt of requested documentation). | Priority 1 | Proposed | | | | | | | | | | | | |
| 287 | Functional | All Processes | | Workflow | | The system shall provide the ability to issue notifications as new documentation is associated with the work item. | Priority 1 | Proposed | | | | | | | | | | | | |
| 288 | Functional | All Processes | | Workflow | | The system shall provide the ability to move work items between workflow steps based on defined workflow rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 289 | Functional | All Processes | | Workflow | | The system shall provide the ability to automatically move work items to the next step in the workflow once required user actions have been completed (e.g., acceptance, approval, rejection). | Priority 1 | Proposed | | | | | | | | | | | | |
| 290 | Functional | All Processes | | Workflow | | The system shall provide the ability for the user to set work items to a "pending" state (indicating the item will not be worked for a period of time) per business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 291 | Functional | All Processes | | Workflow | | The system shall provide the ability to release pending items to an active state based on administrator-determined business rules. | Priority 2 | Proposed | | | | | | | | | | | | |

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|--------|------------|-----------------------|--|---------------------------|-------------|---|--------------|-------------|-----------------|--------|------------|---------|----------------|--------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 292 | Functional | All Processes | | Workflow | | The system shall provide the ability to add text-based notes to the work item or task. | Priority 2 | Proposed | | | | | | | | | | | | |
| 293 | Functional | All Processes | | Workflow | | The system shall provide the ability to issue administrator-defined time-based reminders (e.g., task not processed within defined time frames, task not yet assigned, processing on the task has not been initiated). | Priority 1 | Proposed | | | | | | | | | | | | |
| 294 | Functional | All Processes | | Workflow | | The system shall provide the ability for a reviewer to reject the task and return it to the original sender. | Priority 1 | Proposed | | | | | | | | | | | | |
| 295 | Functional | All Processes | | Workflow | | The system shall provide the ability to refer tasks to users outside of the assigned workflow. | Priority 1 | Proposed | | | | | | | | | | | | |
| 296 | Functional | All Processes | | Workflow | | The system shall provide the ability to close a task assignment based on administrator-defined business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 297 | Functional | All Processes | | Workflow | | The system shall provide the ability for authorized users to monitor the tasks within a workflow. | Priority 1 | Proposed | | | | | | | | | | | | |
| 298 | Functional | All Processes | | Workflow | | The system shall provide the ability to display the current workflow location (e.g., step in process, user inbox) of a task. | Priority 1 | Proposed | | | | | | | | | | | | |
| 299 | Functional | All Processes | | Workflow | | The system shall provide the ability to query the workflows, based on defined criteria, to find a specific task. | Priority 1 | Proposed | | | | | | | | | | | | |
| 300 | Functional | All Processes | | Workflow | | The system shall provide the ability to sort tasks by one or multiple task attributes. | Priority 1 | Proposed | | | | | | | | | | | | |
| 301 | Functional | All Processes | | Workflow | | The system shall include a drag-and-drop feature that will facilitate the manual assignment of work items where applicable per business rules. | Priority 2 | Proposed | | | | | | | | | | | | |
| 302 | Functional | All Processes | | Workflow | | The system shall allow for an authorized user to provide exceptions to established workflow actions. | Priority 1 | Proposed | | | | | | | | | | | | |
| 303 | Functional | All Processes | | Workflow | | The system shall generate an automated case note or contact history and a user alert when a client's SSN is changed in the system according to business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 304 | Functional | All Processes | | Workflow | | The system shall provide the ability for authorized users to create, modify and delete task categories and relate them to cases and workflow actions. | Priority 1 | Proposed | | | | | | | | | | | | |
| 305 | Functional | All Processes | | Workflow | | The system shall provide the ability to create customized notifications and alerts related to actions taken during a workflow process and assign them according to business processes (e.g., providing an alert to check for required medical documentation prior to the assessment that the user scheduled). | Priority 1 | Proposed | | | | | | | | | | | | |
| 306 | Functional | All Processes | | Workflow | | The system shall prevent the user from setting a case status to closed if there are open associated tasks. | Priority 1 | Proposed | | | | | | | | | | | | |
| 307 | Functional | All Processes | | Workflow | | The system shall provide authorized users to associate templated document creation actions to a workflow process according to business rules. (e.g., associate creation of a PASSR Notification document to the PASRR Level II request task). | Priority 1 | Proposed | | | | | | | | | | | | |
| 308 | Functional | All Processes | | Workflow | | The system shall create alerts according to business rules and apply a verification required status code to documents ingested into the system by OCR scan or fax technology when the OCR process determines the data integrity does not meet a pre-configured accuracy threshold. The verification required status code is removed after user intervention is used to confirm data accuracy. | Priority 1 | Proposed | | | | | | | | | | | | |
| 309 | Functional | CARES Assessment | ADRC Intake/Screening, CARES LOC, Rec Placement, Staffing, Complaint Process | Business Rules Engine | | The system shall provide a capability to prioritize cases based on business requirements. | Priority 1 | Proposed | | | | | | | | | | | | |
| 310 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan | Application Functionality | | The system shall provide users with a 701B Comprehensive Assessment screen allowing authorized users to enter data as an onsite assessment is being conducted. This form should be available in offline mode and on mobile devices. An example of the 701B Comprehensive Assessment screen fields in the current CIRT system is shown on page(s) 33 - 74 of the CIRT_User_Guide_for_CARES 2013.pdf. | Priority 1 | Proposed | | | | | | | | | | | | |
| 311 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan | CRM | | The system shall enable authorized users to restore archived case information. | Priority 2 | Proposed | | | | | | | | | | | | |
| 312 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan | CRM | | The system shall enable combining cases according to business rules. | Priority 2 | Proposed | | | | | | | | | | | | |

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|--------|------------|-----------------------|--|---------------------------|-------------|---|--------------|-------------|-----------------|--------|------------|---------|----------------|--------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 313 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan | Database Architecture | | The system shall display a configurable list of fields on the 701B, 701T, and 701S screens including at a minimum the ClientID and Name, Priority Score, Rank, PSA and the OwnerID if the client is being processed by the Aging Network. An example of these fields can be found on page 35 of the CIRT5_USER_Guide_for_CARES 2013.pdf. | Priority 1 | Proposed | | | | | | | | | | | | |
| 314 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan | Events And Scheduling | | The system shall provide a capability to allow authorized users to set and maintain holidays, weekends, and working hours parameters for scheduling purposes. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 315 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan | Mobility | | The system shall enable the external user or client to electronically sign on the mobile device to indicate documentation has been received. | Priority 1 | Proposed | | | | | | | | | | | | |
| 316 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan | Mobility | | The system shall allow the ability for authorized users to identify the availability of data entry screens on a mobile application platform. | Priority 1 | Proposed | | | | | | | | | | | | |
| 317 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan | Search And Navigation | | The system shall provide users with the ability to view a list of past and current assessments provided to the client from the Client Screen. The list shall be a collection of links to view the Assessment Screen. An example of the View Assessments screen fields in the current CIRT5 system is shown on page 30 of the CIRT5_User_Guide_for_CARES 2013.pdf. | Priority 1 | Proposed | | | | | | | | | | | | |
| 318 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan | Usability | | The system shall allow for the ability to customize shortcut keys. | Priority 1 | Proposed | | | | | | | | | | | | |
| 319 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan | Workflow | | The system shall enable an authorized user to create new process workflows, and modify existing workflows to reflect business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 320 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan | Workflow | | The system shall allow for automated and/or manual assignment of cases by the initiation and/or completion of a workflow action. | Priority 1 | Proposed | | | | | | | | | | | | |
| 321 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan | Workflow | | The system shall allow for systematic case closure within the workflow when preconfigured business rules have been completed. | Priority 1 | Proposed | | | | | | | | | | | | |
| 322 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan | Workflow | | The system shall apply status codes to all cases as they are opened and should be systematically updated based on workflow action or step configuration. | Priority 1 | Proposed | | | | | | | | | | | | |
| 323 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan | Workflow | | The system shall allow for the configuration of case types to be determined when the case is opened (e.g., Initial Assessment, Transferred Assessment, Reassessment Assessment, Annual Waiver Assessment, 701 Screening, Information Only). | Priority 1 | Proposed | | | | | | | | | | | | |
| 324 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan | Workflow | | The system shall prompt the user to open a new case or select an existing case if an assessment or screening is begun without navigation to a case screen. | Priority 1 | Proposed | | | | | | | | | | | | |
| 325 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan, CARES Intake and ADRC I&R, CARES Follow-Up | Search And Navigation | | The system shall enable sorting, filtering, and viewing cases by PSA. | Priority 2 | Proposed | | | | | | | | | | | | |
| 326 | Functional | CARES Assessment | ADRC Intake/Screening, Lead Agency Assessment & Care Plan, CARES Intake and ADRC I&R, CARES Follow-Up, Complaint Process | Workflow | | The system shall enable flagging a transaction to identify activities that require special handling (review by supervisor or another section). | Priority 2 | Proposed | | | | | | | | | | | | |
| 327 | Functional | CARES Assessment | CARES Assessment | Mobility | | The system shall provide local user authentication when the mobile computer or device is offline. | Priority 1 | Proposed | | | | | | | | | | | | |
| 328 | Functional | CARES Assessment | CARES Assessment | Mobility | | The system shall enable authorized users to view, capture, store, print, scan, and maintain data remotely using a mobile device. | Priority 1 | Proposed | | | | | | | | | | | | |
| 329 | Functional | CARES Assessment | CARES Follow-Up, CARES Staffing | Application Functionality | | The system shall provide users with a PASRR screen allowing authorized users to enter or modify a client's PASRR information. An example of the PASRR screen fields in the current CIRT5 system is shown on page(s) 86 - 92 of the CIRT5_User_Guide_for_CARES 2013.pdf. | Priority 3 | Proposed | | | | | | | | | | | | |
| 330 | Functional | CARES Assessment | CARES Follow-Up, CARES Staffing | Database Architecture | | The system shall display the fields required for PASRR Level II data entry dependent on field values supplied during the PASRR Level I data entry. | Priority 3 | Proposed | | | | | | | | | | | | |
| 331 | Functional | CARES Assessment | CARES Follow-Up, CARES Staffing | Workflow | | The system shall set a PASRR Level I client data set as complete with an indicator to the user when all required fields have been entered, allowing the client case to proceed to the Staffing and Level of Care (LOC) process. | Priority 2 | Proposed | | | | | | | | | | | | |

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|--------|------------|-----------------------|---|---------------------------------|-------------|---|--------------|-------------|-----------------|--------|------------|---------|----------------|--------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 332 | Functional | CARES Assessment | CARES Follow-Up, CARES Staffing, ADRC Referral and Screening | CRM | | The system shall provide the ability to historically search and report on case records based on status, user, client, owner, type, date/time, or any other case record fields as designed during the workflow generation. | Priority 1 | Proposed | | | | | | | | | | | | |
| 333 | Functional | CARES Assessment | CARES Follow-Up, CARES Staffing, ADRC Referral and Screening | CRM | | The system shall provide the ability for users to search, view and sort workload at based on a combination of case, follow-up, calendar event and task status within a date/time range assigned to them. | Priority 1 | Proposed | | | | | | | | | | | | |
| 334 | Functional | CARES Assessment | CARES Follow-Up, CARES Staffing, ADRC Referral and Screening | CRM | | The system shall provide the ability for a supervisor or proxy to the user to monitor and sort, in real time, workload for a user or group of users as defined by role categories. | Priority 1 | Proposed | | | | | | | | | | | | |
| 335 | Functional | CARES Assessment | CARES Follow-Up, CARES Staffing, ADRC Referral and Screening | Search And Navigation | | The system shall enable searching for cases by a user-specified date range on open, close, modify date fields, as well as by status, category and case owner. | Priority 2 | Proposed | | | | | | | | | | | | |
| 336 | Functional | CARES Assessment | CARES LOC, Rec Placement, Staffing | Database Architecture | | The system shall allow for the ability to generate and update a client's record with a medications list from an internal or external database (e.g., this should be a searchable nodelist). | Priority 1 | Proposed | | | | | | | | | | | | |
| 338 | Functional | CARES Assessment | | Application Functionality | | The system shall provide users with a 701T Assessment screen allowing authorized users to enter data as an on-site assessment is being conducted. This form should be available in offline mode and on mobile devices. This form contains a subset of fields available on the 701B Comprehensive Assessment. An example of the 701T Assessment screen fields in the current CIRT system is shown on page(s) 81 - 83 of the CIRTs_User_Guide_for_CARES 2013.pdf. | Priority 1 | Proposed | | | | | | | | | | | | |
| 339 | Functional | CARES Assessment | | Correspondence & Forms | | The system shall allow authorized users to upload assessment data to the system utilizing standardized formats (e.g., CSV, ANSI 837, PDF) without direct access to client data. | Priority 1 | Proposed | | | | | | | | | | | | |
| 340 | Functional | CARES Assessment | | Events And Scheduling | | The system shall have the ability to display a graphical representation of the destination area, when viewing a scheduled appointment. | Priority 1 | Proposed | | | | | | | | | | | | |
| 341 | Functional | CARES Assessment | | Interfaces And Interoperability | | The system shall provide the ability to create a GPS based travel route from a list of addresses. | Priority 2 | Proposed | | | | | | | | | | | | |
| 342 | Functional | CARES Assessment | | Interfaces And Interoperability | | The system shall allow for GIS-based grouping of search results with a filter of travel distance and/or ZIP Code area(s). | Priority 1 | Proposed | | | | | | | | | | | | |
| 343 | Functional | CARES Assessment | | Workflow | | The system shall provide the ability to easily access associated functionality of workflows and their screens from a centralized dashboard. | Priority 1 | Proposed | | | | | | | | | | | | |
| 344 | Functional | CARES Follow-Up | ADRC Intake/Screening, CARES Intake and ADRC I&R | Application Functionality | | The system shall provide users with a Follow-up screen displaying past and current follow-ups and allowing authorized users to add new ad hoc follow-ups or modify a client's current follow-up. This screen should include at a minimum the follow-up schedule date, follow-up type, performer of the follow-up, follow-up status, completed date, and PSA. An example of the Follow-up screen fields in the current CIRT system is shown on page(s) 108 - 115 of the CIRTs_User_Guide_for_CARES 2013.pdf. | Priority 1 | Proposed | | | | | | | | | | | | |
| 345 | Functional | CARES Follow-Up | CARES Intake and ADRC I&R, ADRC Intake/Screening, CARES Assessment | Business Rules Engine | | The system shall provide a capability to notify the user in a preconfigured number of days when no response has been received from a third party. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 346 | Functional | CARES Follow-Up | CARES Intake and ADRC I&R, ADRC Intake/Screening, CARES Assessment, CARES LOC, Rec Placement, Staffing | Business Rules Engine | | The system shall enable scheduling, assigning, and tracking of tasks based on business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 347 | Functional | CARES Follow-Up | CARES Intake and ADRC I&R, ADRC Intake/Screening, CARES Assessment, CARES LOC, Rec Placement, Staffing, Complaint Process, Case Record Review Tool, PASRR | Correspondence & Forms | | The system shall allow for direct email from the system to recipients selected by workflow actions or a user action. | Priority 1 | Proposed | | | | | | | | | | | | |
| 348 | Functional | CARES Follow-Up | | Correspondence & Forms | | The system shall provide the ability to generate correspondence and populate appropriate fields with data from the database record. | Priority 1 | Proposed | | | | | | | | | | | | |

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|--------|------------|---------------------------|--|---------------------------|-------------|--|--------------|-------------|-----------------|--------|------------|---------|----------------|--------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 349 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening | Application Functionality | | The system shall provide users with an EHEAP Application screen providing the ability to initiate, enter data, and track the eligibility and associated data with a client's EHEAP application. An example of the EHEAP Application Screen in the current CIRT application can be found in the EHEAP Applications Screen Example.docx. | Priority 1 | Proposed | | | | | | | | | | | | |
| 350 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening | Business Rules Engine | | The system shall display fields related to referral data entry if the case type is marked as referral during or after intake. An example of the Referral fields in the current CIRT system is shown on page(s) 104 -107 of the CIRT_User_Guide_for_CARES 2013.pdf | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 351 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment | Database Architecture | | The system shall enable users to enter, view, edit and convert all measurements in either Metric or U.S. Customary units, storing both values in the record according to business rules. | Priority 2 | Proposed | | | | | | | 430.2053 | | | | | |
| 352 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment | Database Architecture | | System shall allow the ability to merge client records and provider records such that the system will display conflicting data and allow the user to choose the correct data prior to merging the records in the instance of duplication. | Priority 1 | Proposed | | | | | | | | | | | | |
| 353 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, CARES Follow-Up | Correspondence & Forms | | The system shall enable sending email notifications to clients whose preferred method of notification is electronic. | Priority 1 | Proposed | | | | | | | | | | | | |
| 354 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, CARES Follow-Up | CRM | | The system shall allow for contact records to be linked to client record(s).An example of the Additional Contacts screen in the current CIRT system is shown on page(s) 22 - 23 of the CIRT_User_Guide_for_CARES 2013.pdf. | Priority 1 | Proposed | | | | | | | | | | | | |
| 355 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, CARES Follow-Up | CRM | | The system shall allow for the creation of a primary and secondary contact for a client. | Priority 1 | Proposed | | | | | | | | | | | | |
| 356 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, CARES Follow-Up | CRM | | The system shall allow for only one primary contact to be selected for each client record. | Priority 1 | Proposed | | | | | | | | | | | | |
| 357 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, CARES Follow-Up, CARES LOC, Rec Placement, Staffing | Business Rules Engine | | The system shall provide a capability to maintain a configurable timeframe to perform workflow process actions. | Priority 1 | Proposed | | | | | | | | | | | | |
| 358 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, CARES Follow-Up, CARES LOC, Rec Placement, Staffing | CRM | | The system shall allow an optional date range to be applied to the client record address field(s). | Priority 2 | Proposed | | | | | | | | | | | | |
| 359 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, CARES Follow-Up, CARES LOC, Rec Placement, Staffing, Lead Agency Assessment & Care Plan, Monitoring | Events And Scheduling | | The system shall provide the ability to maintain user-defined calendars for staff. | Priority 1 | Proposed | | | | | | | | | | | | |
| 360 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, CARES Follow-Up, CARES LOC, Rec Placement, Staffing, Lead Agency Assessment & Care Plan, Monitoring | Events And Scheduling | | The system shall provide authorized users with the ability to share, view and modify other users' calendars as allowed by their role. | Priority 1 | Proposed | | | | | | | | | | | | |
| 361 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, CARES Follow-Up, CARES LOC, Rec Placement, Staffing, Lead Agency Assessment & Care Plan, Monitoring | Events And Scheduling | | The system shall provide the ability to generate appointment confirmation notifications. | Priority 1 | Proposed | | | | | | | | | | | | |
| 362 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, CARES Follow-Up, CARES LOC, Rec Placement, Staffing, Lead Agency Assessment & Care Plan, Monitoring | Events And Scheduling | | The system shall have the capability to provide scheduling/availability requirements such as allotted hours or minutes for scheduling of tasks, events, follow-ups (e.g., default amount of time to place on a calendar when scheduling assessments, screenings, monitoring, etc.). | Priority 1 | Proposed | | | | | | | | | | | | |

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| 363 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, CARES Follow-Up, CARES LOC, Rec Placement, Staffing, Lead Agency Assessment & Care Plan, Monitoring | Events And Scheduling | | The system shall allow for the scheduling of appointments, events and tasks. | Priority 1 | Proposed | | | | | | | | | | | | |
| 364 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, CARES Follow-Up, Lead Agency Assessment & Care Plan | Correspondence & Forms | | The system shall enable authorized users to update client contact information. | Priority 1 | Proposed | | | | | | | | | | | | |
| 365 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, CARES Follow-Up, Monitoring | Events And Scheduling | | The system shall provide the ability to associate comments with the scheduled events. | Priority 1 | Proposed | | | | | | | | | | | | |
| 366 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, CARES LOC, Rec Placement, Staffing, Document Upload | Integrated Imaging | | The system shall provide the ability to manually associate correspondence to the appropriate case, client, or provider file. | Priority 1 | Proposed | | | | | | | | | | | | |
| 367 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, Lead Agency Assessment & Care Plan | Business Rules Engine | | The system shall enable an authorized user to create case types, case process workflows, and modify existing case types to reflect business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 368 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, Lead Agency Assessment & Care Plan | Business Rules Engine | | The system shall enable an authorized user to configure the process for each case type per business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 369 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, Lead Agency Assessment & Care Plan | Business Rules Engine | | The system shall allow the user to edit, modify, change data within a data entry screen until the completion has been indicated by the user or by established business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 370 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, Lead Agency Assessment & Care Plan | Correspondence & Forms | | The system shall allow the ability to record if an attempted contact with a client was successful or unsuccessful and store in contact history. | Priority 1 | Proposed | | | | | | | | | | | | |
| 371 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, Lead Agency Assessment & Care Plan, CARES Follow-Up | Business Rules Engine | | The system shall allow the user to set the priority status of a case, task or calendar event as high or low independent of the automated process workflow. | Priority 1 | Proposed | | | | | | | | | | | | |
| 372 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, Lead Agency Assessment & Care Plan, CARES Follow-Up, Monitoring | Development And Support Services | | The system shall provide the option to configure notifications to users upon appointment changes in the system. | Priority 1 | Proposed | | | | | | | | | | | | |
| 373 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, Lead Agency Assessment & Care Plan, CARES Follow-Up, Monitoring, CARES LOC, Rec Placement, Staffing | Events And Scheduling | | The system shall allow for authorized users to schedule appointments on their own calendar as well as other users' calendars as defined by their role. | Priority 1 | Proposed | | | | | | | | | | | | |
| 374 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, Lead Agency Assessment & Care Plan, CARES LOC, Rec Placement, Staffing, Monitoring | Database Architecture | | The system shall enable users to perform spell check on free form text fields against a custom dictionary. | Priority 1 | Proposed | | | | | | | | | | | | |
| 375 | Functional | CARES Intake and ADRC I&R | ADRC Intake/Screening, CARES Assessment, Reporting | Search And Navigation | | The system shall provide the user with the total number of records found and total number of unduplicated records found matching the user's query. | Priority 2 | Proposed | | | | | | | | | | | | |
| 376 | Functional | CARES Intake and ADRC I&R | CARES Assessment, ADRC Intake/Screening, CARES Follow-Up, CARES LOC, Rec Placement, Staffing | CRM | | The Client Screen should display a link to documents related to the client record (e.g., 3008, 701A, LOC, etc.). | Priority 1 | Proposed | | | | | | | | | | | | |
| 377 | Functional | CARES Intake and ADRC I&R | CARES Assessment, ADRC Intake/Screening, CARES Follow-Up, CARES LOC, Rec Placement, Staffing | Record Management And Audit | | The system shall provide the ability to update client demographic data based on defined roles within the system. | Priority 1 | Proposed | | | | | | | | | | | | |
| 378 | Functional | CARES Intake and ADRC I&R | CARES Assessment, ADRC Intake/Screening, CARES Follow-Up, CARES LOC, Rec Placement, Staffing, Complaint Process | Correspondence & Forms | | The system shall allow for contact history to be captured as a contact history note with a status set for successful and unsuccessful client contact attempts. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |

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|--------|------------|----------------------------|--|---------------------------|-------------|--|--------------|-------------|-----------------|--------|------------|---------|----------------|--------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 379 | Functional | CARES Intake and ADCRC I&R | CARES Assessment, ADCRC Intake/Screening, CARES Follow-Up, CARES LOC, Rec Placement, Staffing, Complaint Process | CRM | | The system shall provide the ability to consolidate and record all contact activity associated with a client. | Priority 1 | Proposed | | | | | | | | | | | | |
| 380 | Functional | CARES Intake and ADCRC I&R | CARES Assessment, ADCRC Intake/Screening, CARES Follow-Up, CARES LOC, Rec Placement, Staffing, Complaint Process | CRM | | The system shall provide the ability to add notes from a standard call record template of predefined notes. | Priority 1 | Proposed | | | | | | | | | | | | |
| 381 | Functional | CARES Intake and ADCRC I&R | CARES Assessment, ADCRC Intake/Screening, CARES Follow-Up, CARES LOC, Rec Placement, Staffing, Complaint Process | CRM | | The system shall provide the ability to edit note texts selected from the standard call record template of predefined notes. | Priority 1 | Proposed | | | | | | | | | | | | |
| 382 | Functional | CARES Intake and ADCRC I&R | CARES Assessment, ADCRC Intake/Screening, CARES Follow-Up, CARES LOC, Rec Placement, Staffing, Complaint Process | CRM | | The system shall support assignment of status to a call record. | Priority 1 | Proposed | | | | | | | | | | | | |
| 383 | Functional | CARES Intake and ADCRC I&R | CARES Assessment, ADCRC Intake/Screening, CARES Follow-Up, CARES LOC, Rec Placement, Staffing, Complaint Process | CRM | | The system shall support assignment of due date and time. | Priority 1 | Proposed | | | | | | | | | | | | |
| 384 | Functional | CARES Intake and ADCRC I&R | CARES Assessment, ADCRC Intake/Screening, CARES Follow-Up, CARES LOC, Rec Placement, Staffing, Complaint Process | CRM | | The system shall provide the ability to manually assign a call record to a specific user. | Priority 1 | Proposed | | | | | | | | | | | | |
| 385 | Functional | CARES Intake and ADCRC I&R | CARES Assessment, ADCRC Intake/Screening, CARES Follow-Up, CARES LOC, Rec Placement, Staffing, Complaint Process | CRM | | The system shall support the ability to link a call record to a client case which is in an open status. | Priority 1 | Proposed | | | | | | | | | | | | |
| 386 | Functional | CARES Intake and ADCRC I&R | CARES Assessment, ADCRC Intake/Screening, Lead Agency Assessment & Care Plan | Correspondence & Forms | Assessment | The system shall allow for a form to be completed and marked as a record (e.g., PDF form provided by external entities such as AHCA or internal DOEA PDF forms). | Priority 1 | Proposed | | | | | | | | | | | | |
| 387 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | Application Functionality | | The system shall provide the ability to mark a service or resource for publishing on a publicly accessible web page. | Priority 1 | Proposed | | | | | | | | | | | | |
| 388 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | Application Functionality | | The system shall provide the ability to search the taxonomy by code and keyword. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 389 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | Application Functionality | | The system shall provide authorized users a data entry screen to add, modify and set inactive taxonomy terms and hierarchy levels. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 390 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | Application Functionality | | The system shall provide authorized users a data entry screen to add, modify and remove resource and service data for an Agency. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 391 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | Application Functionality | | The system shall provide the ability to mark an address of an agency as Confidential and prevent the publishing of the agency address on the public facing website. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 392 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | Application Functionality | | The system shall provide the ability to mark a service or resource as a priority record forcing it to appear in the top of search results. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 393 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | Application Functionality | | The system shall provide authorized users a data entry screen to add, modify and remove resource and service data for a Site, capturing service delivery details for an Agency. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 394 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | Application Functionality | | The system shall provide authorized users a data entry screen to add, modify and remove resource and service data for Services. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 395 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | Application Functionality | | The system shall provide the ability to group services such that they can be reused for multiple agencies offering the same services. (e.g., Homeless Services: shelter, clothing, showers) | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 396 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | Application Functionality | | The system shall provide authorized users a data entry screen to populate common use terms not contained in the taxonomy as searchable keywords (e.g., searching for the term "toothpaste" displays the taxonomy term "Grooming Supplies") | Priority 2 | Proposed | | | | | | | 430.2053 | | | | | |
| 397 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | Application Functionality | | The system shall provide the ability to set parameters for service sites based on age and gender. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 398 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | CRM | | The system shall provide a unique identifier for client and provider records as they are created. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 399 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | CRM | | The system shall allow modifying client and provider information according to business rules. | Priority 1 | Proposed | | | | | | | | | | | | |

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| 400 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | CRM | | The system shall validate US Postal Service format for addresses (including foreign addresses) contained in system records. | Priority 2 | Proposed | | | | | | | | | | | | |
| 401 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | Database Architecture | | The system shall provide a user-selectable list for the user to choose from if one ZIP Code represents multiple counties, cities, or towns. County and city fields should auto-populate based on ZIP Code input and allow user override. | Priority 1 | Proposed | | | | | | | | | | | | |
| 402 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | Search And Navigation | | The system shall copy search data to a subsequent user-initiated new client form if the system returns an empty or invalid search result. | Priority 2 | Proposed | | | | | | | | | | | | |
| 403 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | Search And Navigation | | The system shall enable an authorized user to search records by entering full or partial matches to key attributes. | Priority 1 | Proposed | | | | | | | | | | | | |
| 404 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management | Search And Navigation | | The system shall allow navigation between related functionality without re-entering the original search criteria (e.g., selecting a client record from a search results screen and subsequently closing the record should allow the user to return to the original search results screen). | Priority 2 | Proposed | | | | | | | | | | | | |
| 405 | Functional | CARES Intake and ADCRC I&R | Provider and Contract Management, Lead Agency Assessment & Care Plan | Application Functionality | | The system shall provide authorized users the ability to add, modify and disable provider accounts and associated data such as provider name, type, county, PSA and services or referrals available. | Priority 1 | Proposed | | | | | | | | | | | | |
| 406 | Functional | CARES Intake and ADCRC I&R | | Application Functionality | | The system shall provide automated notification of Medicaid Waiver Waitlist release based on established business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 407 | Functional | CARES Intake and ADCRC I&R | | Application Functionality | | The system shall provide the ability for clients to view in read-only mode, without identifying PHI, their waitlist status. | Priority 1 | Proposed | | | | | | | | | | | | |
| 408 | Functional | CARES Intake and ADCRC I&R | | Business Rules Engine | | The system shall allow for users to open multiple referral cases for a client. | Priority 1 | Proposed | | | | | | | | | | | | |
| 409 | Functional | CARES Intake and ADCRC I&R | | Business Rules Engine | | The system shall provide a capability for a system administrator to define client intake requirements. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 410 | Functional | CARES Intake and ADCRC I&R | | Business Rules Engine | | The system shall perform a match on existing client records when a new client is created. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 411 | Functional | CARES Intake and ADCRC I&R | | CRM | | The system shall provide the ability to capture demographic information for a client (see CIRTS_User_Guide_for_CARES_2013.pdf attached to this document for field and screen examples). | Priority 1 | Proposed | | | | | | | | | | | | |
| 412 | Functional | CARES Intake and ADCRC I&R | | CRM | | The system shall provide the ability to define the preferred method of communication for a provider and client record. | Priority 1 | Proposed | | | | | | | | | | | | |
| 413 | Functional | CARES Intake and ADCRC I&R | | CRM | | The system shall allow multiple addresses and address types to be associated with a record. | Priority 1 | Proposed | | | | | | | | | | | | |
| 414 | Functional | CARES Intake and ADCRC I&R | | CRM | | The system shall have the capability to display similarly spelled names or phonetically similar names and other pertinent demographic data for selection to prevent the same entity from duplicate entries (e.g., Rick Smith and Ricky Smith, or transposed numbers within a SSN). | Priority 2 | Proposed | | | | | | | | | | | | |
| 415 | Functional | CARES Intake and ADCRC I&R | | CRM | | The system shall display the fields required for data capture when the client record is set as anonymous during record creation. | Priority 2 | Proposed | | | | | | | | | | | | |
| 416 | Functional | CARES Intake and ADCRC I&R | | Database Architecture | | The system shall provide authorized users the ability to build a well defined taxonomy or to import a licensed taxonomy (e.g., www.211taxonomy.org). | Priority 1 | Proposed | | | | | | | | | | | | |
| 417 | Functional | CARES Intake and ADCRC I&R | | Search And Navigation | | The system shall allow for a keyword search of services available based on service area, county, city, or ZIP Code and to further refine the search results based on established filters. | Priority 1 | Proposed | | | | | | | | | | | | |
| 418 | Functional | CARES Intake and ADCRC I&R | | Search And Navigation | | The system shall provide the functionality to search for a provider using nearest location by city, county, ZIP code, PSA or provider name. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 419 | Functional | CARES Intake and ADCRC I&R | | Search And Navigation | | The system shall allow for the user to conduct a search for services and resources offered by the provider and add them to a client record. | Priority 1 | Proposed | | | | | | | | | | | | |
| 420 | Functional | CARES Intake and ADCRC I&R | | Security | | The system shall provide the ability for an authorized user to assign a case to a PSA in which the user is not assigned. | Priority 1 | Proposed | | | | | | | | | | | | |
| 421 | Functional | CARES LOC, Rec Placement, Staffing | ADRC Intake/Screening, CARES Assessment | Correspondence & Forms | Case Management | User should be able to select multiple data types from a client screen to form a printable summary document (e.g., medication list, Activities of Daily Living, LOC Recommendation). | Priority 1 | Proposed | | | | | | | | | | | | |

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| 422 | Functional | CARES LOC, Rec Placement, Staffing | CARES Assessment | Application Functionality | | The system shall display a message to the user "The PASRR data has not been entered." if a placement recommendation is nursing home (NUHO) or temporary nursing home (NHTP) and the PASRR data has not been entered for the client's Staffing. The system shall display the PASRR Screen, allow entry of the data and when complete, the system shall navigate the user back to the Staffing Screen. | Priority 2 | Proposed | | | | | | | | | | | | |
| 423 | Functional | CARES LOC, Rec Placement, Staffing | CARES Assessment | Application Functionality | | The system shall provide users with a Medical Case File Review screen allowing authorized users to enter data as a desk review of client files is being conducted. This form contains a subset of fields available on the 701B Comprehensive Assessment and does not display a priority or rank score. An example of the Medical Case File Review screen fields in the current CIRTS system is shown on page(s) 83 - 84 of the CIRTS_User_Guide_for_CARES 2013.pdf. | Priority 1 | Proposed | | | | | | | | | | | | |
| 424 | Functional | CARES LOC, Rec Placement, Staffing | CARES Assessment | Business Rules Engine | | The system shall display a list of choices using a drop-down list for a client's program recommendation determinate on the value entered in the placement recommendation field when entering data into the Staffing Screen. | Priority 1 | Proposed | | | | | | | | | | | | |
| 425 | Functional | CARES LOC, Rec Placement, Staffing | Monitoring | Record Management And Audit | | The system shall allow for a well defined set of records to be bundled together for ease of review based on document type (e.g., Staffing Plan and Monitoring Plans). | Priority 1 | Proposed | | | | | | | | | | | | |
| 426 | Functional | CARES LOC, Rec Placement, Staffing | | Application Functionality | | The system shall provide users with a Staffing screen displaying past and current screening requests and allowing authorized users to add new a new staffing or modify a client's current staffing data. This screen should include at a minimum the staffing date, Level of Care, LOC Date, Placement and Program Recommendations and the PSA. An example of the Staffing screen fields in the current CIRTS system is shown on page(s) 94 - 102 of the CIRTS_User_Guide_for_CARES 2013.pdf. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | | | | | | | |
| 427 | Functional | CARES LOC, Rec Placement, Staffing | | Application Functionality | | The system shall provide users with the ability to add new staffing data for a client from the Staffing Screen. | Priority 1 | Proposed | | | | | | Chapter 74-2, F.A.C. | | | | | | |
| 428 | Functional | CARES LOC, Rec Placement, Staffing | | Application Functionality | | The system shall provide the ability for authorized users to initiate the generation of a standard DOEA-CARES Form 603 with fields automatically populated from the client demographic data according to business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 429 | Functional | CARES LOC, Rec Placement, Staffing | | Application Functionality | | The system shall provide a standardized summary of client data required for staffing a client from a variety of pre-determined sources (e.g., medications list and Activities of Daily Living from assessment, LOC recommendations from the 603 and 610 forms). | Priority 1 | Proposed | | | | | | | | | | | | |
| 430 | Functional | CARES LOC, Rec Placement, Staffing | | Business Rules Engine | | The system shall allow for the ability to collect data and report on clients with authorized Level of Care (LOC) forms that have been sent to the Enrollment Broker for SMMC LTC. | Priority 1 | Proposed | | | | | | | | | | | | |
| 431 | Functional | CARES LOC, Rec Placement, Staffing | | Business Rules Engine | | The system shall provide the ability to indicate the client enrollment status in SMMC LTC after the eligibility process is complete. | Priority 1 | Proposed | | | | | | | | | | | | |
| 432 | Functional | CARES LOC, Rec Placement, Staffing | | Business Rules Engine | | The system shall display fields related to Nursing Home data entry on the Staffing Screen when the Living Arrangement field indicates Nursing Home (NUHO) and populate those fields from the Nursing Home data previously collected if it exists. | Priority 1 | Proposed | | | | | | | | | | | | |
| 433 | Functional | CARES LOC, Rec Placement, Staffing | | Correspondence & Forms | | The system shall provide the ability to populate the 2515 form with data collected during the Level of Care (LOC) data entry during the Staffing process. | Priority 1 | Proposed | | | | | | | | | | | | |
| 434 | Functional | CARES LOC, Rec Placement, Staffing | | Database Architecture | | The system shall enable batch processing for secure printing of documents categorized by type for the Staffing workflow. | Priority 1 | Proposed | | | | | | | | | | | | |
| 435 | Functional | CARES LOC, Rec Placement, Staffing | | Database Architecture | | The system shall provide the ability for administrators to build a decision tree for Level of Care (LOC) and Program Recommendation determined by combinations of recommended placement and considered programs. An example of the decision tree can be found in Appendix A of the Business Process and Definition Document. | Priority 1 | Proposed | | | | | | | | | | | | |
| 437 | Functional | CARES LOC, Rec Placement, Staffing | | Interfaces And Interoperability | | The system shall provide the ability to process requests made by DCF APS staff for APS ALF referral. | Priority 1 | Proposed | | | | | | | | | | | | |

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| 438 | Functional | CARES LOC, Rec Placement, Staffing | | Security | | The system shall provide users with the ability to add, modify and remove items from a picklist generated from documents associated with a client record to create a set of documents categorized for staffing review. | Priority 1 | Proposed | | | | | | | | | | | | |
| 439 | Functional | CARES LOC, Rec Placement, Staffing | | Workflow | | The system shall allow the initiation of the staffing workflow process when a Level of Care (LOC) request task is opened. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 440 | Functional | CARES LOC, Rec Placement, Staffing | | Workflow | | The system shall provide the ability to set notifications at pre-defined intervals of client enrollment in SMMC LTC after the eligibility process is complete if the enrollment process has not completed according to business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 441 | Functional | CARES LOC, Rec Placement, Staffing | | Workflow | | The system shall generate a No Level of Care Recommendation 610 Form data entry screen, populated with data from the client demographics data and allow it to be completed based on workflow and business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 442 | Functional | Complaint Process | | Application Functionality | | The system shall provide administrators the ability to create and modify a Complaint Log Screen customized per business unit and PSA within the business units. An example of a complaint log for ADRC and providers can be found in the 2016 Complaint Log.xlsx. | Priority 1 | Proposed | | | | | | | | | | | | |
| 443 | Functional | Complaint Process | | Application Functionality | | The system shall provide an SMMC LTC Complaint Screen which is linked to a client record. A client may have multiple complaints open at a time. At a minimum the screen should provide fields for the date of the complaint, relationship to the enrollee, plan name, complaint referred to and a description of the issue. An example of the SMMC LTC complaint log can be found in the SMMC LTC Complaint Log.docx. | Priority 1 | Proposed | | | | | | | | | | | | |
| 444 | Functional | Complaint Process | | Interfaces And Interoperability | | The system shall provide the ability to upload data directly to the ICSP database for SMMC LTC complaint tracking. | Priority 1 | Proposed | | | | | | | | | | | | |
| 445 | Functional | Complaint Process | | workflow | | The system shall enable users to submit a complaint and route per business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 446 | Functional | Document Upload | ADRC Intake/Screening, CARES Assessment | Security | | The system shall provide a capability to control access to documents using administrator-configurable security credentials. | Priority 2 | Proposed | | | | | | | | | | | | |
| 447 | Functional | Document Upload | External System Support | Development And Support Services | | The system shall provide the ability to report on interface transmissions (e.g., total number of records loaded, date of interface transmission, amount of time to execute the interface transmission, errors, and failures). | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 448 | Functional | Document Upload | External System Support | Integrated Imaging | | The system shall enable authorized users to upload electronic documents or files to system records. | Priority 1 | Proposed | | | | | | | | | | | | |
| 449 | Functional | Document Upload | External System Support | Interfaces And Interoperability | | The system shall provide the ability to support internal and external feeds of data using common available protocols. | Priority 3 | Proposed | | | | | | | | | | | | |
| 450 | Functional | Document Upload | External System Support | Interfaces And Interoperability | | The system shall provide the ability to transmit the exported data through multiple methods (e.g., SFTP, web service, single and batch transactional). | Priority 2 | Proposed | | | | | | | | | | | | |
| 451 | Functional | Document Upload | External System Support | Record Management And Audit | | The system shall allow for the upload of documents from an external mechanism directly into the document management system with a link to the associated client record. | Priority 1 | Proposed | | | | | | | | | | | | |
| 452 | Functional | Document Upload | | CRM | | The system shall provide the ability for a user to upload and link electronic documents to a record. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 453 | Functional | Document Upload | | Database Architecture | | The system shall enable an authorized user to define a maximum image file size according to business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 454 | Functional | Document Upload | | Database Architecture | | The system shall provide the ability to associate forms, documentation, and reports to specific types of notifications. | Priority 1 | Proposed | | | | | | | | | | | | |
| 455 | Functional | Document Upload | | Integrated Imaging | | The system shall provide the ability to associate an image of the envelope including postmark with the correspondence it contained. | Priority 1 | Proposed | | | | | | | | | | | | |
| 456 | Functional | Document Upload | | Workflow | | The system shall enable authorized users to access relevant documents that are associated with a workflow action. | Priority 1 | Proposed | | | | | | | | | | | | |

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| 457 | Functional | External System Support | CARES LOC, Rec Placement, Staffing | Interfaces And Interoperability | | The system shall have the ability to send electronically the LOC form to the following systems: Department of Children and Families' (DCF) ACCESS System, Enrollment Broker, Agency for Health Care Administration's (AHCA) HealthTrack, Agency for Health Care Administration's (AHCA) Florida Medicaid Management Information System (FMMIS). | Priority 1 | Proposed | | | | | | | | | | | | |
| 459 | Functional | External System Support | | Correspondence & Forms | | The system shall enable printing of documents, letters and other printed output on department-defined media. | Priority 1 | Proposed | | | | | | | | | | | | |
| 460 | Functional | External System Support | | Development And Support Services | | The system shall allow authorized users to develop import procedures so data from external entities can be used to update records. | Priority 1 | Proposed | | | | | | | | | | | | |
| 461 | Functional | External System Support | | Development And Support Services | | The system shall integrate with inbound and outbound email technology. | Priority 1 | Proposed | | | | | | | | | | | | |
| 462 | Functional | External System Support | | Development And Support Services | | The system shall provide integrated error and exception handling capabilities. | Priority 2 | Proposed | | | | | | | | | | | | |
| 463 | Functional | External System Support | | Integrated Imaging | | The system shall provide the ability to interface external document/check scanning software. | Priority 1 | Proposed | | | | | | | | | | | | |
| 464 | Functional | External System Support | | Integrated Imaging | | The system shall provide the ability to accept direct fax-to-image. | Priority 3 | Proposed | | | | | | | | | | | | |
| 465 | Functional | External System Support | | Integrated Imaging | | The system shall provide the ability to view multi-page (including double-sided) correspondence as one document. | Priority 2 | Proposed | | | | | | | | | | | | |
| 466 | Functional | External System Support | | Interfaces And Interoperability | | The system shall enable batch processing including parsing engines of ANSI 837, comma separated value (.csv) and text-based files. | Priority 1 | Proposed | | | | | | | | | | | | |
| 467 | Functional | External System Support | | Interfaces And Interoperability | | The system shall enable batch processing of uploaded, faxed or scanned data received from external sources using business rules to update case records and provide notifications to case owners of the event. | Priority 1 | Proposed | | | | | | | | | | | | |
| 468 | Functional | External System Support | | Interfaces And Interoperability | | The system shall have the ability to provide remote interfacing and interoperability with all remote offices and telecommuters. | Priority 1 | Proposed | | | | | | | | | | | | |
| 469 | Functional | External System Support | | Interfaces And Interoperability | | The system shall integrate with inbound and outbound landline fax and cloud fax (e.g., CenturyLink Cloud Fax) technology. | Priority 1 | Proposed | | | | | | | | | | | | |
| 470 | Functional | External System Support | | Interfaces And Interoperability | | The system shall provide the ability to integrate with third-party applications (e.g., address validation solutions, Master Data Management solutions, Microsoft Office, Adobe Acrobat, etc.). | Priority 1 | Proposed | | | | | | | | | | | | |
| 471 | Functional | External System Support | | Interfaces And Interoperability | | The system shall automatically import data received from the Department of Health's (DOH) Office of Vital Statistics. | Priority 1 | Proposed | | | | | | | | | | | | |
| 472 | Functional | External System Support | | Interfaces And Interoperability | | The system shall provide the ability to capture Adult Protective Services (APS) data to support referrals from APS to SMMC LTC programs and mandatory Federal reporting requirements. | Priority 1 | Proposed | | | | | | | | | | | | |
| 473 | Functional | External System Support | | Interfaces And Interoperability | | The system shall interface with the Agency for Health Care Administration's Florida Medicaid Management Information System (FMMIS). | Priority 1 | Proposed | | | | | | | | | | | | |
| 474 | Functional | Lead Agency Assessment & Care Plan | ADRC Intake/Screening | Application Functionality | | The system shall provide users with a 701C Assessment screen allowing authorized users to enter data as the assessment is being conducted. This form should be available in offline mode and on Wi-Fi/cellular connected mobile devices. This form contains a subset of fields available on the 701B Comprehensive Assessment. | Priority 1 | Proposed | | | | | | | | | | | | |
| 475 | Functional | Lead Agency Assessment & Care Plan | ADRC Intake/Screening | Application Functionality | | The system shall provide users with a 701A Assessment screen allowing authorized users to enter data as the assessment is being conducted. This form should be available in offline mode and on Wi-Fi/cellular connected mobile devices. This form contains a subset of fields available on the 701B Comprehensive Assessment. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 476 | Functional | Lead Agency Assessment & Care Plan | Service Billing Process | Application Functionality | | The system shall provide a Care Plan Screen for authorized users to view, modify and add data relevant to services requested by a client and services planned for delivery to the client. At a minimum, this screen should capture the date of request and start, program, unit, type of service, revised date, service provider and end date. | Priority 1 | Proposed | | | | | | | 430.2053 | | | | | |
| 477 | Functional | Lead Agency Assessment & Care Plan | Service Billing Process | Database Architecture | | The system shall provide the ability for authorized users to add ad hoc services to the database if it does not exist by providing a GUI data entry screen. | Priority 1 | Proposed | | | | | | | | | | | | |

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| 478 | Functional | Lead Agency Assessment & Care Plan | Service Billing Process | Database Architecture | | The system shall provide a warning to the user during the process of adding an ad hoc service if the add service request returns a partial or full match on an existing service and allow them to accept the change or choose an existing service. | Priority 1 | Proposed | | | | | | | | | | | | |
| 479 | Functional | Lead Agency Assessment & Care Plan | | Application Functionality | | The system shall allow the user to copy previous Care Plan form data into a new Care Plan data entry screen for editing during New Care Plan creation. | Priority 1 | Proposed | | | | | | | | | | | | |
| 480 | Functional | Lead Agency Assessment & Care Plan | | Application Functionality | | The system shall provide the user with an option to print, apply an electronic signature or transmit an electronic copy of the client's Care Plan at the time of completion. | Priority 1 | Proposed | | | | | | | | | | | | |
| 481 | Functional | Lead Agency Assessment & Care Plan | | Application Functionality | | The system shall provide the ability to add client based achievement goals and associated weighted outcome attributes taking into account the level of difficulty of expected attainment. | Priority 1 | Proposed | | | | | | | | | | | | |
| 482 | Functional | Lead Agency Assessment & Care Plan | | Business Rules Engine | | The system shall automatically generate a Care Plan creation alert with a due date according to business rules when a 701A or 701B assessment is completed. | Priority 1 | Proposed | | | | | | | | | | | | |
| 483 | Functional | Lead Agency Assessment & Care Plan | | CRM | | The system shall have the ability to create a Care Plan for a client assigned to a Lead Agency. Examples of the Care Plan screens and associated fields can be found in CIRTSM User_Guide_for_CARES 2013.pdf and CIRTSMManual4 76-2007 Aging Network.pdf. | Priority 1 | Proposed | | | | | | | | | | | | |
| 484 | Functional | Monitoring | Reporting | Reporting & Dashboard | | The system shall provide reports filtered by Monitoring exception type and associated provider for monitoring performance and analytics. | Priority 2 | Proposed | | | | | | | | | | | | |
| 485 | Functional | Monitoring | | Application Functionality | | The system shall provide a Monitoring Plan Screen allowing authorized users to create customized groups of documents from a checklist of templates categorized for monitoring. | Priority 2 | Proposed | | | | | | | 430.0401 | Annual report summarizing monitoring activities | | | | |
| 486 | Functional | Monitoring | | Application Functionality | | The system shall provide authorized users the ability to create and modify templates for the Preliminary Monitoring Report, Exit Summary and Final Monitoring Report data entry screens made available to monitoring process actions and selected ad hoc users for review and completion according to business rules. | Priority 2 | Proposed | | | | | | | 430.0401 | Annual report summarizing monitoring activities | | | | |
| 487 | Functional | Monitoring | | Application Functionality | | The system shall provide the ability to manage documents from a centralized location when associated with a Monitoring Plan. | Priority 2 | Proposed | | | | | | | 430.0401 | Annual report summarizing monitoring activities | | | | |
| 488 | Functional | Monitoring | | Application Functionality | | The system shall provide the authorized users with a Case Record Review Screen to capture quality assurance workflow actions during the case review process. | Priority 1 | Proposed | | | | | | | 430.0401 | Annual report summarizing monitoring activities | | | | |
| 489 | Functional | Monitoring | | Database Architecture | | The system shall provide the ability to create, modify and delete preconfigured exceptions and their attributes as defined in Monitoring business rules. | Priority 2 | Proposed | | | | | | | 430.0401 | Annual report summarizing monitoring activities | | | | |
| 490 | Functional | Monitoring | | Search And Navigation | | The system shall provide authorized users a Monitoring Screen displaying navigational links to resources critical to creating monitoring plans and initiating the monitoring process. | Priority 2 | Proposed | | | | | | | 430.0401 | Annual report summarizing monitoring activities | | | | |
| 491 | Functional | Monitoring | | Search And Navigation | | The system shall display the link to initiate monitoring plans from key navigation points within the system (e.g., if the user's role includes Monitor, it should appear on the Monitor's Home dashboard). | Priority 1 | Proposed | | | | | | | 430.0401 | Annual report summarizing monitoring activities | | | | |
| 492 | Functional | Monitoring | | Search And Navigation | | The system shall provide the ability for authorized users to search existing case record reviews. | Priority 1 | Proposed | | | | | | | 430.0401 | Annual report summarizing monitoring activities | | | | |
| 493 | Functional | Monitoring | | Security | | The system shall allow for the ability of authorized users to create Monitoring Plan(s) linked to users and groups of users of the system. (e.g., monitoring of assessors, screeners, providers and agencies). | Priority 2 | Proposed | | | | | | | 430.0401 | Annual report summarizing monitoring activities | | | | |
| 494 | Functional | Provider and Contract Management | Service Billing Process | Interfaces And Interoperability | | The system shall provide the ability to create a PDF representation of the provider's past or present contract budget. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | 430.0401 | Annual report summarizing monitoring activities | | | | |
| 495 | Functional | Provider and Contract Management | | Application Functionality | | The system shall provide users with a Contract screen displaying past and current contracts associated with the provider and allowing authorized users to add new contracts or modify existing contracts. This screen should include at a minimum the PSA, Program, service, provider, location, projected service units, begin and end dates of the contract. An example of the Contract screen fields in the current CIRTSM system is shown in Contract Budget Screen.docx. | Priority 1 | Proposed | | | | | | | | | | | | |
| 496 | Functional | Provider and Contract Management | | Application Functionality | | The system shall associate contract budgets files to the user's associated provider upon contract generation. | Priority 1 | Proposed | | | | | | | | | | | | |

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|--------|------------|----------------------------------|---|---------------------------------|-------------|--|--------------|-------------|-----------------|--------|------------|---------|---|--------------------------------------|-------------------|----------------------------|-----------------|---------|-----------------------|------------|
| 497 | Functional | Provider and Contract Management | | Application Functionality | | The system shall provide the ability for authorized users to override time captured while performing data entry. | Priority 1 | Proposed | | | | | | | | | | | | |
| 498 | Functional | Provider and Contract Management | | Business Rules Engine | | The system shall prompt the user to generate an amended contract budget as a PDF file if the current contract is modified. | Priority 1 | Proposed | | | | | | | | | | | | |
| 499 | Functional | Provider and Contract Management | | Workflow | | The system shall allow the user to initiate the system to copy previous Contract Budget data into a new Contract Budget data entry screen for editing during New Contract Budget creation. | Priority 1 | Proposed | | | | | | | | | | | | |
| 500 | Functional | Reporting | ADRC Intake/Screening | Search And Navigation | | The system shall provide data collection and reporting capabilities of clients released from the Medicaid Waiver Waitlist. An example of the report fields in the current CIRT system is shown on page 53 of the SMMC LTC EMS Procedures.doc | Priority 1 | Proposed | | | | | | | 409.979, 430.2053 | | | | | |
| 501 | Functional | Reporting | ADRC Intake/Screening, CARES Assessment, CARES Follow-Up, CARES Intake and ADRC I&R, CARES LOC, Rec Placement, Staffing, Lead Agency Assessment & Care Plan, Service Billing Process, Case Record Review Tool | Reporting & Dashboard | | The system shall include the capability of tracking an individual's productivity (e.g., number of times and time spent viewing, processing, and completing tasks). | Priority 1 | Proposed | | | | | | | | | | | | |
| 502 | Functional | Reporting | External System Support | Reporting & Dashboard | | The system shall provide the ability to save report results in various formats (e.g., Microsoft Word, ASCII files, Microsoft Excel, Text files (.txt), PDF format, HTML, XML). | Priority 1 | Proposed | | | | | | | | | | | | |
| 503 | Functional | Reporting | External System Support | Reporting & Dashboard | | The system shall enable authorized users to generate ad hoc reports using generalized selection and sort criteria and to specify the output file format (including but not limited to Microsoft Office) and save the file to a user-specified location. | Priority 1 | Proposed | | | | | | | | | | | | |
| 504 | Functional | Reporting | External System Support | Reporting & Dashboard | | The system shall provide the ability to direct reports to multiple outputs including email, screen, printer, and file. | Priority 1 | Proposed | | | | | | | | | | | | |
| 505 | Functional | Reporting | System Administration | Reporting & Dashboard | | The system shall allow the system administrator to set reporting performance thresholds that provide notification to the administrator. | Priority 1 | Proposed | | | | | | | | | | | | |
| 506 | Functional | Reporting | System Administration | Reporting & Dashboard | | The system shall allow the user or authorized administrator to delete user-created reports as permitted by business rules and user roles. | Priority 2 | Proposed | | | | | | | | | | | | |
| 507 | Functional | Reporting | | Correspondence & Forms | | The system shall allow for non-technical users to create extracts of data (according to business rules) in comma separated value (.csv) and other standard formats for uses such as transmitting to external entities and direct mailings. | Priority 2 | Proposed | | | | | | | | | | | | |
| 508 | Functional | Reporting | | Correspondence & Forms | | The system shall enable authorized users to modify the parameters, layout, and structure of reports, letters and notices. | Priority 2 | Proposed | | | | | | | | | | | | |
| 509 | Functional | Reporting | | Interfaces And Interoperability | | The system shall provide the ability to generate and execute scripts to import and export data in multiple formats. | Priority 2 | Proposed | | | | | | | | | | | | |
| 510 | Functional | Reporting | | Record Management And Audit | | System shall create audit history of time spent in all client-based screens, even when in offline or mobile mode. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 511 | Functional | Reporting | | Reporting & Dashboard | | The system shall allow for the ability to build and run the "Waiver Release Report" to support Enrollment Management System (EMS) Waitlist tracking. | Priority 1 | Proposed | | | | | | | | | | | | |
| 512 | Functional | Reporting | | Reporting & Dashboard | | The system shall enable authorized users to generate reports in user selected types, including: Hypertext Markup Language (.html), Adobe Acrobat Portable Document Format (.pdf), Microsoft Word (.doc), Rich Text Format (.rtf), Comma Separated Value (.csv), Tab Delimited Value, Microsoft Excel Spreadsheet format (.xls). Data exported to Comma Delimited, Tab Delimited, and Microsoft Excel Spreadsheet files shall preserve each unique field. | Priority 2 | Proposed | | | | | | | | | | | | |
| 513 | Functional | Reporting | | Reporting & Dashboard | | The system shall enable authorized users to save selected report views for future use by individual users or multiple users. | Priority 2 | Proposed | | | | | | | | | | | | |
| 514 | Functional | Reporting | | Reporting & Dashboard | | The system shall enable authorized users to generate and distribute reports accessing user-selected data fields based on events, workflow milestones, or predefined data thresholds. | Priority 1 | Proposed | | | | | | | | | | | | |
| 515 | Functional | Reporting | | Reporting & Dashboard | | The system shall allow for data analysis through dashboard style reporting. | Priority 1 | Proposed | | | | | | | | | | | | |

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|--------|------------|-----------------------|---------------------------------------|-----------------------|-------------|--|--------------|-------------|-----------------|--------|------------|---------|----------------|--------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 516 | Functional | Reporting | | Reporting & Dashboard | | The system shall allow for the ability to design and generate reports. | Priority 2 | Proposed | | | | | | | | | | | | |
| 517 | Functional | Reporting | | Reporting & Dashboard | | The system shall allow for the ability to interactively manipulate the form data to generate graphical analysis charts. | Priority 2 | Proposed | | | | | | | | | | | | |
| 518 | Functional | Reporting | | Reporting & Dashboard | | The system shall allow for the user to build their own reports through an easy-to-use graphical interface. | Priority 1 | Proposed | | | | | | | | | | | | |
| 519 | Functional | Reporting | | Reporting & Dashboard | | The system shall allow for single-click user-based reporting of current items within their work queue and the due dates associated with them. | Priority 1 | Proposed | | | | | | | | | | | | |
| 520 | Functional | Reporting | | Reporting & Dashboard | | The system dashboards shall be customizable to the role of the user. | Priority 1 | Proposed | | | | | | | | | | | | |
| 521 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to view pre-existing reports according to the role of the user. | Priority 1 | Proposed | | | | | | | | | | | | |
| 522 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide a dashboard management tool to track user configured outcome performance measurements. | Priority 1 | Proposed | | | | | | | | | | | | |
| 523 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to report on current status of workflow items (e.g., listing by tasks and location in workflow, listing by authorized user of all assigned tasks, listing of tasks and current status, listing of tasks by type). | Priority 1 | Proposed | | | | | | | | | | | | |
| 524 | Functional | Reporting | | Reporting & Dashboard | | The system shall generate and display management dashboards for reporting performance metrics and statistics (key performance indicators, business unit goals, and business and trend reporting or analysis). | Priority 1 | Proposed | | | | | | | | | | | | |
| 525 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to meet federal and state level mandated data reporting, (e.g., NAPIS). | Priority 1 | Proposed | | | | | | | | | | | | |
| 526 | Functional | Reporting | | Reporting & Dashboard | | The system shall enable reporting of case types (clients, applicants, entities, facilities, organizations, companies, businesses, etc.). | Priority 1 | Proposed | | | | | | | | | | | | |
| 527 | Functional | Reporting | | Reporting & Dashboard | | The system shall enable the generation of reports identified as time-sensitive to run using real-time data within acceptable performance impact. Other reports not deemed time-sensitive can run using near real-time data. | Priority 1 | Proposed | | | | | | | | | | | | |
| 528 | Functional | Reporting | | Reporting & Dashboard | | The system shall enable authorized users to distribute reports in a variety of formats per business rules. | Priority 2 | Proposed | | | | | | | | | | | | |
| 529 | Functional | Reporting | | Reporting & Dashboard | | The system shall enable spell-checking of reports, letters, notices, and other correspondence. | Priority 1 | Proposed | | | | | | | | | | | | |
| 530 | Functional | Reporting | | Reporting & Dashboard | | The system shall enable authorized users to retrieve ad hoc report definitions previously saved. | Priority 2 | Proposed | | | | | | | | | | | | |
| 531 | Functional | Reporting | | Reporting & Dashboard | | The system shall enable sharing ad hoc report definitions across business units according to business rules. | Priority 3 | Proposed | | | | | | | | | | | | |
| 532 | Functional | Reporting | | Reporting & Dashboard | | The system shall enable authorized users to view and modify reports before saving or printing (print preview). | Priority 2 | Proposed | | | | | | | | | | | | |
| 533 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to include the name of the report, the date generated, and the page number on each page of a report. | Priority 2 | Proposed | | | | | | | | | | | | |
| 534 | Functional | Reporting | | Reporting & Dashboard | | The system shall automatically generate predefined reports according to automated workflows. | Priority 1 | Proposed | | | | | | | | | | | | |
| 535 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to report on any data element in the system. | Priority 2 | Proposed | | | | | | | | | | | | |
| 536 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to guide the user step-by-step through report creation. | Priority 2 | Proposed | | | | | | | | | | | | |
| 537 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to include run-time parameters for ad hoc reports. | Priority 2 | Proposed | | | | | | | | | | | | |
| 538 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to report by calendar year, federal fiscal year, and state fiscal year periods. | Priority 1 | Proposed | | | | | | | | | | | | |
| 539 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability for year-to-year, month-to-month, period-to-period, year-to-date and life-to-date comparisons on reports. | Priority 1 | Proposed | | | | | | | | | | | | |
| 540 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to create reports with defined calculations. | Priority 2 | Proposed | | | | | | | | | | | | |
| 541 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to generate reports that include user-designed graphs and charts (e.g., organizational charts, line graphs, bar charts, pie charts, Gantt charts, regression lines, etc.). | Priority 3 | Proposed | | | | | | | | | | | | |
| 542 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to categorize user-defined reports by user-defined categories. | Priority 2 | Proposed | | | | | | | | | | | | |
| 543 | Functional | Reporting | | Reporting & Dashboard | | The system shall allow ad hoc report/query definitions to be stored in shared libraries for use by other users. | Priority 2 | Proposed | | | | | | | | | | | | |

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|--------|------------|-------------------------|---------------------------------------|---------------------------------|-------------|---|--------------|-------------|-----------------|--------|------------|---------|--|--------------------------------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 544 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability for processing reports in batch. | Priority 1 | Proposed | | | | | | | | | | | | |
| 545 | Functional | Reporting | | Reporting & Dashboard | | The system shall execute reports in the background and allow users to continue working within other screens as the report is running. | Priority 1 | Proposed | | | | | | | | | | | | |
| 546 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to define control breaks and number of lines per page limits. | Priority 2 | Proposed | | | | | | | | | | | | |
| 547 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to print a range of pages. | Priority 2 | Proposed | | | | | | | | | | | | |
| 548 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to route reports to various network printers as defined by an authorized user. | Priority 3 | Proposed | | | | | | | | | | | | |
| 549 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to specify the number of copies of the report to be printed. | Priority 3 | Proposed | | | | | | | | | | | | |
| 550 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide authorized users the means of specifying form of output and distribution for reports (e.g., distribute to named users through email, print at local printer, print at remote printer, fax, distribute as data file through specified medium of transmission, email, etc.). | Priority 2 | Proposed | | | | | | | | | | | | |
| 551 | Functional | Reporting | | Reporting & Dashboard | | The system shall support standard Online Analytical Processing (OLAP) extraction, transmission, and formatting as it relates to reporting. | Priority 1 | Proposed | | | | | | | | | | | | |
| 552 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide a user-configurable dashboard utilizing on-demand queries and standard reports to provide information to the user in a summary drill-down format. | Priority 1 | Proposed | | | | | | | | | | | | |
| 553 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to generate reports based on report-specific, user-defined parameters. | Priority 2 | Proposed | | | | | | | | | | | | |
| 554 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to allow users to design ad hoc reports. | Priority 2 | Proposed | | | | | | | | | | | | |
| 555 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to report on unrestricted date ranges within the limits of available data. | Priority 3 | Proposed | | | | | | | | | | | | |
| 556 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to indicate a report contains confidential data and exclude any data fields that are marked as confidential if the report is to be published for public consumption (e.g., disclaimer notice across the bottom of the report). | Priority 1 | Proposed | | | | | | | | | | | | |
| 557 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to schedule a report to run without user intervention if user-defined conditions or workflow actions are completed. | Priority 1 | Proposed | | | | | | | | | | | | |
| 558 | Functional | Reporting | | Reporting & Dashboard | | The system shall allow for authorized users to synchronize data to a data warehouse and/or reporting database at regular intervals for off-line reporting. | Priority 1 | Proposed | | | | | | | | | | | | |
| 559 | Functional | Reporting | | Reporting & Dashboard | | The system shall allow the ability to generate SPR files that include GR OAA Medicaid Waiver clients age 60 and older residing in the community in the required format for NAPIS federal reporting. | Priority 1 | Proposed | | | | | | | | | | | | |
| 560 | Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to view past Medicaid LTC enrollment spans, including waitlist and active enrollments that were terminated. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 561 | Functional | Reporting | | Security | | Access to view history tables should be based on role assignment or specific user action. | Priority 3 | Proposed | | | | | | | | | | | | |
| 562 | Functional | Reporting | | Workflow | | The system shall enable users to perform inquiries or generate reports indicating the status of transactions moving through designated workflows. | Priority 1 | Proposed | | | | | | | | | | | | |
| 563 | Functional | Service Billing Process | Document Upload | Interfaces And Interoperability | | The system shall allow for an ANSI 837 file to be uploaded, parsed, and data inserted into appropriate database fields. | Priority 1 | Proposed | | | | | | | | | | | | |
| 564 | Functional | Service Billing Process | Lead Agency Assessment & Care Plan | Database Architecture | | The System shall have the ability to track services and resources provided to a client including the unit increments the service was provided. | Priority 1 | Proposed | | | | | | | | | | | | |
| 565 | Functional | Service Billing Process | Provider and Contract Management | Application Functionality | | The system shall provide a Services Screen filtered by provider in addition to by client to display all active services being provided by the user's provider network when the user logged in has the role of provider or other role as designated by business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 566 | Functional | Service Billing Process | Provider and Contract Management | Database Architecture | | The system shall provide authorized users with the ability to set an invoice status. | Priority 1 | Proposed | | | | | | | | | | | | |
| 568 | Functional | Service Billing Process | Provider and Contract Management | Interfaces And Interoperability | | The system shall interface with the FLAIR system. | Priority 1 | Proposed | | | | | | | | | | | | |

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| 569 | Functional | Service Billing Process | Provider and Contract Management | Interfaces And Interoperability | | The system shall parse uploaded data from the FLAIR system and update identified invoices and billed services according to business rules (e.g., marking a service and invoice as Paid). | Priority 1 | Proposed | | | | | | | | | | | | |
| 570 | Functional | Service Billing Process | Provider and Contract Management | Search And Navigation | | The system shall provide a hyperlink or other navigation path to authorized users from a service provided and billed to an invoice generated and from an invoice generated to a service provided and billed. | Priority 1 | Proposed | | | | | | | | | | | | |
| 571 | Functional | Service Billing Process | | Application Functionality | | The system shall provide a services Billing Screen for authorized users to view, modify and add data relevant to services delivered to a client by a provider. This screen should be accessible from the relevant navigation points within the system such as from the Client Screen or the provider's Home Dashboard. At a minimum, this screen should capture the PSA, provider, lead agency, program, service provided and date, unit and type of unit and payment amount. | Priority 1 | Proposed | | | | | | | | | | | | |
| 572 | Functional | Service Billing Process | | Application Functionality | | The system shall provide the ability for authorized users to generate a standard invoice for services provided to clients utilizing the services billed data and a date range as specified by the user. | Priority 1 | Proposed | | | | | | | | | | | | |
| 573 | Functional | Service Billing Process | | Application Functionality | | The system shall provide the ability for authorized users to print an invoice as a PDF document from the services Billing Screen. | Priority 1 | Proposed | | | | | | | | | | | | |
| 574 | Functional | Service Billing Process | | Application Functionality | | The system shall provide the ability to delineate between units of referral and units of information based on business rules within a specified date span from the date of intake. | Priority 1 | Proposed | | | | | | | | | | | | |
| 575 | Functional | System Administration | | Development And Support Services | | Allow for system announcements to be displayed on the initial landing page (dashboard) after user login. | Priority 1 | Proposed | | | | | | | | | | | | |
| 576 | Functional | System Administration | | Development And Support Services | | The system shall allow for maintenance and support performance activities to be carried out while the application and supporting systems are online (e.g., "hot" backup procedures). | Priority 1 | Proposed | | | | | | | | | | | | |
| 577 | Functional | System Administration | | Development And Support Services | | The system shall include tools for automated scheduling of system support events (e.g., data backup, external interface processing, batch processing). | Priority 1 | Proposed | | | | | | | | | | | | |
| 578 | Functional | System Administration | | Development And Support Services | | The system shall include tools for comparing system monitoring results against historical measures. | Priority 3 | Proposed | | | | | | | | | | | | |
| 579 | Functional | System Administration | | Development And Support Services | | The system shall include tools for adding/maintaining configuration including the ability to use simple scripting to support business rules development. | Priority 1 | Proposed | | | | | | | | | | | | |
| 580 | Functional | System Administration | | Development And Support Services | | The system shall include tools for monitoring and reporting capacity and performance for all system components. | Priority 1 | Proposed | | | | | | | | | | | | |
| 581 | Functional | System Administration | | Development And Support Services | | The system shall include tools to allow remote system administration. | Priority 1 | Proposed | | | | | | | | | | | | |
| 582 | Functional | System Administration | | Development And Support Services | | The system shall include tools to create and maintain online help content specific to the functionality accessed (e.g., data field information, business rules related to the functionality, general operation). | Priority 1 | Proposed | | | | | | | | | | | | |
| 583 | Functional | System Administration | | Development And Support Services | | The system shall provide a mechanism for recording and viewing system errors and warnings. | Priority 2 | Proposed | | | | | | | | | | | | |
| 584 | Functional | System Administration | | Development And Support Services | | The system shall provide a warning when definable performance and capacity thresholds are being approached. | Priority 1 | Proposed | | | | | | | | | | | | |
| 585 | Functional | System Administration | | Development And Support Services | | The system shall provide a mechanism to notify the system administrator when definable performance and capacity thresholds are exceeded. | Priority 1 | Proposed | | | | | | | | | | | | |
| 586 | Functional | System Administration | | Development And Support Services | | The system shall provide defined and documented procedures and processes to restart system components and recover and restore incomplete transactions. | Priority 2 | Proposed | | | | | | | | | | | | |
| 587 | Functional | System Administration | | Development And Support Services | | The system shall provide the ability to alert appropriate users to system events (e.g., system status, maintenance outages, shutdown advisories). | Priority 2 | Proposed | | | | | | | | | | | | |
| 588 | Functional | System Administration | | Development And Support Services | | The system shall provide the ability to assign a severity level to a system exception. | Priority 2 | Proposed | | | | | | | | | | | | |
| 589 | Functional | System Administration | | Development And Support Services | | The system shall provide the ability to capture and report system exceptions. | Priority 2 | Proposed | | | | | | | | | | | | |
| 590 | Functional | System Administration | | Development And Support Services | | The system shall provide the ability to maintain metrics of system activity (e.g., numbers of users, types of users, search statistics, response times, system recovery time). | Priority 2 | Proposed | | | | | | | | | | | | |

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|--------|----------------|-----------------------|---|----------------------------------|-------------|---|--------------|-------------|-----------------|--------|------------|---------|---|--------------------------------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 591 | Functional | System Administration | | Development And Support Services | | The system shall provide the ability to track the reason for system failures. | Priority 2 | Proposed | | | | | | | | | | | | |
| 592 | Functional | System Administration | | Development And Support Services | | The system shall support the centralized storage of business and technical metadata. | Priority 3 | Proposed | | | | | | | | | | | | |
| 593 | Functional | System Administration | | Integrated Imaging | | The system shall provide the ability for an administrator to create and maintain a list of document types. | Priority 3 | Proposed | | | | | | | | | | | | |
| 594 | Functional | System Administration | | Integrated Imaging | | The system shall provide the ability for an administrator to create and maintain relationships between document types and availability to workflow actions according to business rules. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 595 | Functional | System Administration | | Integrated Imaging | | The system shall provide the ability to identify the document type and appropriate line-of-business record/case file of any system generated correspondence without user intervention. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 596 | Functional | System Administration | | Record Management And Audit | | The system shall provide the capability for administrators to archive and restore audit logs based on record retention business rules. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 597 | Functional | System Administration | | Record Management And Audit | | The system shall allow administrators to select which auditable events are to be audited by specific components of the system. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 598 | Functional | System Administration | | Record Management And Audit | | The system shall provide the ability for a system administrator to independently select and review the actions of one or more users. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 599 | Functional | System Administration | | Record Management And Audit | | The system shall provide the ability for an authorized user to configure a retention schedule for records and documents. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 600 | Functional | System Administration | | Record Management And Audit | | The system shall provide an alert for system administrators or designated authorized users in the event of an audit processing failure. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 601 | Non-Functional | Account Registration | | Account Management | | The system shall enable assigning a unique identifier for identifying and tracking user identity. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 602 | Non-Functional | Account Registration | | Account Management | | The system shall enable authorized users to define standard "user profiles" from which individual user IDs may inherit privileges and roles. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 603 | Non-Functional | Account Registration | | Account Management | | The systems shall provide a unique identifier for the account registration request. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 604 | Non-Functional | Account Registration | | Search And Navigation | | The system shall provide navigation to the Account Registration screen, determinant on user roles. | Priority 1 | Proposed | | | | | | | | | | | | |
| 605 | Non-Functional | Account Registration | | Security | | The system shall enable restricting read and edit access to data, records and documents based on user identity, role, and information type. | Priority 1 | Proposed | | | | | | | | | | | | |
| 606 | Non-Functional | ADRC Intake/Screening | CARES Assessment, CARES LOC, Rec Placement, Staffing, CARES Follow-Up, Lead Agency Assessment & Care Plan | Business Rules Engine | | The system shall prevent modifying of data classified as permanent records based on business rules (e.g., Established LOC through the Staffing Process). | Priority 1 | Proposed | | | | | | | | | | | | |
| 607 | Non-Functional | All Processes | | Application Functionality | | The system shall provide users with a visual indication of data entry fields that are mandatory (e.g., an asterisk next to required fields). | Priority 1 | Proposed | | | | | | | | | | | | |
| 608 | Non-Functional | All Processes | | Application Functionality | | The system shall provide a message to the user when a search results in no records returned. | Priority 1 | Proposed | | | | | | | | | | | | |
| 609 | Non-Functional | All Processes | | Business Rules Engine | | The system shall generate a unique case number of a selectable fixed or variable length for each case based on user-defined parameters and business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 610 | Non-Functional | All Processes | | Business Rules Engine | | The system shall provide the ability, where appropriate, to maintain administrator-defined parameters to drive business functionality. Modifications to parameter values shall not require programming changes. | Priority 1 | Proposed | | | | | | | | | | | | |
| 611 | Non-Functional | All Processes | | Business Rules Engine | | The system shall enable capturing, storing and maintaining (adding, modifying, deleting) case information linking records to one client. | Priority 1 | Proposed | | | | | | | | | | | | |
| 612 | Non-Functional | All Processes | | Business Rules Engine | | The system shall provide authorized users with a management solution driven by business rules, that is flexible, has a table-driven architecture, and is capable of adding, changing, or deleting business rules. | Priority 1 | Proposed | | | | | | | | | | | | |

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|--------|----------------|-----------------------|---------------------------------------|------------------------|-------------|---|--------------|-------------|-----------------|--------|------------|---------|----------------|--------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 613 | Non-Functional | All Processes | | Business Rules Engine | | The system shall allow for recording and managing time periods in discrete units of time including start and end dates. Each discrete period should be updatable, managed and viewed as a separate time event. | Priority 1 | Proposed | | | | | | | | | | | | |
| 614 | Non-Functional | All Processes | | Business Rules Engine | | The system shall enable capturing, storing and maintaining (adding, modifying, deleting) criteria (questions or menus) for determining which case type is required. | Priority 1 | Proposed | | | | | | | | | | | | |
| 615 | Non-Functional | All Processes | | Business Rules Engine | | The system shall enable capturing, storing and maintaining (adding, modifying, deleting) configuration information for each case type including, email addresses, forms and status updates. | Priority 1 | Proposed | | | | | | | | | | | | |
| 616 | Non-Functional | All Processes | | Business Rules Engine | | The system shall have the capability to verify that any new business rule created does not conflict or interfere with an existing rule. | Priority 1 | Proposed | | | | | | | | | | | | |
| 617 | Non-Functional | All Processes | | Business Rules Engine | | The system shall default the case owner to the user opening the case unless otherwise specified by business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 618 | Non-Functional | All Processes | | Correspondence & Forms | | Form data collection types should include at a minimum checkboxes, drop-down selection lists, text fields, signature capture, multi-select drop-down lists and Optical Character Recognition (OCR). | Priority 1 | Proposed | | | | | | | | | | | | |
| 619 | Non-Functional | All Processes | | Correspondence & Forms | | The system should support standardized and customized user-based data entry screens, forms, and document templates. | Priority 1 | Proposed | | | | | | | | | | | | |
| 620 | Non-Functional | All Processes | | Correspondence & Forms | | The system shall retain a history of all letters and notices generated. | Priority 1 | Proposed | | | | | | | | | | | | |
| 621 | Non-Functional | All Processes | | Correspondence & Forms | | The system shall indicate the status of a correspondence including unsent, sent, draft or final. | Priority 1 | Proposed | | | | | | | | | | | | |
| 622 | Non-Functional | All Processes | | Correspondence & Forms | | The system shall provide a unique identifier for correspondence items. | Priority 1 | Proposed | | | | | | | | | | | | |
| 623 | Non-Functional | All Processes | | Correspondence & Forms | | The system shall capture a date time stamp for incoming correspondence as it is received by the system. | Priority 1 | Proposed | | | | | | | | | | | | |
| 624 | Non-Functional | All Processes | | Correspondence & Forms | | The system shall capture the method of correspondence for the correspondence item (e.g., postal mail, email, text message). | Priority 1 | Proposed | | | | | | | | | | | | |
| 625 | Non-Functional | All Processes | | Correspondence & Forms | | The system shall include a unique identifier and, where appropriate, on all alerts or messages sent utilizing a distribution list. | Priority 1 | Proposed | | | | | | | | | | | | |
| 626 | Non-Functional | All Processes | | Correspondence & Forms | | The system shall store published correspondence in non-editable format (e.g., pdf). | Priority 2 | Proposed | | | | | | | | | | | | |
| 627 | Non-Functional | All Processes | | Correspondence & Forms | | The system shall provide a date-time stamp on all published correspondence. | Priority 1 | Proposed | | | | | | | | | | | | |
| 628 | Non-Functional | All Processes | | Correspondence & Forms | | The system shall maintain historical summary level information about the correspondence (e.g., status, routine, creation/update, version). | Priority 1 | Proposed | | | | | | | | | | | | |
| 629 | Non-Functional | All Processes | | CRM | | The system shall provide the ability to support customization of contact record templates. | Priority 1 | Proposed | | | | | | | | | | | | |
| 630 | Non-Functional | All Processes | | CRM | | The system shall provide the ability to process in excess of 1,000 inbound and outbound faxes per day. | Priority 1 | Proposed | | | | | | | | | | | | |
| 631 | Non-Functional | All Processes | | Database Architecture | | The system shall enable assigning the current date as a configuration option in date fields. | Priority 3 | Proposed | | | | | | | | | | | | |
| 632 | Non-Functional | All Processes | | Database Architecture | | The system shall support the ability to control fields displayed based on prompts within the form acted on by the user (e.g., indication of heart attack should display additional fields to resolve for data entry). | Priority 1 | Proposed | | | | | | | | | | | | |
| 633 | Non-Functional | All Processes | | Database Architecture | | The system shall allow a single entity to have one or more related child entities, and for subordinate entities that have one or more parent entities. | Priority 1 | Proposed | | | | | | | | | | | | |
| 634 | Non-Functional | All Processes | | Database Architecture | | The system shall validate individual fields based on established business rules and/or data available and provide immediate feedback to the user. | Priority 1 | Proposed | | | | | | | | | | | | |
| 635 | Non-Functional | All Processes | | Database Architecture | | All dates in the system shall carry the full four digits for the year. | Priority 1 | Proposed | | | | | | | | | | | | |
| 636 | Non-Functional | All Processes | | Database Architecture | | The system shall provide the ability to "roll back" non-committed transactions in the event of a system failure. | Priority 1 | Proposed | | | | | | | | | | | | |
| 637 | Non-Functional | All Processes | | Database Architecture | | The system shall be able to relate or otherwise associate information across multiple database systems. | Priority 1 | Proposed | | | | | | | | | | | | |
| 638 | Non-Functional | All Processes | | Database Architecture | | The system shall allow for the classification of documents, forms and records (e.g., 3008, 603, PASRR Level I, etc.) stored at the client and provider record level. | Priority 1 | Proposed | | | | | | | | | | | | |

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| 639 | Non-Functional | All Processes | | Database Architecture | | The system shall perform validation on all input fields based on preconfigured parameters. | Priority 1 | Proposed | | | | | | | | | | | | |
| 640 | Non-Functional | All Processes | | Database Architecture | | The system shall provide database error checking, displaying database error descriptive warnings, and error messages to the user. | Priority 1 | Proposed | | | | | | | | | | | | |
| 641 | Non-Functional | All Processes | | Database Architecture | | The system shall record database errors, warnings, and any processing result status. | Priority 1 | Proposed | | | | | | | | | | | | |
| 642 | Non-Functional | All Processes | | Database Architecture | | The system shall not dynamically create, drop, or alter tables, except 'temporary' tables. | Priority 1 | Proposed | | | | | | | | | | | | |
| 643 | Non-Functional | All Processes | | Database Architecture | | Installation and upgrades shall be provided through a managed installation process or scripts containing Data Definition Language (DDL) commands to create, alter, or drop database objects. | Priority 1 | Proposed | | | | | | | | | | | | |
| 644 | Non-Functional | All Processes | | Database Architecture | | The system shall be able to uniquely identify each user. | Priority 1 | Proposed | | | | | | | | | | | | |
| 645 | Non-Functional | All Processes | | Database Architecture | | Database access shall be managed by roles. | Priority 1 | Proposed | | | | | | | | | | | | |
| 646 | Non-Functional | All Processes | | Database Architecture | | Modified records shall have the before record stored to a history table. | Priority 1 | Proposed | | | | | | | | | | | | |
| 647 | Non-Functional | All Processes | | Development And Support Services | | The system graphical user interface (GUI) shall support at a minimum the current versions of the browsers listed using HTTPS protocol (port 443): Microsoft Internet Explorer and Edge; Google Chrome; Firefox; and Apple Safari. | Priority 1 | Proposed | | | | | | | | | | | | |
| 648 | Non-Functional | All Processes | | Development And Support Services | | The system shall be capable of supporting the current versions of the following computer and smartphone operating systems: Microsoft Windows; Apple iOS; and Google Android. | Priority 1 | Proposed | | | | | | | | | | | | |
| 649 | Non-Functional | All Processes | | Development And Support Services | | The system shall provide the ability to present an error list for failed data imports and exports. | Priority 1 | Proposed | | | | | | | | | | | | |
| 650 | Non-Functional | All Processes | | Events And Scheduling | | The system shall provide the ability to maintain master copies of historical information related to scheduled events. | Priority 1 | Proposed | | | | | | | | | | | | |
| 651 | Non-Functional | All Processes | | Interfaces And Interoperability | | The system shall be compliant with de facto open standards such as MAPI, SMTP, and SFTP. | Priority 1 | Proposed | | | | | | | | | | | | |
| 652 | Non-Functional | All Processes | | Interfaces And Interoperability | | The system shall provide for remote synchronization with a central database over Wi-Fi or cellular data connection. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 653 | Non-Functional | All Processes | | Mobility | | The system shall be compatible with currently supported mobile device platforms (Apple iOS, Google Android, and Microsoft Windows). | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 654 | Non-Functional | All Processes | | Record Management And Audit | | The system shall not permit the deletion of records. Records should be marked as deleted, stamped with date and user, and then stored in history tables in accordance with records management retention policies. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 655 | Non-Functional | All Processes | | Record Management And Audit | | The system shall not permit records to be physically deleted or altered except as part of a system administration archival process. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 656 | Non-Functional | All Processes | | Record Management And Audit | | The system shall record the user name, date, and time of configuration changes made to the system. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 657 | Non-Functional | All Processes | | Record Management And Audit | | The system shall maintain a complete history of all batch jobs. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 658 | Non-Functional | All Processes | | Record Management And Audit | | The system shall delete or archive case information, by type, on the configured date. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 659 | Non-Functional | All Processes | | Record Management And Audit | | The system shall have an audit trail on all fields. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 660 | Non-Functional | All Processes | | Record Management And Audit | | The system shall provide an audit trail for all merges of duplicate entity data. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 661 | Non-Functional | All Processes | | Record Management And Audit | | The system shall maintain an audit trail of transaction review and approval that occurs during an automated workflow. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |

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| 662 | Non-Functional | All Processes | | Record Management And Audit | | The system shall maintain current and historical records for active and inactive clients and providers, including record of all assessments, enrollments, screenings, LOC Recommendation, case notes, contract information, budget information, services provided, unit rates, record creation date, and supporting documentation by date and time. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 663 | Non-Functional | All Processes | | Record Management And Audit | | The system shall maintain a history of changes (add, modify, or delete) to status and client information including the date, time, and user ID of the user who performed the change. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 664 | Non-Functional | All Processes | | Record Management And Audit | | The system shall provide audit trail functionality to record data import, its source, and its point of entry. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 665 | Non-Functional | All Processes | | Record Management And Audit | | The system shall provide audit trail functionality for all generated notifications (e.g., user, date and time, type). | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | | | | | | | |
| 666 | Non-Functional | All Processes | | Record Management And Audit | | The system shall produce audit records that contain sufficient information to, at a minimum, establish what type of event occurred, when (date and time) the event occurred, where the event occurred, the source of the event, the outcome (success or failure) of the event, and the identity of the user or external source associated with the event. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | | | | | | | |
| 667 | Non-Functional | All Processes | | Reporting & Dashboard | | The system shall report bottlenecks and problem areas throughout the lifecycle of a case workflow to workflow administrators based on expected performance standards. | Priority 1 | Proposed | | | | | | | | | | | | |
| 668 | Non-Functional | All Processes | | Search And Navigation | | The system shall allow for customized tab ordering for each data entry screen. | Priority 3 | Proposed | | | | | | | | | | | | |
| 669 | Non-Functional | All Processes | | Search And Navigation | | The system shall provide a logical sequence of screens and fields enabling users to quickly access, modify, skip, or jump to other areas of interest for data entry based on the administrator-defined navigation. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | | | | | | | |
| 670 | Non-Functional | All Processes | | Search And Navigation | | The system shall maintain user navigation history on data entry screens in the event the user exits the screen prior to completion such that they are returned to the location they last visited. | Priority 1 | Proposed | | | | | | | | | | | | |
| 671 | Non-functional | All Processes | | Security | | The system shall provide functionality that will assist DOEA in complying with the HIPAA Privacy Rule, HIPAA Security Rule, and HIPAA Breach Notification Rule. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | | | | | | | |
| 672 | Non-Functional | All Processes | | System Architecture | | The system shall implement load balancing for performance and failover for redundancy. | Priority 1 | Proposed | | | | | | | | | | | | |
| 673 | Non-Functional | All Processes | | System Architecture | | The system shall be architected to ensure the failure of any end user devices, including workstations or printers, does not impact the operation or performance of other devices. | Priority 1 | Proposed | | | | | | | | | | | | |
| 674 | Non-Functional | All Processes | | System Architecture | | The system shall have the ability to adjust its internal clock and all timestamps to reflect time changes from Daylight Savings Time to Standard Time and from Standard Time to Daylight Savings Time. | Priority 1 | Proposed | | | | | | | | | | | | |
| 675 | Non-Functional | All Processes | | System Architecture | | The system shall adhere to negotiated performance standards for searching, saving, retrieving, reporting, analysis and collating of data. | Priority 1 | Proposed | | | | | | | | | | | | |
| 676 | Non-Functional | All Processes | | Usability | | The system shall enable users to view multiple system screens simultaneously while maintaining data and session integrity. | Priority 1 | Proposed | | | | | | | | | | | | |
| 677 | Non-Functional | All Processes | | Usability | | The system shall display a progress indicator when the system is performing an action requiring a user to wait for the response. The performance of the system action should be within the negotiated thresholds. | Priority 1 | Proposed | | | | | | | | | | | | |
| 678 | Non-Functional | All Processes | | Workflow | | The system shall display for editing data entry screens based on field restrictions and user role set at the action level of a workflow. | Priority 1 | Proposed | | | | | | | | | | | | |
| 679 | Non-Functional | All Processes | | Workflow | | The system shall enable authorized users to rapidly configure and implement new business rules and workflows as needed (e.g., changes to federal or state laws, changes in department policies or procedures, or other event-driven needs). | Priority 1 | Proposed | | | | | | | | | | | | |
| 680 | Non-Functional | All Processes | | System Architecture | | The system shall meet the seven conditions of MITA including: Modularity, Leverage, Industry Standards, Business Results, Reporting, and Interoperability, and MITA | Priority 1 | | | | | | | | | | | | | |

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| 681 | Non-Functional | CARES Assessment | | Database Architecture | | The system shall enable associating multiple cases and supporting records to a single client. | Priority 1 | Proposed | | | | | | | | | | | | |
| 682 | Non-Functional | CARES Follow-Up | | Correspondence & Forms | | The system shall have the ability to calculate the number of days since the last client contact, excluding holidays, weekends, and any other days as defined by business rules. | Priority 1 | Proposed | | | | | | | | | | | | |
| 683 | Non-Functional | CARES Intake and ADCR I&R | ADCR Intake/Screening, CARES Assessment, CARES Follow-Up, CARES LOC, Rec Placement, Staffing, Lead Agency Assessment & Care Plan, Monitoring | Events And Scheduling | | The system shall provide the ability to establish and maintain user-defined calendars and dates specific to business functionality (e.g., calendar for assessment, site visits or screening scheduling). | Priority 1 | Proposed | | | | | | | | | | | | |
| 684 | Non-Functional | CARES Intake and ADCR I&R | ADCR Intake/Screening, CARES Assessment, CARES Follow-Up, Lead Agency Assessment & Care Plan, Complaint Process | CRM | | The system shall provide the ability to support multiple templates for different call types. | Priority 1 | Proposed | | | | | | | | | | | | |
| 685 | Non-Functional | CARES Intake and ADCR I&R | ADCR Intake/Screening, CARES Assessment, CARES Follow-Up, Lead Agency Assessment & Care Plan, Complaint Process | CRM | | The system shall provide the ability to assign a unique call record number. | Priority 1 | Proposed | | | | | | | | | | | | |
| 686 | Non-Functional | CARES Intake and ADCR I&R | ADCR Intake/Screening, CARES Assessment, CARES Follow-Up, Lead Agency Assessment & Care Plan, Complaint Process | CRM | | The system shall provide the ability to create a call record history of all actions against a call record. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 687 | Non-Functional | CARES Intake and ADCR I&R | ADCR Intake/Screening, PASRR Level I, CARES LOC, Rec Placement, Staffing, CARES Assessment, CARES Follow-Up, External System Support, Document Upload | Integrated Imaging | | The system shall provide the ability to route correspondence to authorized users for identification using established workflows in the case of OCR failure. | Priority 1 | Proposed | | | | | | | | | | | | |
| 688 | Non-Functional | CARES Intake and ADCR I&R | | Security | | The system shall allow authorized users to configure the client demographic screen as read-only or edit on open. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | Chapter 74-2, F.A.C. | | | | | | |
| 689 | Non-Functional | CARES LOC, Rec Placement, Staffing | | Workflow | | The system shall display a warning message to the user when initiating the staffing process if an item is missing from a pre-configured checklist of requirements for the workflow action to begin. The system shall allow the user to follow-up on the warning message and be subsequently returned to the Staffing screen. | Priority 1 | Proposed | | | | | | | | | | | | |
| 690 | Non-Functional | Document Upload | | Record Management And Audit | | The system shall provide an audit trail for each document including: activity (uploaded, modified, accessed, deleted), activity date, source, and user. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | | | | | | | |
| 691 | Non-Functional | Document Upload | | Workflow | | The system shall integrate with document management functionality to cross-reference documentation with the appropriate work item. | Priority 1 | Proposed | | | | | | | | | | | | |
| 692 | Non-Functional | External System Support | Document Upload | Interfaces And Interoperability | | The system shall provide the ability to perform secure file transfers using a file transfer method such as SFTP, FTPS, SSH, etc. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy" | | | | | | | |
| 693 | Non-Functional | External System Support | System Administration | Interfaces And Interoperability | | The system shall be implemented to ensure existing system interfaces are maintained and future interfaces can be easily created for data exchange. | Priority 1 | Proposed | | | | | | | | | | | | |
| 694 | Non-Functional | External System Support | | Interfaces And Interoperability | | The system shall provide the ability to fully integrate with email software such as Microsoft Outlook using API standards. | Priority 2 | Proposed | | | | | | | | | | | | |
| 695 | Non-Functional | External System Support | | Interfaces And Interoperability | | The system shall provide a document management system or the ability to integrate into an external document management system (e.g., Microsoft SharePoint, NewGen OmniDocs, Hyland OnBase) | Priority 1 | Proposed | | | | | | | | | | | | |
| 696 | Non-Functional | External System Support | | Interfaces And Interoperability | | The system shall provide the ability to migrate data from legacy system(s) to the proposed system. | Priority 1 | Proposed | | | | | | | | | | | | |
| 697 | Non-Functional | Provider and Contract Management | Service Billing Process | Database Architecture | | The system shall recalculate contract tracking totals after services for billing are entered by the user. | Priority 1 | Proposed | | | | | | Chapter 74-2, F.A.C. | | | | | | |
| 698 | Non-Functional | Reporting | External System Support | Reporting & Dashboard | | The system shall maintain a consistent interface to all reports (e.g., single reporting tool for designing ad hoc and on-demand reports; generation of report is executed from the same reporting tool) | Priority 1 | Proposed | | | | | | | | | | | | |

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| 699 | Non-Functional | Reporting | | Database Architecture | | The system shall be able to synchronize live databases with external reporting databases for near-real-time reporting capability. | Priority 1 | Proposed | | | | | | | | | | | | |
| 700 | Non-Functional | Reporting | | Record Management And Audit | | The system shall log system transactions to provide an audit trail of system access and activity. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | | | | | | | |
| 701 | Non-Functional | Reporting | | Reporting & Dashboard | | The ad hoc query and report generation capability shall not impact the performance of the transaction processing system. | Priority 1 | Proposed | | | | | | | | | | | | |
| 702 | Non-Functional | Reporting | | Reporting & Dashboard | | The system shall provide an executive dashboard to display high-level, program-critical information. | Priority 1 | Proposed | | | | | | | | | | | | |
| 703 | Non-Functional | Reporting | | Reporting & Dashboard | | The system shall support portrait and landscape page orientation for reports. | Priority 1 | Proposed | | | | | | | | | | | | |
| 704 | Non-Functional | Reporting | | Reporting & Dashboard | | The system shall provide the ability to upgrade to the automated NAPIS interface such that future NAPIS SRT redesign changes does not create the need for custom coding in order to comply with Federal NAPIS Reporting requirements. | Priority 1 | Proposed | | | | | | | | | | | | |
| 705 | Non-Functional | Service Billing Process | Provider and Contract Management | Database Architecture | | The system shall calculate year-to-date reconciled totals for provider services billed as determined by business rules and provide the ability for the user to include a year-to-date reconciled total on the invoice. | Priority 1 | Proposed | | | | | | | | | | | | |
| 706 | Non-Functional | Service Billing Process | Provider and Contract Management | Database Architecture | | The system shall provide unique identifiers for services billed. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 707 | Non-Functional | Service Billing Process | Provider and Contract Management | Database Architecture | | The system shall utilize business rules to provide unique identifiers for system generated invoices. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 708 | Non-Functional | Service Billing Process | Provider and Contract Management | Database Architecture | | The system shall set a flag in the database for services invoiced and provide a reference link to the invoice including the service for billing. | Priority 1 | Proposed | | | | | | Chapter 74-2, F.A.C. | | | | | | |
| 709 | Non-Functional | System Administration | Account Registration | Security | | The system shall provide the ability to establish standard "user profiles" consisting of one or more roles from which individual users may inherit access privileges. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 710 | Non-Functional | System Administration | Account Registration | Security | | The system shall provide the ability for an administrator to modify the roles of a single user or group of users without modifying the original profile or role. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 711 | Non-Functional | System Administration | Account Registration | Security | | The system shall provide the ability to assign role(s) to users effective for a specified date range. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 712 | Non-Functional | System Administration | Account Registration | Security | | The system shall not display a password in clear text. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 713 | Non-Functional | System Administration | Account Registration | Security | | The system shall provide the ability for the user to reset their password prior to exceeding the limit of unsuccessful login attempts. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 714 | Non-Functional | System Administration | Account Registration | Security | | The system shall provide for a warning of password expiration an administrator-configurable number of days prior to actual expiration. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 715 | Non-Functional | System Administration | Account Registration | Security | | The system shall provide the user with a final warning to change their password prior to password expiration. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 716 | Non-Functional | System Administration | Account Registration | Security | | The system shall display an approved system notification message before granting access to the system. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 717 | Non-Functional | System Administration | Account Registration | Security | | The system shall prevent further access to the system by initiating a session lock after an administrator-configurable period of inactivity or receiving a request from an authorized user. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 718 | Non-Functional | System Administration | Account Registration | Security | | The system shall provide a readily observable logout capability on all screens/pages. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 719 | Non-Functional | System Administration | Account Registration | Security | | The system shall provide the capability for an administrator to create/modify user accounts. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |

| Req ID | Req Type | Business Process Area | Other Business Process Areas Affected | Category | Subcategory | Requirement | Req Priority | Status Code | Source Category | Source | Date Avail | Support | Related Policy | Related Rule | Related Statute | Specifications and Metrics | Requirement Met | How Met | Cost of Customization | Change Log |
|--------|----------------|-----------------------|--|-------------------|-------------|---|--------------|-------------|-----------------|--------|------------|---------|---|----------------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 720 | Non-Functional | System Administration | Account Registration | Security | | The system shall provide the ability to associate a user to a specific business entity or entities within and external to the organization. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 721 | Non-Functional | System Administration | Account Registration | Security | | The system shall provide the capability for an administrator to reset a user's password without knowing the original password. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 722 | Non-Functional | System Administration | Account Registration | Security | | The system shall provide the capability for an administrator to require a user to reset their password on the next successful login. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 723 | Non-Functional | System Administration | Account Registration | Security | | The system shall prevent the creation of duplicate user accounts. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 724 | Non-Functional | System Administration | Account Registration | Security | | The system shall provide the ability to enforce administrator-configurable security parameters (e.g., password strength, expiring passwords, lockout attempts, inactivity timeframes, etc.). | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 725 | Non-Functional | System Administration | Document Upload, External System Support | Security | | The system shall scan all external file transfers for viruses before accepting them into the data repository. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 726 | Non-Functional | System Administration | Reporting | Security | | The system shall provide the ability to log security events (e.g., failed/successful logon attempts, amendment of user rights, deletion of users). | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 727 | Non-Functional | System Administration | Reporting | Security | | The system shall provide the ability to generate automatic notification of locked user accounts to a security administrator. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 728 | Non-Functional | System Administration | Reporting | Security | | The system shall provide the ability to report on user information (e.g., account status, assigned roles/permissions, user activity history, history of security profile changes for a user). | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 729 | Non-Functional | System Administration | Reporting | Security | | The system shall provide the ability to track and report inactive user accounts for specified time periods. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 730 | Non-Functional | System Administration | | Disaster Recovery | | The system shall provide full and incremental data backup and recovery capabilities. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 731 | Non-Functional | System Administration | | Disaster Recovery | | The system shall include recovery procedures for all backups taken. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 732 | Non-Functional | System Administration | | Disaster Recovery | | The system shall support, when recovery from the backup is being performed, restoration of data and services on a priority basis such that priority data is accessible while the recovery is completed. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 733 | Non-Functional | System Administration | | Disaster Recovery | | The system shall be accompanied by a Disaster Recovery Plan that defines the activities that are to take place to manage the service in the event of a disaster leading to loss or potential loss of service. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 734 | Non-Functional | System Administration | | Disaster Recovery | | The system shall be accompanied by supporting processes and procedures for bringing the service back to normal operation following a catastrophic event (e.g., clearing message backlogs or resuming long-running queries). | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 735 | Non-Functional | System Administration | | Disaster Recovery | | The system shall ensure minimal data loss through the service. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 736 | Non-Functional | System Administration | | Disaster Recovery | | The system shall include tools for system backups and restores (e.g., data backup, system configuration backup). | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 737 | Non-Functional | System Administration | | Disaster Recovery | | The system shall include tools to allow a full system recovery in the event of a critical system failure. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 738 | Non-Functional | System Administration | | Disaster Recovery | | The system shall fail securely (e.g., fail-safe) in the event of an operational failure of a boundary protection device. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |

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|--------|----------------|-----------------------|---------------------------------------|----------|-------------|---|--------------|-------------|-----------------|--------|------------|---------|---|----------------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 739 | Non-Functional | System Administration | | Security | | The system shall provide the ability to limit user log-on to one workstation at a time. | Priority 3 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 740 | Non-Functional | System Administration | | Security | | The system shall enable data encryption at the data field level in accordance with FIPS 140-2. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 741 | Non-Functional | System Administration | | Security | | Either session-based encryption or message-based encryption shall be used to encrypt the data. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 742 | Non-Functional | System Administration | | Security | | The system shall ensure data is vetted as secure by including buffer overflow checks, input validation, SQL injection, and cross-site scripting (XSS) checks. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 743 | Non-Functional | System Administration | | Security | | The system shall generate alerts when security controls are violated. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 744 | Non-Functional | System Administration | | Security | | The system shall enforce display, entry, modification, deletion, and exchange of information using the principle of Least Privilege. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 745 | Non-Functional | System Administration | | Security | | The system shall provide access to appropriate data and functionality within the system based on administrator-configurable role(s) assigned to the user (e.g., access to data, documents, audit trail information, program information, and financial data). | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 746 | Non-Functional | System Administration | | Security | | The system shall automatically disable the user account when the administrator-configurable number of unsuccessful attempts is exceeded. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 747 | Non-Functional | System Administration | | Security | | The system shall provide the capability to limit the number of concurrent sessions for each user account to an administrator-configurable number. | Priority 2 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 748 | Non-Functional | System Administration | | Security | | The system shall generate a unique session identifier for each session and recognize only session identifiers that are system-generated. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 749 | Non-Functional | System Administration | | Security | | The system shall have the capability for an administrator to revoke user access for an individual user or group of users. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 750 | Non-Functional | System Administration | | Security | | The system shall have the capability for an administrator to suspend user access for an individual user or group of users. | Priority 3 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 751 | Non-Functional | System Administration | | Security | | The system shall have the capability for an administrator to force logout for an individual user or group of users. | Priority 3 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 752 | Non-Functional | System Administration | | Security | | The system shall provide the ability to deactivate user accounts after an administrator-configurable defined time of inactivity. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 753 | Non-Functional | System Administration | | Security | | The system shall provide the ability to administer user security based on roles. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 754 | Non-Functional | System Administration | | Security | | The system shall support Secure Sockets Layer (SSL) or, preferably, Transport Layer Security (TLS). | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 755 | Non-Functional | System Administration | | Security | | The system shall support encryption using either Triple Data Encryption Standard (3DES) or, preferably, Advanced Encryption Standard (AES). | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 756 | Non-Functional | System Administration | | Security | | The system shall encrypt data transmission information (e.g., URLs, query strings, connection strings). | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 757 | Non-Functional | System Administration | | Security | | The system shall encrypt data at the data layer in transit and at rest. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOE General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |

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|--------|----------------|----------------------------------|---------------------------------------|---------------------------|-------------|--|--------------|-------------|-----------------|--------|------------|---------|--|--------------------------------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 758 | Non-Functional | System Administration | | Security | | The system shall maintain the integrity and confidentiality of information during aggregation, packaging, and transformation in preparation for transmission. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 759 | Non-Functional | System Administration | | Security | | The system shall provide the ability to mark data as "Confidential" or "Restricted" to prevent the data from being shared based on user's roles. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 760 | Non-Functional | System Administration | | Security | | The system shall enforce approved authorizations for controlling the flow of information within the system and between interconnected systems. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 761 | Non-Functional | System Administration | | Security | | The system shall ensure transactions and messages are accurately received as they were sent and information is not altered by non-authorized individuals (message digest hash). | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 762 | Non-Functional | System Administration | | Security | | The system shall provide access controls that permit or deny access to the application, information, or other resources, based on parameters including the identity of the source system and the target. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 763 | Non-Functional | System Administration | | Security | | The system shall prevent unauthorized and unintended information transfer between shared system resources. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 764 | Non-Functional | System Administration | | Security | | The system shall monitor and control communications at the external boundary of the system and at key internal boundaries within the system. | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 765 | Non-Functional | System Administration | | Security | | The system shall, at managed interfaces, deny network traffic and audit internal users (or malicious code) posing a threat to external information systems (e.g., intrusion Detection/Prevention System). | Priority 1 | Proposed | | | | | HIPAA Privacy Policies and Procedures DOEA General Information Systems Access Policy | Chapter 74-2, F.A.C. | | | | | | |
| 766 | Non-Functional | System Administration | | Security | | The system shall route all networked, privileged accesses through a dedicated, managed interface for purposes of access control and auditing. | Priority 1 | Proposed | | | | | | | | | | | | |
| 767 | Non-Functional | System Administration | | Security | | The system shall prevent unauthorized discovery of specific system components (or devices) composing a managed interface. | Priority 1 | Proposed | | | | | | | | | | | | |
| 768 | Non-Functional | System Administration | | Security | | The system shall implement host-based boundary protection mechanisms for servers, workstations, and mobile devices. | Priority 1 | Proposed | | | | | | | | | | | | |
| 769 | Non-Functional | All Processes | | System Architecture | | The system shall meet the system requirements, standards, and conditions, and performance standards in Part 11 of the State Medicaid Manual, as periodically amended. | Priority 1 | Proposed | | | | | | | | | | | | |
| 770 | Functional | Provider and Contract Management | | Application Functionality | | The system shall support the data requirements of quality improvement organizations established under Part B of title XI of the Social Security Act. | Priority 1 | Proposed | | | | | | | | | | | | |
| 771 | Non-Functional | All Processes | | Security | | The system shall safeguard information in accordance with 42 CFR 431, Subpart F. | Priority 1 | Proposed | | | | | | | | | | | | |
| 772 | Non-Functional | All Processes | | Business Rules Engine | | The system shall separate business rules from core programming and be available in both human and machine readable formats. | Priority 1 | Proposed | | | | | | | | | | | | |
| 773 | Non-Functional | All Processes | | System Architecture | | The system shall align with and incorporate industry standards adopted by the Office of the National Coordinator for Health IT (ONCHIT) in accordance with 45 CFR Part 170, Subpart B. | Priority 1 | Proposed | | | | | | | | | | | | |
| 774 | Non-Functional | All Processes | | System Architecture | | The system shall align with and incorporate accessibility standards established under Section 508 of the Rehabilitation Act, or standards that provide greater accessibility for individuals with disabilities, and compliance with Federal civil rights laws. | Priority 1 | Proposed | | | | | | | | | | | | |
| 775 | Non-Functional | All Processes | | System Architecture | | The system shall align with and incorporate standards adopted by the Secretary of HHS under Section 1104 of the Affordable Care Act. | Priority 1 | Proposed | | | | | | | | | | | | |
| 776 | Non-Functional | All Processes | | System Architecture | | The system shall align with and incorporate standards and protocols adopted by the Secretary of HHS under Section 1561 of the Affordable Care Act. | Priority 1 | Proposed | | | | | | | | | | | | |
| 777 | Non-Functional | All Processes | | System Architecture | | The system shall use a modular, flexible approach to systems development, including the use of open interfaces and exposed application programming interfaces (APIs). | Priority 1 | Proposed | | | | | | | | | | | | |
| 778 | Non-Functional | All Processes | | System Architecture | | The system shall promote sharing, leverage, and reuse of Medicaid technologies and systems within and among States. | Priority 1 | Proposed | | | | | | | | | | | | |

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|--------|----------------|-----------------------|---------------------------------------|---------------------|-------------|---|--------------|-------------|-----------------|--------|------------|---------|----------------|--------------|-----------------|----------------------------|-----------------|---------|-----------------------|------------|
| 779 | Non-Functional | All Processes | | System Architecture | | The system shall support seamless coordination and interoperability with health information exchanges (HIEs), public health agencies, human services programs, and community organizations providing outreach and enrollment assistance services as applicable. | Priority 1 | Proposed | | | | | | | | | | | | |
| 780 | Functional | All Processes | | CRM | | The system shall allow an address to be designated as Active or Inactive. | Priority 1 | Proposed | | | | | | | | | | | | |
| 781 | Functional | All Processes | | System Architecture | | The system shall allow for services marked as Invoiced to be updated to Voided or Adjusted on a future invoice and allow for contract budget totals to be updated accordingly. | Priority 1 | Proposed | | | | | | | | | | | | |

Deleted Requirements

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|--------------|------------|
| Last Updated | 01/11/2017 |
| Cycle | 1.0 |

Fields to be completed after vendor responses are received.

| Req ID | Req Type | Business Process Area | Other Business Process Areas Affected | Category | SubCategory | Requirement | Req Priority | Status Code | Source/Reference | Related Policy | Related Rule | Related Statute | Specifications and Metrics | Requirement Met | How Met | Cost of Customization | Change Log |
|--------|------------|------------------------------------|---|---------------------------------|-------------|---|--------------|-------------|------------------|-------------------------------|--------------------------------------|-----------------|----------------------------|--|---------|-----------------------|---|
| 84 | Functional | ADRC Intake/Screening | | Search And Navigation | | The system shall perform a check for an existing and current 7015 Screening according to business rules, when a user attempts to initiate a client an LTCC APCL into the Medicaid Waiver Pipeline. | | Proposed | ADRC | | | 430.2053 | | | | | *I would be glad to discuss. The issues are not computer related. They are policy and implementation questions for DOE program staff that have gone unanswered. We have been instructed to put a 7015 over a 701A or a 701B for active clients if they are being added to the Medicaid LTC waitlist. It is complicated by the fact that DOE has given the ADRC instructions |
| 421 | Functional | CARES Intake and ADRC I&R | | Workflow | | The system shall provide the ability for authorized users or systematic workflow actions to reject referrals from APS according to business rules. | | Proposed | ADRC, CARES | HIPAA Privacy | Chapter 74-2, F.A.C. | | | | | | |
| 436 | Functional | CARES-LOC, Rec-Placement, Staffing | | Database-Architecture | | The system shall recommend a Level of Care (LOC) and Program Recommendation by analyzing a preconfigured decision tree. The system shall allow the user to modify or accept the systematic recommendation. | Priority-3 | Proposed | | | | | | | | | |
| 458 | Functional | External System-Support | External-System-Support, CARES-Assessment | Interfaces-And-Interoperability | | The system shall interface with the Department of Children and Families' (DCF) KERRO used to upload Pre-Admission Screening and Resident Review (PASRR) Level I and II documentation. | Priority-1 | Proposed | | | | | | 59C-4.290 and 59C-4.180, Florida Administrative Code | | | |
| 567 | Functional | Service-Billing-Process | Provider-and-Contract-Management | Interfaces-And-Interoperability | | The system shall provide the ability for system administrators to schedule batch upload jobs to the ACMS database on pre-defined intervals. | Priority-3 | Proposed | | | | | | | | | |
| 337 | Functional | CARES-Assessment | CARES-LOC, Rec-Placement, Staffing | Interfaces-And-Interoperability | | The system shall provide a link to the KERRO portal from key navigation points and workflow actions as determined by business rules. | Priority-1 | Proposed | | | | | | | | | |
| 8 | Business | PASRR-Level-I | | Workflow | | The system shall provide the ability to notify predetermined user(s) of a submitted PASRR-Level-I and PASRR-Level-II when initiated through integrated fax or scan technology. | Priority-1 | Proposed | | | | | | | | | |



| Req ID | Req Type | Original Category | Original Subcategory | Original Priority | Statement Text | Original Number | Updated Number | Resolution | Updated Category | Updated Priority | Updated Statement Text | Comment | Categorizations | Source/Reference | Other Business Process Areas Affected | Related Policy Issue | Related Policy | Related Rule | Related Statute | Specifications and Metrics | Updated BPR |
|--------|----------|-------------------|----------------------|-------------------|----------------|-----------------|----------------|------------|------------------|------------------|------------------------|---------|-----------------|------------------|---------------------------------------|----------------------|----------------|--------------|-----------------|----------------------------|-------------|
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| Date of Change | Cycle | Description |
|----------------|-------|--|
| 02/06/17 | 1.0 | Original Template |
| 05/09/17 | 2.0 | Major template update and requirements import |
| 05/10/17 | 2.1 | Updated requirements |
| 05/27/17 | 2.2 | Updated requirements for internal review |
| 05/28/17 | 2.4 | Updated requirements for internal review |
| 6/1/2017 | 2.5 | Internal review finalization |
| 6/14/2017 | 2.6 | Updated requirements based on stakeholder feedback |

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|--------------------------------|--|
| Cycle X.0 | <i>Represents major changes (significant language modification, new requirement, deletions, etc.) to requirements</i> |
| Cycle X.1, .2, .3, etc. | <i>Represents minor revisions (clean-up, spell-checking, terminology) to requirements</i> |



Glossary of Terms and Abbreviations

6/07/2017

Document Information

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|---------------------------|-------------------------------------|
| Document Name | Glossary of Terms and Abbreviations |
| Document Author(s) | Shawna Flager and Deanna Settergren |
| Date Submitted | 6/7/2017 |

Revision History

| Date | Version | Revised By | Description |
|-------------|----------------|-------------------|--|
| 05/03/2017 | .001 | Shawna Flager | Document Creation |
| 5/31/2017 | .002 | Jenny Rojas | Sent to DOEA for Review. |
| 6/6/2017 | .003 | Deanna Settergren | Updated with Feedback from DOEA. |
| 6/7/2017 | 1.0 | Jenny Rojas | Sent Final to DOEA for approval. |
| 6/8/2017 | 1.1 | Deanna Settergren | Updated with definitions from PM Plan for Phase II |

1. Glossary of Terms / Abbreviations

| Term or Abbreviation | Definition |
|----------------------|---|
| AAA | Area Agency on Aging. See definition for ADRC. |
| ACCESS | Automated Community Connection to Economic Self-Sufficiency: A program administered by the Department of Children and Families (DCF) that allows clients to apply for public assistance benefits online. ACCESS staff determine financial eligibility for Medicaid long-term care services. See Social Security Income (SSI)-Related (public assistance for the aged, blind, and disabled) Programs Factsheet: http://www.dcf.state.fl.us/programs/access/docs/ssifactsheet.pdf . |
| Action Items | Action items are independent tasks which require follow up, but are not part of deliverables, risk, issues, or decisions, and are not in the project schedule. Typically, action items are recorded when there is an activity which has a due date greater than a week out, or will require coordination between multiple individuals. |
| ADRC | Aging and Disability Resource Center: A single, coordinated system for information and access to services for all Floridians seeking long-term care resources. The ADRCs provide information and assistance about state and federal benefits, as well as available local programs and services. This system also offers the public access to a statewide database of local community resources, available on the internet or by calling the Elder Helpline toll-free at 1-800-96 ELDER (1-800- 963-5337). The ADRCs are operated by the 11 Area Agencies on Aging. |
| ADLs | Activities of Daily Living: The functions and tasks for self-care, including ambulation, bathing, dressing, eating, grooming, toileting, transferring, and other similar tasks. |
| AHCA | Agency for Health Care Administration: The single state agency that is responsible for administering the Medicaid program. AHCA is responsible for enforcing federal Medicaid policies and procedures and developing state Medicaid policies and procedures. They are also responsible for licensure and regulation of Florida's health facilities. Medicaid program handbooks can be accessed at – http://portal.flmmis.com/FLPublic/Provider_ProviderServices/Provider_ProviderSupport/Provider_ProviderSupport_ProviderHandbooks/tabId/53/Default.aspx |
| APD | Agency for Persons with Disabilities: The agency that provides critical services and supports for persons with developmental disabilities to allow them to reach their full potential in the home and community. The agency also performs PASRR Level II screenings for suspected intellectual disabilities. The agency serves people with autism, cerebral palsy, Spina Bifida, intellectual disabilities, Down syndrome, Prader-Willi syndrome, Phelan McDermid syndrome, and children age 3-5 who are at a high risk of a developmental disability. |
| APS | Adult Protective Services |
| AST | Agency for State Technology |
| Authorized User | Any person(s) who has permission to use Department and/or various functions pertaining to their specific job requirements. |
| BPR | Business process reengineering |
| Business Day | Days in which the department conducts routine business. This is typically Monday through Friday from 8 a.m. to 5 p.m. local time, excluding evenings, weekends and department observed holidays. Any reference to day(s) is defined as a business day unless otherwise specified. |

| Term or Abbreviation | Definition |
|-----------------------------|---|
| Care Plan | An individualized written plan of care that identifies the assessed needs of a client and how the needs will be met with the provision of services. The care plan includes the services, duration, frequency, and provider of the services. |
| CARES | Comprehensive Assessment and Review for Long Term-Care Services: A program operated by the Department of Elder Affairs through an interagency agreement with Agency for Health Care Administration (AHCA) that is Florida's federally mandated pre-admission screening program for long-term care services. CARES is responsible for assessing and evaluating long-term care needs, establishing level of care (medical eligibility) and providing information regarding available options for receiving long-term care services for all individuals applying for the Medicaid Institutional Care Program and Medicaid waivers. |
| CAS | CARES Assessor Supervisor: A position in the CARES field offices that assists the Program Operations Administrator (POA) in supervising, assigning and monitoring the activities of Senior Assessor(s), Assessors, and administrative support staff. |
| CF | Adult Cystic Fibrosis Waiver |
| CIRTS | Client Information Registration and Tracking System: The data system developed to assist CARES staff and the aging network staff in the management of clients. The system is designed to track clients over time, in addition to providing statewide and unit-specific statistical reports. |
| Contract | The written, signed agreement resulting from, and inclusion of, this ITN, any subsequent amendments thereto and the proposer's proposal. |
| Contract Amendment | Any written alteration in the specifications, delivery point, rate of delivery, Contract period, price, quantity, or other Contract provisions of any existing Contract, whether accomplished by unilateral action in accordance with a Contract provision, or by mutual action of the parties to the Contract; it shall include bilateral actions, such as administrative changes, notices of termination, and notices of the exercise of a Contract option. |
| Contract Manager | The person who shall be responsible for enforcing performance of the contract terms and conditions and serve as a liaison with the contractor as required by Section 287.057(15), F.S. |
| Contractor | A firm that the state contracts with to provide services defined in the ITN. |
| COTS | Commercial-Off-The-Shelf, a term for software or hardware, generally technology or computer products, that are ready-made and available for sale, lease, or license to the general public. |
| CRRT | Case Record Review Tool: used during monitoring of the CARES PSAs. |
| Customer | The person(s) or organization(s) that will pay for the project's product, service or result. Customers can be internal or external to the performing organization. |
| Days | Calendar days unless specified as otherwise |
| DCF | Department of Children and Families: The primary state agency responsible for protection of vulnerable populations such as children, the elderly, and the mentally ill, from abuse, neglect and exploitation. DCF is also responsible for financial eligibility determinations for Medicaid applicants. |

| Term or Abbreviation | Definition |
|-----------------------------|--|
| DDI | Design, Development and Implementation |
| DED | Deliverable Expectations Document |
| Defect | A failure of a configuration, modification, and/or customization of the software to operate in accordance with the Acceptance Criteria or ITN functional or technical requirements or a failure of the Software to operate in accordance with the Software program documentation. |
| Deliverable | Any document deliverable, software deliverable, or service that the contractor is required to provide the state under the Contract. |
| Department | The Department of Elder Affairs (DOEA, or Department). |
| Diagnosis (Dx) | The identification of the nature of an illness or other problem by examination of the symptoms. |
| Disaster Recovery Plan | A plan to ensure continued business processing through adequate alternative facilities, equipment, back-up files, documentation, and procedures if the primary processing site is lost to the contractor. |
| DMS | Department of Management Services |
| Documentation | Refers to various types of document that must be prepared by the contractor and provided to the department in a form and format specified by the state. Types of documentation include, but are not limited to, pre and post meeting documentation, system documentation, technical documentation, training documents, etc. |
| DOEA | Department of Elder Affairs: http://www.elderaffairs.state.fl.us/ – The primary state agency responsible for administering human services programs for the elderly. The mission of DOEA is to help Florida’s elders remain healthy, safe, and independent. |
| Eligibility Specialist | A member of the DCF ACCESS staff responsible for determining eligibility for the Medicaid Institutional Care Program (ICP) and other programs administered by DCF. |
| EMS | Enrollment Management System |
| External User | Person that has authority to use an application or system. |
| F.A.C. | Florida Administrative Code |
| FD | Familial Dysautonomia Waiver |
| Fees | Costs or payments related to licensing (e.g., application fees, license/permit fees, renewal fees, education fees, and processing fees). |
| FLORIDA System | DCF uses the Florida Online Recipient Integrated Data Access system to determine eligibility for Medicaid, Food Assistance Programs, and Cash Assistance programs. For DCF regulated eligibility categories such as Medicaid Waiver or Institutional Care Program (ICP), FLORIDA is the “source” for eligibility determinations. Nightly, for each work day, the FLORIDA system transmits an eligibility file containing transactions for any file additions, updates or closures regarding eligibility processed by DCF staff throughout the day to Medicaid’s system, FMMIS. This can include eligibility changes or demographic changes on open individuals in FLORIDA. |
| FMMIS | The Florida Medicaid Management Information System is the system that contains information about an individual’s Medicaid eligibility, processes claim, makes payments to providers, and issues recipient Medicaid identification cards. Medicaid eligibility must be reflected on FMMIS in order for an individual to be enrolled in Medicaid managed care and/or for a provider to receive reimbursement. The system is maintained by AHCA’s contracted fiscal agent. |

| Term or Abbreviation | Definition |
|---|--|
| Follow-up | A contact either on-site, electronically, in writing, or by telephone, with an individual assessed by the ADRC, CARES, his/her representative, or Lead Agency case manager, in order to determine the individual's current functional status, living arrangement, and type and frequency of services received. Follow-up is conducted also by the Lead Agency case manager or case aide within 14 business days of ordering services to determine client satisfaction with services and quality of services. Contacts, made on behalf of the client are documented in the case narrative as follow up activity. Follow-up is further defined in the context of the referral service provided by the Information and Referral (I&R) specialist. |
| F.S. | Florida Statutes |
| FFP | Firm Fixed Price |
| Final Acceptance | The point in the lifecycle at which the System Implementation is complete for all phases of the system and the department agrees that the production system has performed for a pre-defined period (Software Production Verification) per all Acceptance Criteria and System Requirements in the production environment. |
| Fiscal Year | DOEA operates on a fiscal year from July 1 through June 30. |
| Historical Information | Prior details about an event, item, or activity |
| HIPAA | Health Insurance Portability and Accountability Act |
| Hospital-Based Skilled Nursing Facility | A distinct part of an acute care hospital that provides skilled nursing care and related services for patients who require medical or nursing care or rehabilitation for injured, disabled or sick patients. Medicaid funding is available for 30 days, with one 15-day extension if pre-approved by CARES for hospital-based nursing facility recuperative care beds. The hospital must be enrolled as a Medicaid provider for these services, and the individual must be certified by CARES as meeting a skilled level of care (LOC). |
| ICP | Institutional Care Program |
| ID | Intellectual Disability |
| Identified Risks | The project team considers information on identified risks when producing estimates of activity durations, since risks can have a significant influence on duration. The project team considers the extent to which the effect of risks is included in the baseline duration estimate for each activity. |
| Information System(s) | A combination of computing and telecommunications hardware and software that is used in: (a) the capture, storage, manipulation, movement, control, display, interchange and/or transmission of information, i.e., structured data (which may include digitized audio and video) and documents as well as non-digitalized audio and video; and/or (b) the processing and/or calculating of information and non-digitalized audio and video for the purposes of enabling and/or facilitating a business process or related transaction. |
| Information Technology (IT) | Any equipment, or interconnected system(s) or subsystem(s) or equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the department. IT includes computers, ancillary equipment, software, computer code, and similar procedures, services (including support services), and related resources. |

| Term or Abbreviation | Definition |
|-----------------------------|--|
| Informed Consent Form | An AHCA form that must be signed at an assessment for long-term care services. The form explains the nature of the assessment, assures the individual or representative of confidentiality, and permits access to medical records. |
| Initial Assessment | The first time an individual is assessed by CARES or the ADRC. |
| Intake | The method in which CARES processes referrals, including the sources from which cases are received and the requirements for accepting cases. Intake is also conducted by the ADRC through the administration of the standard screening form to gather information about an applicant for services. Intake is also conducted by AAA contracted OAA providers. |
| Interface Testing | Test that verifies the integration of the components. Progressively larger groups should be tested until the software works as a system. These test results should be available to the department if requested. |
| Internal User | Person that has authority to use an application or system. |
| Invoice | Contractor's itemized document stating prices and quantities of goods and/or services delivered and sent to the buyer for verification and payment. |
| ITN | Invitation to Negotiate |
| IV&V | Independent Verification and Validation |
| IVR | Interactive Voice Response |
| Lessons Learned | Lessons Learned are any useful information or experience gained through the course of the project that can be applied to a later phase or project activity. Currently, only lessons learned which have a significant impact on the track are captured. |
| LOC | Level of Care: The type of care required by an applicant or recipient based on his/her medical needs. The criteria for Intermediate LOC is described in Chapter 59G-4.180, Florida Administrative Code, or https://www.flrules.org/gateway/ruleno.asp?id=59G-4.180&Section=0 . The criteria for Skilled LOC is described in 59G-4.290, Florida Administrative Code, or https://www.flrules.org/gateway/ruleno.asp?id=59G-4.290&Section=0 . |
| LOE | Level of Effort activities are support tasks that do not directly tie to project deliverables but still require the efforts of project resource. These ongoing activities do not add time to the project. Examples of these activities include but are not limited to sending email and updating timesheets. |
| LRPP | Long Range Program Plan |
| LTC | Long-Term Care |
| JAD/JRM | Joint application design or joint requirements management sessions. These sessions are where the as-is and to-be processes flows, as well as requirements for the future state will be defined. |

| Term or Abbreviation | Definition |
|-----------------------------|--|
| Mandatory Requirements | Requirements that the Respondent must meet to be eligible for contract award. |
| Materially Deficient | Significant deficiency or combination of deficiencies in the deliverable that does not meet minimal acceptable standards as defined in the Deliverable Expectation Document (DED). |
| MCFR | Medical Case File Review: Also, known as a Desk Review – The examination of medical records by the CARES Assessor, Registered Nurse Specialist, and/or physician consultant in the process of determining LOC when face-to-face client contact is not required. |
| MedServ 3008 Form | An AHCA Medical Certification for Medicaid Long-Term Care Services and Patient Transfer Form (AHCA 5000-3008). |
| Milestone | The measuring point used to review and approve progress, to authorize continuation of work, and, depending on the terms of the Contract, to pay for work completed. |
| Mobile Device | A computing platform that not meant to be stationary. Examples include but are not limited to laptops, tablets, iPhones, iPads, and Android devices. |
| MPS | Master Project Schedule |
| NLOC | No Level of Care: The term used by CARES when an individual does not meet LOC criteria as defined in Rule 59G-4.180 or 59G-4.290, Florida Administrative Code. |
| NF | Nursing Facility: Nursing and rehabilitative facilities that are certified under Medicare/Medicaid to provide nursing services as defined in Rule 59G-4.180 or 59G- 4.290, Florida Administrative Code. |
| OCM | Organizational Change Management |
| Online | Interaction between a user operating a personal computer or point of service (POS) device to send and receive information on a video display via a telecommunications network to a central processing unit (CPU). |
| On-Site Assessment | A comprehensive face-to-face evaluation by CARES staff, or Lead Agency case manager of an individual’s medical, functional, mental, social, financial, and environmental status for the purpose of determining the individual’s need for long-term care services. |
| OSV | On-Site Visit: A visit to the location where a client is currently residing (home, hospital, nursing facility, etc.) to obtain client assessment or follow-up information. To be considered an on-site visit the client must be interviewed or seen at time of assessment or follow-up |
| Owner | The individual who is the final authority and decision maker in determining how data and resources are used in DOEA business and what level of access will be granted to them. |
| PAC | Project Aids Care |
| PACE | Program of All-Inclusive Care for the Elderly |
| PASRR | Preadmission Screening and Resident Review |
| PAS | PASRR button in CIRTS. |
| PCR | Project Change Request |
| Performance Testing | Tests a completely integrated system to verify it meets requirements. This test should validate that the system is working as expected, that it doesn’t destroy or partially corrupt its operating environment, and that it doesn’t cause other processes to become inoperable. The goal of the capacity testing is to identify the right amount of resources required to meet the |

| Term or Abbreviation | Definition |
|------------------------------------|---|
| | service demands now and in the future. These results shall be communicated to the department. |
| Permit | Permits are generally issued to individuals or business. The individual holder of the permit is responsible for renewal of a permit prior to the expiration of that permit and the permit is the sole property of such individual holder. There is no grace period for an expiring permit. |
| PMBOK® | A Guide to the Project Management Body of Knowledge; A library of project management skills, tools and standards used by the Project Management Institute to measure and certify Project Management Professionals. |
| PMI | Project Management Institute |
| PMO | Project Management Office |
| PMP | Project Management Plan |
| PoA | Power of Attorney |
| POA | Program Operations Administrator: Supervises, coordinates, and monitors the activities of the CAS(s) (if applicable), Senior Assessors, Assessors, RNSs, and administrative support staff. |
| Policies and Procedures | The manual to provide guidance for internal regulations and procedures for department employees. |
| Private Pay Applicants | Applicants for nursing facility admission who expect to use private funds or assets, rather than Medicaid, to pay for nursing facility care. |
| Project | The CIRTS Project |
| Project Management Institute (PMI) | A body that certifies Project Management Professionals. |
| PSA | Planning and Service Area |
| Purchasing Director | DOEA Procurement lead resource |
| Reassessment | The process used to assess an individual who has previously been assessed utilizing an assessment instrument. Under certain circumstances, if approved by the CARES supervisor, a medical case file review reassessment may be done. Reassessment may be completed also by Lead Agency case manager. |
| Referral | The verbal or written submission of demographic, medical, nursing, or psychosocial information that initiates the CARES process. For the ADRC, a referral is one-to-one interaction by the I&R specialist to help assess an inquirer's need(s) and links the individual to the resource(s) capable of meeting the need. |
| Rescreening | The process used to screen an individual who has previously been screen utilizing an assessment instrument. |
| RNS | Registered Nurse Specialist: Coordinates and conducts comprehensive assessments of applicants for nursing facility placement and home and community-based services as well as |

| Term or Abbreviation | Definition |
|-----------------------------|--|
| | evaluates the LOC and recommends the most appropriate placement. provides information regarding available options for receiving long-term care services. |
| RPS | Regional Program Supervisor: Managerial staff responsible for providing technical support and supervision to the CARES PSA offices within an assigned region. |
| Resource Capabilities | The duration of most activities will be influenced by the capabilities of the human and material resources assigned to them. |
| Resource Requirements | A description of the types of resources needed and in what quantities for each element at the lowest level of the WBS. Resource requirements for higher-levels within the WBS can be calculated based on the lower-level values. If additional resources are added, projects can experience communication overload, which reduces productivity and causes production to improve proportionally less than the increase in resource. |
| Schedule IV-B | Schedule IV-B is a manually prepared schedule submitted annually to support Florida Legislative Budget Requests (LBR) for Information Technology Projects in the State of Florida. |
| SDLC | System Development Life Cycle |
| SI | Systems Integrator |
| SMI | Serious Mental Illness. |
| Significant Change | The change in an individual's health status after an accident or illness, an actual or anticipated change in the individual's living situation, a change in the caregiver relationship, loss of or damage to the individual's home or deterioration of his or her home environment, or loss of the individual's spouse or caregiver. F.S. 409.962(17) |
| SLA | Service Level Agreement |
| SMMC LTC | Statewide Medicaid Managed Care Long-Term Care Program |
| SOW | Statement of Work |
| Specialized Services | Services that are not covered in the NF per diem and are required for appropriate placement in the NF setting for individuals with ID or SMI whose needs are such that continuous supervision, treatment and training by qualified mental health or ID personnel is necessary. |
| SME | Subject Matter Expert: A person who has knowledge in a particular area or topic. |
| SSN | Social Security Number |
| Staffing Process | An interdisciplinary team meeting of CARES professional staff, Program Operations Administrator, CARES Physician Consultant, and/or Registered Nurse Specialist to review medical documentation and assessment information for CARES clients. The purpose of staffing is to determine appropriate and correct LOC, Program Recommendation, and Placement Recommendation. |
| Stakeholders | Anyone affected in any way by the project being conducted, or the outcome of the project. |
| State | State of Florida |
| Status | The state of a department record [license/permit/education] at a time to be defined by business rules. |
| Swing Beds | A program that provides Medicaid funding for rural hospital beds that can "swing" to nursing facility beds when a patient needs nursing care rather than acute care services. CARES must certify the individual as being eligible for skilled or intermediate nursing care services under Medicaid. |
| System Documentation | Documents that contain the technical description of the configuration, components, and operation of the CIRTS. |

| Term or Abbreviation | Definition |
|--------------------------------|---|
| System Implementation | The period in the project management lifecycle where the system is moved from a test environment to the live production environment and the system starts to be used for real business transactions |
| System Requirement | A defined business function that is a required component of the new system, specified in the ITN and Appendix 6 Functional and Technical Requirements, as well as any detailed requirements established during the Business Process Reengineering and System Design phase of this project. |
| System Testing | Test that verify the functionality of a specific section of code, at the function level. As documented above this is the Contractors responsibility and shall ensure that the building blocks of the software work independently from each other and should increase quality of overall development. |
| Task Assumptions | 1.1.1 A set of expectations about project tasks. |
| Task Constraints | Factors that limit or constrict how, when, or if a task is performed. |
| TBD | To be determined |
| TBSCIP | Traumatic Brain and Spinal Cord Injury Program |
| Temporary Placement | An individual in need of a temporary stay in a nursing facility or rehabilitation center who has potential for returning to the community. A client in a temporary placement who returns to the community is considered in an alternative placement at the time of return to the community. |
| Transaction | Any activity carried out, performed, managed or conducted by a user of the system. |
| UAT | User Acceptance Test |
| UI | User Interface |
| User | Anyone who employs the services provided by the system. The user can be an individual visitor to the DOEA website, an applicant or licensee, a licensing department staff member, or recipient of content from the system. See also Authorized User. |
| User Acceptance Test (UAT) | Testing performed by department/state and acts as a final verification of the required business functionality and proper functioning of the system. It emulates real world usage conditions. |
| Virtual Private Network (VPN) | VPN extends a private network across a public network, such as the Internet. It enables a computer or wireless enabled device to send and receive data across shared or public networks as if it were directly connected to the private network, while benefiting from the functionality, security, and management policies of the private network. |
| Work Breakdown Structure (WBS) | A graphical representation of the hierarchy of project deliverables and their associated tasks. As opposed to a project Schedule that is calendar-based, a WBS is deliverable-based and written in business terms. |

| Term or Abbreviation | Definition |
|-----------------------------|---|
| Workflow | Sequence of tasks. A workflow describes the order of a set of tasks performed to complete a given procedure within an organization. |

CLIENT INFORMATION AND REGISTRATION TRACKING SYSTEM (CIRTS) PROJECT MARKET ANALYSIS REPORT

Date: 6/23/2017
Version: 1.0

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REVISION HISTORY

| DATE | AUTHOR | VERSION | CHANGE REFERENCE |
|---------|-------------------------|---------|-----------------------|
| 6/16/17 | Mark Ervin/John Collins | 001 | Initial Draft to DOEA |
| 6/23/17 | Mark Ervin/John Collins | 1.0 | Final Draft to DOEA |

SECTION 1 PURPOSE AND BACKGROUND

1.1 PURPOSE OF ANALYSIS

The Department of Elder Affairs (DOEA) selected Strategic IT Alignment Group (Team) to complete a Market Analysis of DOEA's options for a modern enterprise client registration and tracking solution to replace the current Client Information and Registration Tracking System (CIRTS), and address the increased demand from constituents, with an increasingly smaller workforce.

It is important to note, as a result of this analysis, the next step in the process is for DOEA to submit a Schedule IV-B to the Legislature. A Schedule IV-B is required to be submitted with any Legislative Budget Request (LBR) for any Governor's Agency IT project with a total lifecycle cost more than \$1 million.

1.2 DOEA BACKGROUND

DOEA was created in 1991 through the enactment of the "Department of Elderly Affairs Act" (Chapter 430, Florida Statutes). Since 1992, DOEA mission has been successfully serving and advocating for elder Floridians serving as the primary state agency for administering human services programs for elders and developing policy recommendations for long-term care.

Florida is home to nearly 5.2 million residents age 60 and older and currently ranks first in the nation for the population of 65 years or older. As the senior population continues to increase, Florida's future is linked to the financial, health, and physical security of the elder population.

DOEA provides services through its Division of Statewide Community-Based Services, which works through the state's eleven Area Agencies on Aging (AAAs)/Aging and Disability Resource Centers (ADRCs) (AAA/ADRC), Lead Agencies, and local service providers. DOEA also administers a wide range of programs, ranging from the Long-Term Care Ombudsman Program (LTCOP), Office of Public and Professional Guardians, Communities for a Lifetime, SHINE (Serving Health Insurance Needs of Elders), and CARES (Comprehensive Assessment and Review for Long-Term Care Services).

DOEA recognizes individuals age differently; therefore, the state's residents do not each need the same kind of care or services as others of similar age. Some individuals may suffer from chronic conditions beginning long before they reach age 60, while others may be able to live their entire lives without ever needing long-term medical or social services. One of DOEA's highest priorities is reducing the need for many elders to be placed in nursing homes and other long-term care facilities.

Ultimately, the goal is to use DOEA resources efficiently and effectively to help ensure the greatest possible number of elders and persons with disabilities get to spend their golden years living healthy, active, and fulfilling lives in their communities.

The following Offices, Divisions, and Bureaus residing under the Office of the Secretary comprise DOEA resources required to carry out this directive:

| OFFICES/DIVISIONS | BUREAUS |
|--|---|
| Division of Financial and Support Services | Accounting and Contract Payment Budget Office Bureau of Information Systems Contract Administration and Purchasing Unit General Services Unit Monitoring and Quality Assurance (MQA) Unit Office of Supplier Diversity Revenue Management Unit |
| Division of Statewide Community-Based Services | Bureau of Comprehensive Assessment and Review for Long-Term Care Services (CARES) Bureau of Long-Term Care and Support Bureau of Community and Support Services |
| Division of Internal and External Affairs | Office of Communications Office of Legislative Affairs |
| Office of Strategic Initiatives | Bureau of Planning and Evaluation |
| Office of the General Counsel | N/A |
| Office of the Inspector General | N/A |

Exhibit 1: DOEA Offices, Divisions, and Bureaus

1.3 DOEA’S PRIMARY RESPONSIBILITIES

Per Section 430.04, Florida Statutes, DOEA’s primary responsibilities and functions include:

1. Administering human services and long-term care programs, including programs funded under the federal Older Americans Act of 1965, as amended, and other programs that are assigned to DOEA by law.
2. Ensuring each AAA/ADRC operates in a manner that provides Florida elders with the best services possible.
3. Serving as an information clearinghouse at the state level and assisting local-level information and referral resources as a repository and means for the dissemination of information regarding all federal, state, and local resources for assistance to the elderly in the areas of, but not limited to, health, social welfare, long-term care, protective services, consumer protection, education and training, housing, employment, recreation, transportation, insurance, and retirement.
4. Recommending guidelines for the development of roles for state agencies that provide services for the aging, reviewing plans of agencies that provide such services, and relaying the plans to the Governor and the Legislature.

5. Recommending to the Governor and the Legislature an organizational Framework for the planning, coordination, implementation, and evaluation of programs related to aging, with the purpose of expanding and improving programs and opportunities available to the state's elderly population and enhancing a continuum of long-term care.
6. Advising the Governor and the Legislature regarding the need for and location of programs related to aging.
7. Reviewing and coordinating aging research plans of all state agencies to ensure research objectives address issues and needs of the state's elderly population. This effort includes contracts with academic institutions, development of educational and training curricula, Alzheimer's disease and other medical research, studies of long-term care and other personal assistance needs, and design of adaptive or modified living environments.
8. Reviewing budget requests for programs related to aging to ensure the most cost-effective use of state funding for the state's elderly population before submission to the Governor and the Legislature.
9. Requesting administering programs affecting the state's elderly population to amend their plans, rules, policies, and research objectives as necessary to ensure that programs and other initiatives are coordinated and maximize the state's efforts to address the needs of the elderly.
10. Holding public meetings regularly throughout the state to receive information and maximize the visibility of important issues relating to aging and the elderly.
11. Conducting policy analysis and program evaluation studies assigned by the Legislature.
12. Assisting the Governor, each Cabinet member, and members of the Legislature in conducting their responsibilities as they consider appropriate.
13. Calling upon appropriate agencies of state government for such assistance as is needed in the discharge of its duties.
14. Responsible for establishing and administering the Adult Care Food Program.

SECTION 2 STRATEGIC GOALS, OBJECTIVES, AND PRIORITIES

2.1 DOEA TOP PRIORITIES FIVE-YEAR OUTLOOK

DOEA understands the value of strategic insight into the trends, conditions, and challenges that may impact DOEA in the future. The DOEA priorities for the next five years are outlined in the bullets below:

- Provide home and community-based services for elders and their caregivers to ensure elders can choose to remain safely in their homes and communities;
- Increase awareness of the positive impact elders have on Florida's economy and communities;
- Ensure federal and state funds are used to serve elders' needs effectively and efficiently;
- Prepare for future elder needs through planning, collaboration, and policy development;
- Provide information empowering elders, adults with disabilities, caregivers, and their families to make informed decisions about long-term care options;
- Empower elders to stay active and healthy and improve their physical and mental health;
- Advocate for the protection of elder rights through education and collaboration;
- Strengthen the state's ability to prevent elder abuse, neglect, and exploitation;

- Work with the aging network and state agencies to plan for, respond to, and educate elders about hurricanes and other disasters; and
- Expand workforce development options to improve employee retention.

These priorities are critical to the continued success of DOEA and, as a result, there is now an ever-present need for increased efficiencies across all the Divisions by leveraging new technologies to further improve DOEA's service functions to better serve its clients. To address and support these priorities, DOEA must optimize its processes across all its Divisions, Offices, and Bureaus to gain necessary efficiencies via the implementation of an enterprise Client Information and Registration Tracking System (CIRTS).

2.2 DOEA ORGANIZATIONAL STRATEGIC GOALS AND OBJECTIVES

DOEA drafted its Long-Range Program Plan in September 2016 outlining its priorities by setting the goals and objectives needed to fulfill DOEA's mission. These initiatives include:

Goals:

- **Goal 1:** Enable older Floridians, individuals with disabilities, their families, and other consumers to choose and easily access options for existing mental and physical health, as well as long-term and end-of-life care;
- **Goal 2:** Provide home and community-based services to enable individuals to maintain the highest level of independence for as long as possible, including supports for family caregivers;
- **Goal 3:** Empower older people, individuals with disabilities, and their caregivers to live active, healthy lives to improve their overall health status;
- **Goal 4:** Ensure the legal rights of older Floridians are protected and prevent their abuse, neglect, and exploitation;
- **Goal 5:** Promote planning and collaboration at the community level that recognize the benefits and needs of its aging population; and
- **Goal 6:** Maintain effective and responsive management.

Objectives:

- **Objective 1.1:** Increase streamlined access to health and long-term care options;
- **Objective 2.1:** Identify and serve target populations in need of home and community-based services;
- **Objective 2.2:** Address unmet needs while serving as many clients as possible using all available resources;
- **Objective 2.3:** Improve caregiver supports and services;
- **Objective 3.1:** Promote good nutrition and physical activity to encourage or maintain healthy lifestyles and mitigate negative health outcomes;
- **Objective 4.1:** Increase the accountability and oversight of individuals serving as professional guardians;
- **Objective 4.2:** Increase the advocacy for residents of long-term care facilities through the Long-Term Care Ombudsman Program;

- **Objective 5.1:** Promote safe and affordable communities for elders that will benefit people of all ages; and
- **Objective 6.1:** Maximize the effective and efficient use of federal and state funds.

2.3 SOLUTION GOALS

In addition to discussions with DOEA Offices, Divisions, Bureau of Information Systems, AAAs, ADRCs, as well as meetings with key executive staff, a list of solution goals were defined to support DOEA's priorities, goals, and objectives. A summary of these solution goals is described below:

1. Enhance overall DOEA staff efficiency and effectiveness with applicable technology tools.
2. Optimize and standardize key business processes to improve operational efficiencies.
3. Reduce manual tasks for DOEA, AAA, ADRC and Lead Agency staff resulting in greater efficiency and faster response to client needs.
4. Enhance intra and interdepartmental workflow functionality allowing DOEA staff to provide services faster with greater efficiency.
5. Increase data integrity, standardization, and security toward improved accuracy, operational efficiency, monitoring, reporting, and analytics.
6. Use technology to increase communication channels and collaboration between DOEA CARES AAAs, ADRCs, and Lead Agencies which increases the efficiency of the intake and referral, assessment, staffing, monitoring, and compliance processes across DOEA.
7. Enhance mobile capabilities including remote data capture, scheduling, and GPS route planning support.
8. Improve analytical and reporting capabilities providing DOEA leadership the tools to plan resource allotments and operational efficiencies tactically and strategically across DOEA thereby increasing efficiencies and reducing operational costs.

2.4 CHALLENGES TO MEETING GOALS AND OBJECTIVES

Impeding DOEA's ability to meet a significant portion of their goals and objectives are the current realities of a reliance on a preponderance of manual processes as well as antiquated technologies, design methodologies, and interfaces. In addition, there are differing processes and associated data sets unique to Divisions, AAAs/ADRCs, and Lead Agencies operating without centralized, enterprise standardization. This environment produces non-uniform, inefficient processes resulting in redundant, non-standard data across the Divisions, creating a challenging environment to effectively collaborate and communicate information throughout DOEA.

Overlying these current systems issues, DOEA has also identified four key strategic challenges:

1. The proliferation of inefficient and redundant processes (manual and automated), along with the disparate supporting systems, databases, and spreadsheets, exposes DOEA to operational challenges which increases administrative and support costs, while decreasing its operational efficiency and effectiveness.
2. The existing systems are lacking efficient functionality available in current technologies and are not meeting the changing needs and demands of staff and clients. This is primarily due to outdated, unsupported, and difficult to modify, enhance, and maintain technologies.

- From an external perspective, legislative changes (State and Federal) require DOEA to make frequent operational course corrections. It is difficult for DOEA to be agile enough to address these changes with outdated, inflexible, and expensive to modify technologies.
- The reality is DOEA must do more with less. The Exhibit below shows there has been a marked 60.82% decrease in DOEA's Budget, 3.56% decrease in DOEA employees, while at the same time there has been a 12.59% increase in the number of clients served and an 86.39% increase in the number of providers from 2011-2015.

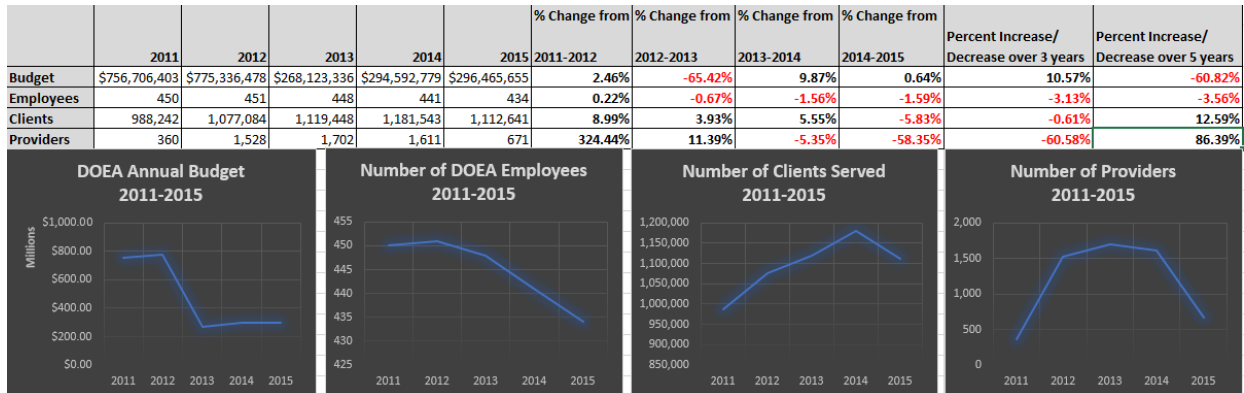


Exhibit 2: Comparison of DOEA's Budget and FTE Year-to-Year Percent Change (2011-2015)

The cost of remaining status quo will remain high due to the current systems and processes continuing to operate inefficiently and in siloed environments, placing the realization of DOEA's goals and objectives in jeopardy. In addition, there will be a continuation of inefficient communication and workflow between DOEA, AAAs/ADRCs, and Lead Agencies. Finally, DOEA will likely forgo any cost savings without the implementation of modern technologies as continuing to build on the current, outdated technologies will prove more expensive and less efficient.

SECTION 3 STRATEGIC BUSINESS NEED

The team received and reviewed relevant Department documentation and other related material in collecting and cross-referencing salient data points across the organization. In addition to reviewing documentation, the team conducted data-gathering sessions with select Divisions and several remote Offices within DOEA. These sessions helped to provide further insight into the current environment, defined as-is and to-be process flows, requirements, issues, barriers, opportunities, and the potential roles within the business processes. The information collected from the documents, process flows, and requirements, as well as strategy and data gathering sessions, helped validate the strategic business need of DOEA for a project to implement an enterprise client management system.

This research identified the need for greater efficiency, workflow, better risk management, and executive decision support via more robust reporting and analytics. For DOEA to effectively manage and leverage data pertaining to clients, services, and providers, it must be classified,

summarized, and tailored for staff, office managers, and executive decision-makers. In addition, DOEA wants to provide a much more functionally robust, efficient, reliable, and user-friendly method of serving their clients.

3.3 IMPROVED CLIENT SERVICE

DOEA's goal of improving client service could be enhanced with a solution providing the following capabilities:

- Easy and intuitive access to Department information, services, and programs;
- Consolidated client central record providing a holistic view of client activity and interaction; and
- Increased reporting and analytics capability allowing DOEA leadership to monitor client trends and plan strategically to meet their changing needs.

Because of the improvements and enhancements described above, the new system will allow DOEA to provide easier access to client services and to be more responsive to client requests which should translate into increased overall client satisfaction.

3.2 INCREASED STAFF EFFICIENCY

DOEA is faced with meeting the needs of a growing client population with fewer resources. To effectively address this reality, staff efficiency will need to increase by eliminating manual processes where possible and implementing reengineered business processes designed for optimal productivity. Increased staff efficiency could be realized with a solution providing the following capabilities:

- Consolidated central client record for managing all client-related information, documentation, and contacts (case notes, medical information, caregiver contact information, etc.).
- Efficient system interface providing a staff-specific work queue dashboard displaying current assignments, alerts, calendaring, workflow and automated communication, and collaboration tools.
- Enhanced workflow eliminating manual processes and increasing staff collaboration and efficiency.
- Better management capabilities via a staff management dashboard allowing supervisors to monitor staff work queues, assign tasks, and access productivity analytics and reports.
- Enhanced mobile capability allowing staff to:
 - Seamlessly complete work assignments remotely via Wi-Fi or cellular; or
 - Work offline with automatic system synchronization when back in network range.

- Enhanced and automated scheduling capabilities:
 - Automated scheduling based on staff-defined business rules; and
 - Appointment reminders and route mapping optimization for assessors who travel to client locations.

These technology tools will save valuable staff time through proactive notifications of assigned work and case statuses, reduction of redundant data entry, and prevention of errors and repeat work.

3.3 ENHANCED DATA MANAGEMENT, ANALYTICS, AND REPORTING

Effective and efficient management of client-centric data will enhance the capture, accuracy, integrity, security, and reporting of data tied to critical Department functions through the following:

- Improved data capture, accuracy, and integrity through:
 - Standardized entry screens and forms;
 - Field- and screen-level validation ensuring required data is entered and validated; and
 - Pre-defined drop-down list values that significantly reduce or eliminate data entry errors.
- Standardized and automated client intake processing.
- Automated correspondence generation, reducing manual entry errors.
- Enhanced data security through:
 - Encryption of all data in transit and at rest;
 - Role-based access controls to restrict access to Health Insurance Portability and Accountability Act (HIPAA) Protected Health Information (PHI) and other confidential data to only those with a business need to know; and
 - Increased data availability using enhanced load balancing, fault tolerance, and disaster recovery capabilities.
- Improved data reporting and analytics via more advanced reporting capabilities including ad hoc and customizable reports as well as trend analysis using bar graphs, charts, heat maps, and other advanced reporting features.

3.4 INCREASED EFFICIENCY AND EFFECTIVENESS OF INFORMATION TECHNOLOGY RESOURCES

Operation and maintenance of the current antiquated CIRT system is resource-intensive, inflexible, and costly. As with other areas, the DOEA Bureau of Information Systems is being asked

to do more with fewer resources. Choosing the right technology solution as well as an appropriate operations and maintenance strategy that augments IT's strengths and reduces demands would provide the following benefits:

- Optimization of IT resources by:
 - Reducing the operation and maintenance support demands on IT staff;
 - Reducing the need to recruit and retain resources with arcane and costly skill sets; and
 - Enabling key resources to provide timely configuration and customizations to address internal and external stakeholder requirements.

- Enhanced system availability and reliability through:
 - Increasing the reliability and security of remote system access by mobile users;
 - Improving system performance using multiple highly-available, redundant, load-balanced web servers; and
 - Ensuring all data is continually and reliably backed up by the vendor.

SECTION 4 BASELINE ANALYSIS

A baseline analysis helped to establish an initial understanding of DOEA's current business processes, stakeholder groups, and functions managed. This baseline analysis included a Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis as well as identification of basic assumptions and constraints.

4.1 CURRENT BUSINESS PROCESSES

The Exhibit below illustrates the functions and systems/tools managed by DOEA and partner organizations. A detailed list of DOEA applications and their platforms, development language(s), reports, interfaces, and monthly maintenance cost can be found in the list of DOEA applications described in the Microsoft Excel spreadsheet titled "DOEA 2017 Application Inventory List.xlsx" embedded below.



DOEA 2017
Application Invento

| ENTITY | FUNCTION | SYSTEMS/TOOLS |
|--|--|---|
| DOEA | DOEA provides direct services through its Division of Statewide Community-Based Services, which works through the state's eleven Area Agencies on Aging and local service providers to deliver essential services to the elder population of Florida. | Adult Care Food Program Automated Contract Management System Adult Protective Services Referral Tracking Tool CIRTS DOEA Reporting Systems DOEA Tracking Systems Microsoft Access Microsoft Excel Microsoft Outlook Ombudsman Management Information System, LTCOP ReferNET User Management System |
| AAAs/ADRCs | <p>AAAs respond to the needs of Americans 60 and over in every local community by providing a range of options allowing older adults and adults with disabilities to choose home and community-based services and living arrangements.</p> <p>ADRCs provide information and referrals to elders, disabled persons, and adults age 18 and older who have a serious mental illness (such as bipolar disorder, schizophrenia, or clinical depression) or intellectual disability.</p> | CIRTS Google Calendar Microsoft Access Microsoft Excel Microsoft Outlook ReferNET Square 9 SmartSearch TimeTap |
| Community Care for the Elderly Lead Agencies and Other provider agencies | Lead Agencies assist functionally impaired elderly persons to live dignified and reasonably independent lives in their own homes, homes of relatives or caregiver's home. | CIRTS Google Calendar Microsoft Access Microsoft Excel Microsoft Outlook ReferNET Square 9 SmartSearch TimeTap |

Exhibit 3: CIRTS Entities, Functions, and Systems

In evaluating the elder services functions and processes, DOEA's seventeen CARES offices and eleven AAAs/ADRCs conduct similar processes but execute those processes quite differently. Moreover, the composition of their portfolio includes custom-developed applications, Microsoft Access databases, commercial-off-the-shelf (COTS) solutions, and Microsoft Excel spreadsheets. This environment, lacking centralized enterprise oversight and standardization, has created

inconsistency across data elements and has been a root cause for data redundancy. Within DOEA, the lack of direct communication channels, workflows, and access points further exacerbate these duplications and inconsistencies. There is an unmet need within DOEA to standardize processes and more efficiently access and share information and data.

4.2 SWOT ANALYSIS

As a component of the baseline analysis, an in-depth Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis based upon research, data gathering sessions, and internal strategy sessions, reveals there are several threats and weaknesses within DOEA’s current business processes and environment that a new client management system implementation would successfully address.

The SWOT of the current DOEA business process and environment are depicted in the Exhibit below. Many of the weaknesses displayed can be solved via the opportunities identified which are features of a client management system implementation.

| Strengths | Weaknesses |
|--|---|
| <ul style="list-style-type: none"> • DOEA’s experience administering a variety of innovative home and community-based programs in designing the processes and system necessary for efficient execution of program processes. • A substantial amount of historical client data available when migrating to a new and improved system. • Well-documented Department policies, procedures, business processes, and requirements. • Skilled and experienced staff available to assist with process efficiency redesign, requirements definition, and ultimately system selection. • A mature Bureau of Information Systems with experienced leadership as well as defined processes and governance. | <ul style="list-style-type: none"> • Current statewide client information data system used by the aging network lacks functionality that would improve service delivery and staff accountability. • Non-standardized business processes. • Manual data collection and entry. • Disparate systems and data sets. • Integrity, accuracy, and security of data. • Lack of centralized client record via enterprise case management. • Limited or ineffective workflow. • Lack of enterprise content management. • Limited mobile capabilities. • Antiquated and inflexible technology. |

| Opportunities | Threats |
|--|--|
| <ul style="list-style-type: none"> • Elimination of time-consuming manual processes. • Business processes reengineering to increase staff efficiency and effectiveness. • Selection of a leading-edge technology solution aligned with DOEA process improvement efficiencies. • Providing staff with the necessary technology tools to manage more efficiently and timely support DOEA client needs. • Providing leadership with the reporting and analytical tools necessary for strategic planning and reporting. | <ul style="list-style-type: none"> • Increasing trends in the number of DOEA clients straining funding and staffing levels. • Lack of communication, collaboration, workforce management, document management, and workflow tools among partner agencies providing services. • Antiquated, inflexible, and difficult to maintain technology resulting in the inability to adapt to necessary program process improvement objectives. • Funding approval from the Florida State Legislature and Federal Social Security Administration. |

Exhibit 4: SWOT Analysis of DOEA Processes and Environment

4.3 ASSUMPTIONS AND CONSTRAINTS

For awareness and consideration in moving forward with the CIRTS project, several assumptions and constraints were documented during discussions with DOEA CARES offices, AAAs/ADRCs, and Lead Agencies.

| ASSUMPTIONS | CONSTRAINTS |
|---|---|
| All Divisions, Bureaus, Offices, AAAs, ADRCs, and Lead Agencies will be included in the CIRTS project. | The system will focus on a central client data management system and not outside functionality (e.g., accounting systems and human resource systems). |
| The CIRTS project has the necessary executive and business sponsorship. | DOEA attempted to replace ReferNET in 2015 and was unsuccessful; therefore, some areas of DOEA may be resistant to undergo another implementation effort. |
| All Divisions, Bureaus, Offices, AAAs, ADRCs, and Lead Agencies will support standardization of business processes. | The effort to replace CIRTS would extend over several years with potential for leadership changes during that time. |
| The requested funding for the enterprise CIRTS project will be available in line with project expectations. | Funding for the enterprise CIRTS project is subject to legislative approval. |
| The entire Department’s elder services processes fall into the standardized application framework. | Obtaining matching Federal funds for the enterprise CIRTS project is subject to Social Security Administration approval. |
| DOEA will operate at full capacity - 52 Weeks Per Year; 40 Hours Per Week. | Staff availability for project related work will be limited, introducing a matrixed project team. |

Exhibit 5: Assumptions and Constraints

SECTION 5 BUSINESS PROCESS REENGINEERING AND REQUIREMENTS

This section will help to establish a basis for understanding the business process requirements the proposed solution must meet. It will also outline the criteria the project will use in selecting an appropriate solution.

As part of the data and information gathering sessions, the team met with several DOEA Divisions, AAAs/ADRCs, and Lead Agencies to identify and analyze the current state of the client management applications across DOEA and discuss their desired future state functionality. Over the course of the discussions with each Division, there were several overarching processes shared across each entity. The heat map in the Exhibit below depicts the intersection of those shared processes.

| Process | DOEA/CARES | AAA/ADRC | Lead Agency |
|--------------------------|------------|----------|-------------|
| INFORMATION AND REFERRAL | | ✓ | |
| INTAKE | ✓ | ✓ | |
| ASSESSMENT | ✓ | | ✓ |
| MEDICAL CASE FILE REVIEW | ✓ | | |
| STAFFING AND LOC | ✓ | | |
| PASRR | ✓ | | |
| RECOMMENDED PLACEMENT | ✓ | | |
| FOLLOW-UP | ✓ | ✓ | ✓ |
| SCREENING | | ✓ | |
| CARE PLANS | | | ✓ |
| MONITORING | ✓ | ✓ | |
| GRIEVANCE | | ✓ | |
| CONTRACTS/BILLING | | ✓ | ✓ |

Exhibit 6: DOEA Core Processes Heat Map

A list and associated descriptions of the functionality of DOEA’s Core Processes are listed in [Appendix II](#) of this document.

5.1 PROPOSED BUSINESS PROCESS MAPS

The to-be business processes and associated requirements will provide the lens through which potential solution options are evaluated and ultimately how DOEA will select the solution proposal that most aligns with DOEA’s needs.

In support of DOEA’s business process reengineering effort, the team worked with DOEA SMEs to define and document their as-is and to-be process flows.

The detailed Business Process Reengineering (BPR) Document is available upon request.

5.2 PROPOSED FUNCTIONAL REQUIREMENTS

The team worked with DOEA subject matter experts (SMEs) to define the proposed future state functional requirements necessary to support core DOEA program processes. The following table provides a high-level list of the proposed solution functional requirements.

A list of the detailed functional requirements is defined in the Requirements Traceability Matrix and is available upon request.

| AREA | HIGH-LEVEL FUNCTIONAL REQUIREMENTS |
|-----------------------------|--|
| <i>Client Management</i> | <ul style="list-style-type: none"> ▪ Client Central Record ▪ Case Management ▪ Lifecycle Management ▪ Workflow Management ▪ Complaint Management ▪ Case Prioritization ▪ System-Generated Correspondence ▪ Calendaring and Scheduling ▪ Electronic Signatures |
| <i>Financial</i> | <ul style="list-style-type: none"> ▪ Claims Management and Financial Reporting ▪ Provider Claims Adjudication ▪ Reconciliation |
| <i>Workforce Management</i> | <ul style="list-style-type: none"> ▪ Resource Utilization ▪ Task Assignment ▪ Performance Evaluation ▪ Work Prioritization |
| <i>Mobile Work Force</i> | <ul style="list-style-type: none"> ▪ Mobile Device Support (laptop, tablet, or smartphone) ▪ Mobile Assessments (Wi-Fi and Cellular) ▪ Offline Work Capabilities and Subsequent Data Synchronization ▪ Route Management (automated GPS route planning and directions) |
| <i>Intake and Referral</i> | <ul style="list-style-type: none"> ▪ Application ▪ Workflow |

| AREA | HIGH-LEVEL FUNCTIONAL REQUIREMENTS |
|---|--|
| <i>Enterprise Content Management</i> | <ul style="list-style-type: none"> ▪ OCR Scan Capabilities ▪ Custom Document Type Configuration ▪ Document Upload (standard document types) |
| <i>Business Intelligence</i> | <ul style="list-style-type: none"> ▪ Advanced Reporting ▪ Data Analytics ▪ Data Mining ▪ Executive Dashboards |
| <i>Public Portal for Clients and Caregivers</i> | <ul style="list-style-type: none"> ▪ Easy access to client information, application statuses, and services availability |

Exhibit 7: Proposed Functional Requirements

5.3 PROPOSED TECHNICAL REQUIREMENTS

The team worked with DOEA SMEs to define the proposed future state technical requirements necessary to support core DOEA program processes. The following table provides a high-level list of the proposed solution technical requirements.

A list of the detailed technical requirements is defined in the Requirements Traceability Matrix and can be found at the following link: [CIRTS RTM](#)

| AREA | HIGH-LEVEL TECHNICAL REQUIREMENTS |
|-------------------------------|--|
| <i>Infrastructure</i> | <ul style="list-style-type: none"> ▪ The enterprise client management system infrastructure should be cost-effective, flexible, and scalable. ▪ The solution should utilize the existing Department hardware, software, storage, and network to the extent possible to maximize the prior investment in technology. ▪ System should provide integration between State Data Centers and data hosted in the cloud, where applicable. ▪ System should adhere to applicable Department and State of Florida information technology security standards, policies, and procedures. ▪ System should provide access to the Divisions' Application Programming Interface (API) to better share and view important information and data. ▪ The overall System should be able to be make minor customizations and configuration changes by Department personnel after the deployment period and a reasonable period of knowledge transfer. ▪ System should support integration with mobile device technology currently available in the market. ▪ System should provide data analytics and data mining capabilities in a manner that does not degrade system operations or performance. |
| <i>User Access Management</i> | <ul style="list-style-type: none"> ▪ System should provide the ability to define users' role-based access. ▪ System should provide the capability for administrators and authorized business users to configure access management. |
| <i>Maintenance</i> | <ul style="list-style-type: none"> ▪ System should allow maintenance activities that do not invalidate the upgrade path. ▪ System should allow Department personnel to coordinate planned maintenance activities. |
| <i>Data</i> | <ul style="list-style-type: none"> ▪ System should provide data segregation for Divisions and Offices defined by DOEA. ▪ System should provide in-transit and at-rest data encryption capabilities for the database for Divisions and Offices defined by DOEA. ▪ System should provide extract, transform, and load (ETL) capabilities for the implementation. ▪ The solution must provide an enterprise data model. |
| <i>Disaster Recovery</i> | <ul style="list-style-type: none"> ▪ System must provide Disaster Recovery capabilities with negotiated Service Level Agreements (SLAs) within agreed upon timeframes (Recovery Point Objective and Recovery Time Objective) to return to full operations. ▪ System must provide Data Backups with frequency and retention period defined by DOEA. |
| <i>Technology Roadmap</i> | <ul style="list-style-type: none"> ▪ System should provide foundational releases that do not impact any existing customizations. ▪ The Vendor should provide annual and quarterly advance communication for upcoming products and enhancements. |

Exhibit 8: Proposed Technical Requirements

SECTION 6 MARKET TRENDS, PUBLIC SECTOR TRENDS, AND SOLUTION OPTIONS

To provide context to the assessment of the enterprise options for DOEA, the team reviewed viable market technology solutions and how comparable states agencies addressed similar challenges. The team researched these trends and considered them as a component of the solution recommendation.

Over the past decade, elder services agencies have placed a higher importance on streamlining their management processes to better serve their growing constituents with fewer resources while maintaining the ability to adapt to changing operational needs. Such needs include faster processing times, expanded client access to information, expanded mobile outreach, improved operational efficiency, more effective workflow, enhanced workforce management, enterprise content management, and better reporting and analytics.

The team conducted information-gathering sessions with multiple solution providers, systems integrators, and related elder services agencies for further analysis of the current client management systems market. A more detailed description of the approach and technology solutions utilized by these states and technology solutions proposed by vendors are available in [Appendix I – Public Sector Tactics and Market Technology Vendors](#).

These sources included:

- Discussions with the following state agencies to discuss their solution strategies:
 - Alabama Department of Senior Services;
 - Arizona Department of Health Services, Arizona Health Aging;
 - California Department of Aging;
 - Georgia Department of Human Services, Division of Aging Services;
 - New York State Office for the Aging; and
 - Pennsylvania Department of Aging.
- With guidance from DOEA Chief Information Officer, Steve Grantham, demonstrations from and interviews with representatives from leading public sector systems software providers including:
 - Computer Aid, Inc. (CAI);
 - CareDirector;
 - Intact Partners;
 - Knowledge Services;
 - Oracle;

- Mediware;
 - PeerPlace;
 - Salesforce;
 - Stratöge Partners; and
 - Therap.
- Interviews with leading public sector system integrators including BIAS Corporation and Deloitte.
 - Research and analysis of Customer Relationship Management (CRM) and Enterprise Content Management (ECM) market solutions from Gartner, Inc.

6.1 KEY THEMES, SALIENT POINTS, AND LESSONS LEARNED

From the above research, demonstrations, and interviews the following key themes, findings and lessons learned emerged:

| THEME | SALIENT POINTS AND LESSONS LEARNED |
|--|--|
| <i>Adoption of Centralized Client Management Solutions in Elder Care Organizations</i> | <ul style="list-style-type: none"> ▪ State agencies are adopting and implementing leading edge client management technology solutions to administer their elder services programs for their constituents more efficiently and effectively. ▪ Several of the most recent state-wide elder services management systems implementations were with some of the vendors interviewed for the market analysis. ▪ There is a recent movement to cloud technologies as faster data, process, and information delivery times are being demanded and this trend is gaining support within the health and human services community. ▪ There is a big push for environmental awareness in implementing technology solutions that reduce operations and maintenance overhead for resource-strapped IT organizations. |
| <i>Strong Executive Sponsorship and Project Governance</i> | <ul style="list-style-type: none"> ▪ States who have successfully implemented new enterprise client management systems all had strong executive sponsorship and clearly identified project governance structures to define the decision-making processes prior to selecting the appropriate solution and throughout the initiative. ▪ Successful projects delineate responsibilities for oversight of the roll-out of certain phases. |

| THEME | SALIENT POINTS AND LESSONS LEARNED |
|---|---|
| <i>Business Process Reengineering and Standardization</i> | <ul style="list-style-type: none"> ▪ To avoid excess customization in the new system and achieve benefits sooner, many public sector entities enter a period of business process reengineering prior to the implementation phase. Entities not performing business process reengineering tend to have large volumes of customizations and generally must wait until they perform the reengineering post-implementation to achieve expected project results. ▪ Overall support and maintenance costs are lower due to thorough business process reengineering and standardization effort. ▪ Data cleanup, mapping, migration, and conversion are better executed if business process engineers are familiar with the data and map out the system’s functionalities and processes prior to implementation. ▪ Health and human services agencies are often too quick to select the solution first and then don’t follow through with their business transformation given the functionalities of the vendor system. |
| <i>Limit System Customizations</i> | <ul style="list-style-type: none"> ▪ Limiting customizations reduces the implementation and maintenance cost of a packaged system and enables the agency to take advantage of new functionality via standard vendor upgrades. ▪ Limiting excess customizations to functionality can be accomplished by aligning improved processes with new system functionally. |
| <i>Selection of System Integrator</i> | <ul style="list-style-type: none"> ▪ While procurement strategies can vary widely, there is consensus that the selection of the right System Integrator (SI) can be just as important as the selection of the right software package. ▪ The SI was critical to the success of each of the interviewed parties’ client management system projects in providing expertise during system design, configuration or development, data conversion, testing, end user training, organizational change management, and post-implementation warranty and support. |
| <i>Phased Implementation Approach</i> | <ul style="list-style-type: none"> ▪ Using an “early success” and a “crawl, walk, run” phased approach allows an organization to break down the initiative in smaller, more manageable pieces to reduce risks and realize benefits sooner. ▪ Lessons learned in each phase can be applied to subsequent phases for continuous process improvement on the lifecycle of the project. |
| <i>Reporting and Analytics</i> | <ul style="list-style-type: none"> ▪ There is a need for leadership to have predictive analysis capabilities and forward-looking strategic planning to proactively address increasing client populations and changing environments. |
| <i>Organizational Change Management (OCM)</i> | <ul style="list-style-type: none"> ▪ Attaining buy-in from every individual within the organization, especially from those at higher levels, leads to an easier transition, more successful implementation, and better adoption of change. ▪ Key components within OCM include organization transformation, internal communication, job training, system training, and external (public) communication. |

Exhibit 9: Key Themes, Salient Points, and Lessons Learned

6.2 SOLUTION OPTIONS (CONSIDERATIONS)

During the market analysis and interviews with State agencies, a few topics arose that should be considered and evaluated at the outset of the solution selection process. Each of these items is

defined in this section and assessed with respect to the objectives of the analysis using a combination of industry research, comparison with client management environments of similar state agencies, and the professional experience of the team. The topics in this section are:

- Comparison of Custom Development, Framework, and Commercial-off-the-Shelf (COTS) solutions;
- Outsourcing or internal operations and maintenance support;
- Software Licensing Models; and
- Technology Solution Cost Drivers.

6.3 CUSTOM DEVELOPMENT, FRAMEWORK, OR COTS SOFTWARE

The following provides a brief description of each approach to software implementations:

- **Custom Development:** Software that is specially designed and developed from scratch to accommodate a customer's precise preferences and expectations.
- **Framework:** A software Framework is a universal, reusable environment that provides particular functionality as part of a larger platform to facilitate and develop or customize applications, products and solutions.
- **COTS:** Commercial Off-The-Shelf (COTS) is a term that references non-developmental items sold in the marketplace. A COTS system is typically designed for a unique purpose (e.g., client management) and generally does not require custom development before installation.

The first fundamental topic to consider is whether DOEA should develop its client management software internally, implement a COTS solution, or a Framework software solution. The following Exhibit displays the factors of scalability, stability, cost, and ease of implementation of Custom Development versus the purchase of a COTS or Framework client management software solution.

| FACTOR | CUSTOM | FRAMEWORK | COTS |
|-------------|--|--|--|
| SCALABILITY | Custom solutions are generally designed for precise needs not readily available in a COTS or Framework solution and require additional development to address scalability. | Framework providers offer a reusable environment. As such, Framework products inherently support scalability when aligned with the platform available. | COTS providers often build their solutions to support the common requirements of many organizations that differ in size and complexity. COTS products inherently support both future customizations and scalability when aligned with their product road map timeline. |

| FACTOR | CUSTOM | FRAMEWORK | COTS |
|------------------|--|--|---|
| STABILITY | <p>Custom Development solutions are typically very stable as they are tailored to an organization's exact business requirements and those requirements do not change.</p> <p>Changes in requirements may likely require reprogramming to the Custom Development instead of minor configuration.</p> | <p>Unless heavily customized, Framework software is typically very stable as it has been thoroughly tested and proven by a large user base.</p> <p>Framework software vendors typically provide support, patches, and upgrades/enhancements to maintain the base technology as part of an annual maintenance contract.</p> | <p>Unless heavily customized, COTS software is typically very stable as it has been thoroughly tested and proven by a large user base.</p> <p>COTS software vendors typically provide support, patches, and upgrades/enhancements to maintain their core product as part of an annual maintenance contract.</p> |
| COST | <p>Initial development and implementation costs of custom software is typically high as it generally takes significantly longer to implement than COTS or Framework</p> <p>Long term maintenance costs are generally higher for Custom Development solutions as organizations that Custom Development software must maintain deep software development skills post-implementation to support updates and modifications to the product.</p> | <p>For large-scale, complex applications, it is typically less expensive to buy Framework software than Custom Development. A Framework solution can reduce development costs by providing a solid foundation of standard functionality along with the tools needed to further customize the software to meet requirements.</p> <p>When maintaining a Framework system, there are ongoing subscription fees. However, this is typically offset with less technical and development staff to address the operations and management of the system.</p> | <p>For applications with a common feature set and mature adoption, it is typically less expensive to buy a COTS solution than Custom Development. A COTS solution can reduce development costs by providing a significant majority of the required functionality along with the ability to further configure the software to meet requirements.</p> <p>When maintaining a COTS system, there are ongoing subscription fees. However, this is typically offset with less technical and development staff to address the operations and management of the system.</p> |

| FACTOR | CUSTOM | FRAMEWORK | COTS |
|-------------------------------|---|---|--|
| EASE OF IMPLEMENTATION | Where business processes are standardized and detailed requirements clearly defined, Custom Development solutions can be created to precisely match the business process, which can be a significant benefit. However, Custom Development solutions generally take significantly longer to implement than COTS or Framework alternatives since many resources are needed to design, develop, and test every system requirement. | Framework solutions typically take less time to implement than Custom Development as it includes base functionality but can take longer to implement than a COTS solution if significant customization (development) is required. | COTS solutions typically take least time to implement compared to Custom Development and Framework solutions as most functionality is inherent in the software, requiring primarily configuration and limited customization. |

Exhibit 10: Custom vs. Framework vs. COTS Software

Each of the implementation options offer advantages and disadvantages which are summarized in the Exhibit below.

| ALTERNATIVES | ADVANTAGES | DISADVANTAGES |
|-------------------------------|--|---|
| Option 1 – Custom Development | <ul style="list-style-type: none"> ▪ System design and functionality can be developed to meet exact needs ▪ Internal knowledge of the system | <ul style="list-style-type: none"> ▪ Locked into technology that becomes outdated quickly ▪ History of previous custom development failures ▪ Longer time to implement ▪ Higher risk ▪ Typically higher cost |

| ALTERNATIVES | ADVANTAGES | DISADVANTAGES |
|-------------------------------|---|--|
| Option 2 – Framework Platform | <ul style="list-style-type: none"> ▪ Extended custom development tools ▪ Product updates provided by vendor ▪ Research and development provided by the vendor ▪ Drives standardization ▪ Extends flexibility | <ul style="list-style-type: none"> ▪ Customizations may impact upgradability ▪ Longer implementation than COTS |
| Option 3 – COTS Platform | <ul style="list-style-type: none"> ▪ Pre-built solution ▪ Industry leading best practices ▪ Product updates provided by vendor ▪ Research and Design (R&D) provided by the vendor ▪ Drives standardization ▪ Shorter implementation | <ul style="list-style-type: none"> ▪ Limits flexibility ▪ Requires specialized resources ▪ Potentially significant Operational Change Management (OCM) impact |

Exhibit 11: Alternatives, Advantages, and Disadvantages

Each of the implementation options have different implementation time frames which are summarized in the Exhibit below.

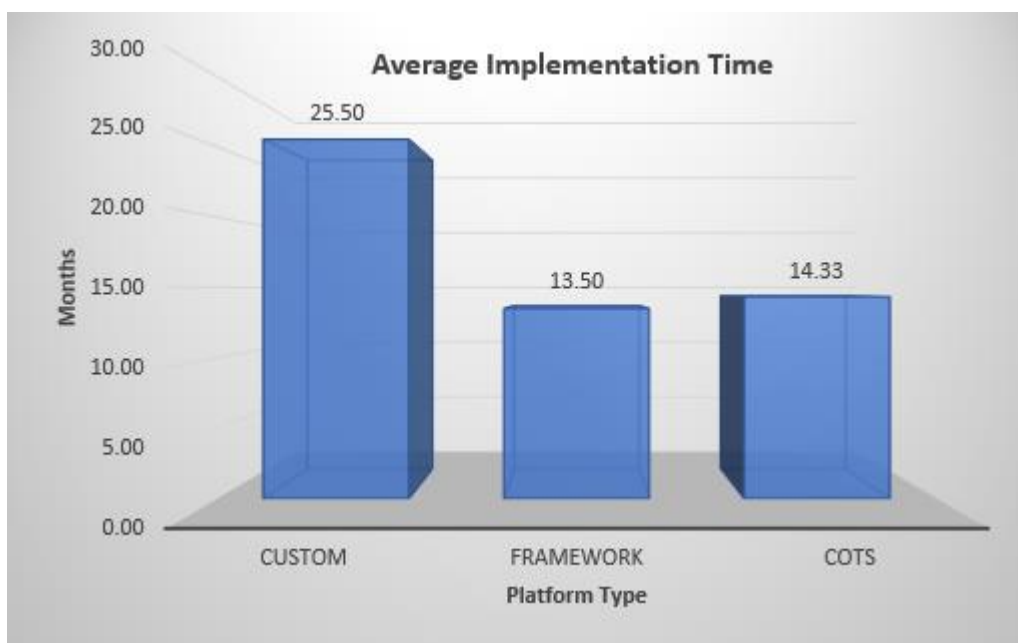


Exhibit 12: Custom vs. Framework vs. COTS Average Implementation Time Frame

6.4 OUTSOURCING OR INTERNAL MANAGEMENT OF TECHNOLOGY SUPPORT

The second topic to be addressed is whether to outsource all, some, or none of the operations and maintenance of the client management system.

Outsourcing support for an enterprise client management system generally includes the following options:

- **Infrastructure as a Service (IaaS):** IaaS is a form of cloud computing providing virtualized computing resources over the Internet including:
 - System maintenance, upgrades, backup, resiliency, and disaster recovery;
 - Scalability, on-demand or dynamically;
 - Automation of administrative tasks;
 - Automatic patches and updates;
 - Policy-based services; and
 - Predictable budgeting versus internally managed solutions.
- **Software as a Service (SaaS):** SaaS is a form of cloud computing in which a third-party provider hosts applications and makes them available to customers typically via a subscription-based software licensing. SaaS is a fully hosted solution including:
 - High scalability of services, functionality, usage, etc.;
 - Automatic patches and defined functional road map updates;
 - System maintenance, upgrades, backup, resiliency, and disaster recovery;
 - High accessibility and persistence; and
 - Predictable budgeting versus internally managed solutions.
- **Platform as a Service (PaaS):** is a category of cloud computing services providing a platform allowing customers to develop, run, and manage applications without the complexity of building and maintaining the infrastructure typically associated with developing and launching an application. PaaS has the following attributes:
 - High scalability of services, functionality, usage, etc.;
 - Automatic patches and updates to base application;
 - System maintenance, upgrades, backup, resiliency, and disaster recovery;
 - High accessibility and persistence;
 - Reduces time to release new applications; and
 - Predictable budgeting versus internally managed solutions.

The Exhibit below identifies relevant differences between outsourcing and internally managing operations and maintenance system support.

| FACTOR | OUTSOURCED | INTERNALLY MANAGED |
|--------------------|--|---|
| SCALABILITY | An outsourced solution is highly scalable as the responsibility for managing the resources required to meet service level expectations lies with the contracted provider, thus minimizing the responsibility of the client to grow the solution to meet business needs. | The client is responsible for managing the resources required to meet service level expectations. This can be very challenging to meet dynamic business needs in a state environment where resource allocation can be an arduous and lengthy process. |
| STABILITY | An outsourced solution is highly stable as the outsourced vendor is responsible for maintaining and upgrading the environment (infrastructure and applications) in line with agreed upon service level expectations. They have deeply skilled resources to manage and maintain their supported environments as well as mature and processes and procedures for upgrading and managing the environment. | The availability of internal resources (staff, funding, etc.) as well as the maturity of the organizations governance and processes will greatly determine the stability of the supported environment. |
| COST | Taking into consideration the total cost of ownership, outsourced solutions can be comparable or cost less than that of an internally managed environment. This is primarily due to taking advantage of economies of scale regarding resources. It also allows for predictable budgeting which better aligns with state funding cycles. | Internally managing a solution requires ownership of every solution component and seldom includes discounted pricing unless purchased through a state term contract. Predictable budgeting can be a challenge in state funding cycles. |

| FACTOR | OUTSOURCED | INTERNALLY MANAGED |
|-------------------------------------|--|--|
| TRANSITION AND EFFECTIVENESS | <p>Outsourced application support is a mature industry making the transition to a third-party managed services provider a relatively straight-forward process.</p> <p>If an experienced, mature, and proven services provider is chosen, the effectiveness of this approach is quite high.</p> | <p>Because most state organizations are using an internally managed providing or at best a hybrid approach, there is no concern with transition.</p> <p>However, it is a significant challenge for states to provide the necessary ongoing internal management and support of the systems environment aligned with an appropriately skilled support organization. This is primarily a result of funding and limited agility afforded in the funding process.</p> |

Exhibit 13: Outsourced vs. Internally Managed Application Support

6.5 SOFTWARE LICENSING MODELS

There are two types of licensing/subscription models for COTS and Framework solutions. The first is a per-user license model, and the second is an enterprise, or “site,” license model. Under a per-user license agreement, the software provider will charge an incremental cost for each user of the system. These costs can be further refined depending on the role and function of the user. An enterprise, or “site,” license model requires an organization to pay a fixed amount for the software regardless of the volume or number of users accessing the system.

The Exhibit below lists a comparison between the per-user and enterprise software licensing models. While this analysis is presented to inform the overall analysis, it is important to note the chosen software vendor will propose their precise license pricing model.

| FACTOR | PER USER | ENTERPRISE |
|--------------------|--|---|
| SCALABILITY | Cost and usage of the software is directly relational to the number of system users; there is an incremental cost for each additional system user. Clients can increase licensing to support additional users. | Software cost is fixed and does not change with the number of users, volume, or resource needs. In some instances, enterprise licenses may be capped at certain level of users. |
| COST | The licensing model cost will need to be addressed as part of the procurement process, as one option may end up being more beneficial over the other depending on the number of users, how the vendor sets up the system cost (enterprise wide, by function, number of records, etc.), and the actual cost for each model. | |

| FACTOR | PER USER | ENTERPRISE |
|----------------|--|--|
| IMPLEMENTATION | If there are high costs to operate the system, users with lesser roles may be kept out of the system, leading to more offline or manual processes. | Because of no incremental cost, all employees can use the system for any purpose applicable to their job function. |

Exhibit 14: Licensing Model Summary

6.6 TECHNOLOGY SOLUTION COST DRIVERS

Based on the solution chosen, there will be additional cost drivers affecting the overall cost of the project. Typically, these individual cost factors are combined into the following three categories as listed below:

- **Required Ancillary Purchases:** These are upfront items may need to be purchased to enhance, upgrade, or deploy a new system. Such costs include additional software licensing, computer hardware (PCs, laptops, mobile devices, etc.), augmentation data center facilities, and any supporting infrastructure technology systems.
- **Implementation:** These are the in-house and contracted labor costs required to support the deployment a new system. Such costs include business process reengineering, requirements development, project oversight, software installation and configuration, software development, system integration, report development, data conversion, data testing, quality assurance, organization change management (OCM), project team training, and end user training.
- **Operations and Maintenance:** These are all the labor and materials costs needed to support the system throughout its full lifecycle. Such costs include software maintenance, production support, training, software development, upgrades, process improvements, change management, infrastructure support, system administration, ongoing hardware, data center facilities, and other equipment maintenance costs.

SECTION 7 RECOMMENDATION REPORT

7.1 RECOMMENDATION APPROACH

When considering a recommended approach to address DOEA's technology needs today and into the future, the team did so with the following in mind:

- The mission of DOEA and governing statutes, rules, policies, and procedures;
- The limitations and inefficiencies of the current processes and antiquated technology systems;
- DOEA's guiding priorities, goals, and objectives for a technology solution; and

- The knowledge gained into how comparable state government elder care agencies and the technology market have successfully responded to the challenges of implementing an enterprise client management system.

Building on the solutions options presented in Section 6.2, the recommendation methodology is structured around the following four elements:

- Alignment to Vision and Goals;
- Cost of Ownership Comparison;
- Benefits Comparison; and
- Risk Analysis and Mitigation.

To properly evaluate the solutions available to DOEA to replace their existing system, a minimum set of criteria is critical to ensure all options are compared to a common standard. That common base identified in the sections below will allow solution options to be compared in a consistent manner.

7.2 RECOMMENDATION METHODOLOGY

7.2.1 ALIGNMENT TO VISION AND GOALS

The following project vision statement was developed in collaboration with DOEA:

Implement an enterprise client management system that assists staff efficiency, enables client access to services, and positions DOEA to plan for and be responsive to changing environmental and operational demands.

The following solution goals were identified to support the project vision:

- **Goal 1:** Enhance overall DOEA staff efficiency and effectiveness with applicable technology tools.
- **Goal 2:** Optimize and standardize key business processes to improve operational efficiencies.
- **Goal 3:** Reduce manual tasks for DOEA, AAA, ADRC and Lead Agency staff resulting in greater efficiency and faster response to client needs.
- **Goal 4:** Enhance intra and interdepartmental workflow functionality allowing DOEA staff to provide services faster with greater efficiency.
- **Goal 5:** Increase data integrity, standardization, and security toward improved accuracy, operational efficiency, monitoring, reporting, and analytics.
- **Goal 6:** Increase communication channels and collaboration between DOEA CARES AAAs, ADRCs, and Lead Agencies which increases the efficiency of the intake and referral, assessment, staffing, monitoring, and compliance processes across DOEA.

- **Goal 7:** Enhance mobile capabilities including remote data capture, scheduling, and GPS route planning support.
- **Goal 8:** Improve analytical and reporting capabilities providing DOEA leadership the tools to plan resource allotments and operational efficiencies tactically and strategically across DOEA thereby increasing efficiencies and reducing operational costs.

As part of the analysis, each option was assessed against the vision statement and solutions goals. This assessment was qualitative with the alignment presented for each option relative to the other options. Each option was given a score of High (3 points), Medium (2 points), or Low (1 point) for how well the option aligned to the vision and solution goal. The average score for each option was then calculated. The Exhibit below reflects the output of this qualitative assessment:

| EVALUATION OF QUALITATIVE CRITERIA | OPTIONS CONSIDERED | | |
|---|------------------------------------|------------------------------------|-------------------------------|
| | OPTION 1: CUSTOM DEVELOPMENT | OPTION 2: FRAMEWORK PLATFORM | OPTION 3: COTS PLATFORM |
| Vision: Implement an enterprise client management system that assists staff efficiency, enables client access to services, and positions DOEA to plan for and be responsive to changing environmental and operational demands. | Medium | High | High |
| Goal 1: Enhance overall DOEA staff efficiency and effectiveness with applicable technology tools. | Low | High | High |
| Goal 2: Optimize and standardize key business processes to improve operational efficiencies. | Low | High | Medium |
| Goal 3: Reduce manual tasks for DOEA, AAA, ADRC and Lead Agency staff resulting in greater efficiency and faster response to client needs. | Low | Medium | High |
| Goal 4: Enhance intra and interdepartmental workflow functionality allowing DOEA staff to provide services faster with greater efficiency. | Low | Medium | High |
| Goal 5: Increase data integrity, standardization, and security toward improved accuracy, operational efficiency, monitoring, reporting, and analytics. | Medium | High | High |
| Goal 6: Use technology to increase communication channels and collaboration between DOEA CARES AAAs, ADRCs, and Lead Agencies which increases the efficiency of the intake and referral, assessment, staffing, monitoring, and compliance processes across DOEA. | Low | High | High |
| Goal 7: Enhance mobile capabilities including remote data capture, scheduling, and GPS route planning support. | Low | High | High |

| EVALUATION OF QUALITATIVE CRITERIA | OPTIONS CONSIDERED | | |
|--|------------------------------------|------------------------------------|-------------------------------|
| | OPTION 1: CUSTOM DEVELOPMENT | OPTION 2: FRAMEWORK PLATFORM | OPTION 3: COTS PLATFORM |
| Goal 8: Improve analytical and reporting capabilities providing DOEA leadership the tools to plan resource allotments and operational efficiencies tactically and strategically across DOEA thereby increasing efficiencies and reducing operational costs. | Medium | Medium | High |
| Average Score | 1.3 | 2.6 | 2.8 |

Exhibit 15: Alignment to Vision and Solution Goals

7.2.2 ESTIMATED COST OF OWNERSHIP

Below is an overview of the results of the cost modeling exercise. For each option, the team modeled costs over a 5-year window starting in July 2018 (FY 18-22). This period was selected for several reasons, including:

- In all options analyzed, the required minimum capabilities can be achieved during a 5-year window. Benefits are related to implementation of the minimum capabilities and should also begin within this window.
- In each case, a 5-year window provides visibility into not only the costs of implementation but also support costs for the system once it reaches steady state.

It is important to note the selection of a 5-year window is not in any way indicative of the lifespan of the new client management system. In all cases, it should far outlive the timelines built into the cost models.

The Exhibit below summarizes expected total cost of ownership for each option over a 5-year period starting in July 2017 (FY 18-22). The total cost of ownership is the sum of the following components:

- **Average Implementation Cost:** Internal (employee count and time) and external (contractors and purchases) expenditures required to design and implement the solution.
- **Average Annual Support Cost:** Annual expenses associated with supporting the proposed system type.
- **Average Total Cost of Ownership over 5 Years:** Expenses associated with supporting a solution during and after its implementation over a 5-year period.

For scoring purposes, more than \$15 Million = 1 point, more than \$10 Million = 2 points, and more than \$5 Million = 3 points.

| COST CATEGORIES (MILLIONS) | OPTIONS CONSIDERED | | |
|--|------------------------------------|------------------------------------|-------------------------------|
| | OPTION 1: CUSTOM DEVELOPMENT | OPTION 2: FRAMEWORK PLATFORM | OPTION 3: COTS PLATFORM |
| Average Implementation Cost | \$11,009,067 | \$5,000,000 | \$3,483,750 |
| Average Annual Support Cost | \$3,302,720 | \$2,700,000 | \$1,508,000 |
| Average Total Cost of Ownership over 5 Years | \$19,726,000 | \$13,100,000 | \$8,761,750 |
| Average Cost Score | 1 | 2 | 3 |

Exhibit 16: Cost Comparison

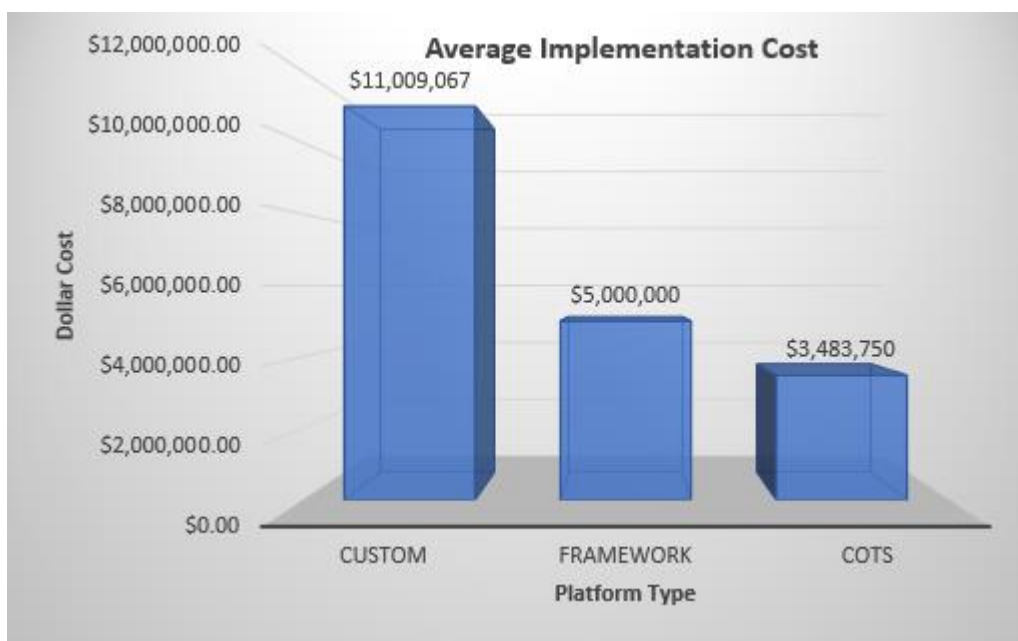


Exhibit 17: Custom vs. Framework vs. COTS Average Implementation Cost Comparison

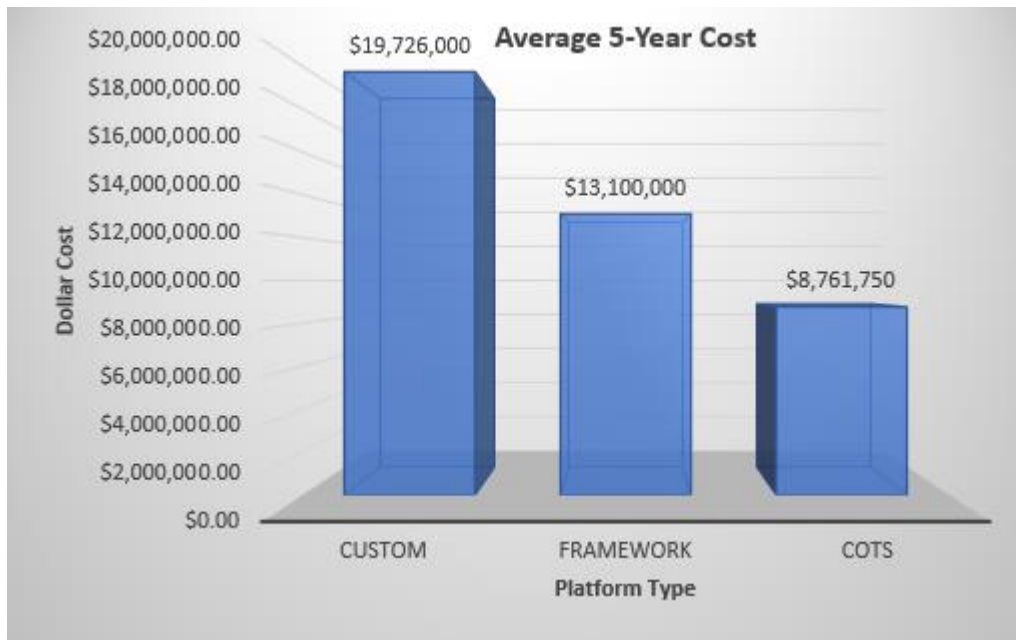


Exhibit 18: Custom vs. Framework vs. COTS Average 5-Year Cost Comparison

7.2.3 BENEFITS COMPARISON

All three options were evaluated for benefits that could be realized with the implementation of an enterprise client management system. Each option was given a score of High (3 points), Medium (2 points), or Low (1 point) for how likely or how soon the option would realize each benefit. The average score for each option was then calculated.

| BENEFIT | OPTIONS CONSIDERED | | |
|--|------------------------------------|------------------------------------|-------------------------------|
| | OPTION 1: CUSTOM DEVELOPMENT | OPTION 2: FRAMEWORK PLATFORM | OPTION 3: COTS PLATFORM |
| Increased efficiency via automation of manual tasks and optimization of processes. | Medium | High | High |
| Drives process standardization. | Low | Medium | High |
| Enhanced Customer Experience and response. | Medium | High | High |
| Enhanced Mobile capabilities and functionality. | Low | High | High |
| Enhanced workflow and workforce management. | Low | High | High |
| Flexible solution with the agility to quickly address, procedural, or statutorily mandated changes as well as environmental and operational needs. | Low | High | Low |
| Easy scalable and extensible solution to address increased environmental and operational demands. | Low | High | High |
| Minimizes support and operations and maintenance responsibilities. | Low | Medium | High |
| Increases data integrity, standardization, and security. | Medium | High | High |

| BENEFIT | OPTIONS CONSIDERED | | |
|--|------------------------------------|------------------------------------|-------------------------------|
| | OPTION 1: CUSTOM DEVELOPMENT | OPTION 2: FRAMEWORK PLATFORM | OPTION 3: COTS PLATFORM |
| Improvers analytical and dashboard/reporting capabilities. | Medium | High | High |
| Average Score | 1.4 | 2.5 | 2.8 |

Exhibit 19: Benefit Comparison

7.2.4 RISK ANALYSIS AND MITIGATION

All three options being evaluated are complex and challenging. Implementation timelines are in years (not weeks or months) and require significant resources invested to achieve successful completion. The Exhibit below highlights common risks which may be encountered during the implementation regardless of the selected option along with the likelihood. Each option was given a score of High (3 points), Medium (2 points), or Low (1 point) for each risk based on the likelihood of occurrence. The average points for each option are then calculated.

| RISK | OPTIONS CONSIDERED | | |
|--|------------------------------------|------------------------------------|-------------------------------|
| | OPTION 1: CUSTOM DEVELOPMENT | OPTION 2: FRAMEWORK PLATFORM | OPTION 3: COTS PLATFORM |
| Ineffective or loss of governance. | High | Low | Medium |
| Loss of political/executive sponsorship. | High | Low | Low |
| Loss of funding or failure to obtain federal matching funds. | Medium | Low | Low |
| Lengthy implementation timeframe. | High | Medium | Low |
| Limited technology resources skillsets and availability for implementation and support. | High | Medium | Medium |
| CIRTS users unable or unwilling to adapt to new system and processes. | Medium | Medium | Medium |
| DOEA may not have the skills, experience, or number of resources to design, develop, test, and roll out the solution | High | Low | Low |
| Poor alignment to future state requirements. | Low | Medium | High |
| Business processes not standardized. | High | Medium | Low |
| Limited flexibility to configure as operational and environmental needs change. | High | Low | Medium |
| Staff availability due to cross matrixed project. | High | Medium | Medium |
| Average Risk Score | 2.6 | 1.5 | 1.6 |

Exhibit 20: Risk Analysis

7.5 RECOMMENDED SOLUTION

The Exhibit below provides a comparison of the three options across each of the key elements of alignment to goals, cost, benefits, and risk. However, it would be beneficial to DOEAs to include both options in a future procurement and let the market determine the best value to DOEAs. For scoring purposes High = 3 points, Medium = 2 points, and Low = 1 point. The average points for each option are then calculated.

| REVIEW CATEGORIES | OPTIONS CONSIDERED | | |
|-------------------------------|------------------------------------|------------------------------------|-------------------------------|
| | OPTION 1: CUSTOM DEVELOPMENT | OPTION 2: FRAMEWORK PLATFORM | OPTION 3: COTS PLATFORM |
| Alignment to Vision and Goals | Low | High | High |
| Lower Cost of Ownership | Medium | Medium | High |
| Achievement of Benefits | Medium | High | Medium |
| Minimizes Risk | Low | High | High |
| Average Score | 1.5 | 2.75 | 2.75 |

Exhibit 21: Summary Analysis

Based on the overall analysis, the closing salient points addressing DOEAs solution options are offered below:

- **Option 1:** While Custom Development solutions can be designed to meet exact program requirements there are several notable data points listed below that make this option less desirable than Framework or COTS.
 - › Custom development solutions typically take considerably more time and resources to design develop and implement than COTS or Framework solutions;
 - › Custom development solutions provide fewer benefits and are less likely to achieve project goals than COTS or Framework solutions;
 - › Custom development solutions are expensive to implement as well as operate and maintain due to the need to retain IT professionals with the deep and often arcane skills required to support and enhance the system;
 - › Enhancements, patches, and updates to the solution (infrastructure and application) would be the responsibility of DOEAs; and
 - › Custom development solutions are inherently riskier primarily for the reasons listed above.
- **Option 2:** A Framework solution provides a solid base upon which the solution can be further customized and configured. The notable data points for utilizing Framework as a solution option to meet DOEAs' needs are listed below:
 - › The flexibility of a Framework solution provides a good balance between highly customizable Custom Development solutions and more difficult/costly to customize COTS solutions;

- › Framework solutions provide greater benefits and are more likely to achieve project goals than Custom Development solutions;
 - › Framework solutions are typically implemented more quickly than Custom Development but not as fast as COTS;
 - › Enhancements, patches, and updates to the base application platform would be the responsibility of the provider;
 - › The overall costs of a Framework solution are typically less to implement and maintain than Custom Development solutions but more expensive than COTS; and
 - › There is less risk with Framework solutions compared to Custom Development as you are starting with a base platform rather than building from scratch.
- **Option 3:** Although a COTS solution may not address all DOEA's program customizations, the available COTS solutions reviewed offered feature rich capabilities that would address most of the business needs. The notable data points for including COTS as a solution option to meet DOEAs needs are listed below:
 - › There is less flexibility to customize with a COTS solution than with Custom Development or Framework;
 - › COTS solutions provide greater benefits and are more likely to achieve project goals than Custom Development solutions;
 - › A COTS solution can usually be implemented more rapidly than a Custom Development or Framework solution meeting most of the business needs;
 - › Enhancements, patches, and updates to the application would be the responsibility of the provider;
 - › The overall costs of a COTS solution is typically less than Custom Development and Framework solutions; and
 - › There is less risk with COTS as re starting with an established solution rather than building from scratch or customizing a Framework.

The final recommendation is that it would be beneficial to DOEA to tailor the future ITN procurement toward a COTS or Framework solution but keep an open mind and let the market offer solutions that would provide the best value to DOEA.

7.5 RECOMMENDED APPROACH AND IMPLEMENTATION TIMELINE

7.5.1 IMPLEMENTATION APPROACH

To be cognizant of the additional resource requirements this project will place on DOEA staff and to lower the risk inherent in IT transformation projects, the team is recommending a phased implementation approach. This approach will provide DOEA with the necessary time to properly plan, obtain funding (state and federal), procure, and execute the project. It will also provide DOEA the bandwidth to plan and execute the organizational transformation this

project will bring about. The recommended phases and a brief description of the milestones in each phase are listed below.

- **Phase I:** Phase one includes those milestone activities required to perform business process reengineering, requirements definitions and a market analysis of solution options. The Phase one milestones are detailed below.
 - › Define DOEA as-is process flows and design proposed future state processes (to-be);
 - › Define system requirements in the form of a requirements traceability matrix based proposed future state processes (to-be); and
 - › Perform a market analysis and develop a corresponding report detailing comparable state systems, proposed vendor solution options, estimated costs, risks, implementation approach, estimated timeframes, and recommendations.
- **Phase II:** Phase two includes those milestone activities necessary to secure funding, execute the procurement and begin the organizational transformation. The Phase two milestones are detailed below:
 - › Develop, submit, and receive approval of the project Legislative Budget Request (LBR) and accompanying Schedule IV-B (required by the Florida State Legislature for any Information Technology projects over \$1,000,000);
 - › Develop, submit, and receive approval for the project Advance Planning Document (APD) and Implementation Plan Document (IPD) to obtain matching funds from the Social Security Administration; and
 - › Develop and execute the Invitation to Negotiate (ITN) to be used to select an appropriate vendor that will provide the best value to the state.
- **Phase III:** Phase three includes those milestone activities necessary on-board the selected vendor and implement the proposed solution. The Phase three milestones are detailed below:
 - › Perform gap-fit analysis updating processes and requirements as appropriate;
 - › Design system;
 - › Develop/configure system, develop interfaces, develop reports, develop correspondence, and convert data;
 - › Test system and train users; and
 - › Deploy system.

7.5.2 IMPLEMENTATION TIMEFRAME

As the potential solution implementation timeframes will vary, it is impossible to know the exact timeframes for implementation until vendor proposals are received. Each vendor will be requested to submit a detailed fully loaded project schedule as a component of their proposal which will allow DOEA to consider and negotiate the final timeline with the vendor. The diagram in the

Exhibit below depicts a proposed phased implementation approach timeline for the enterprise CIRTS replacement project:

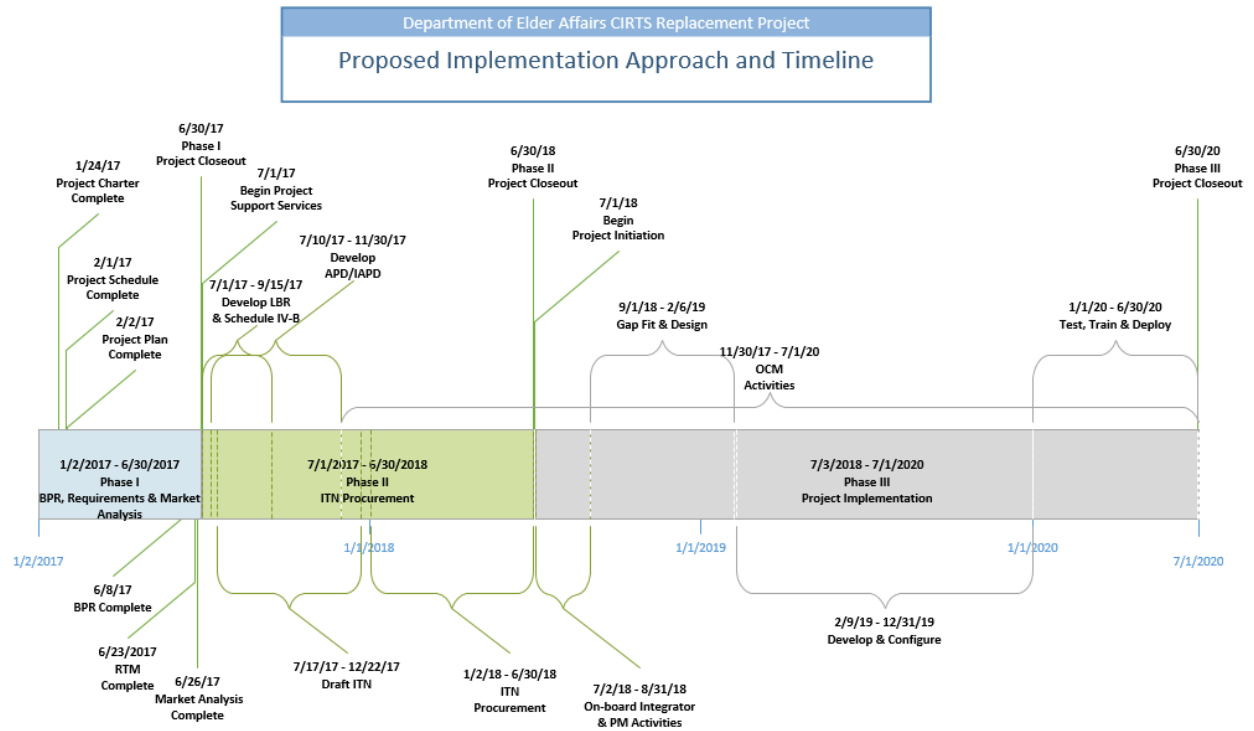


Exhibit 22: Recommended Project Implementation Timeline

APPENDIX I – PUBLIC SECTOR TACTICS AND MARKET TECHNOLOGY VENDORS

1.1 PUBLIC SECTOR APPROACH SUMMARIES

Given that other states with comparable elder care programs utilize similar client management enterprise-class systems and streamlined business solution processes, there is considerable experience with the required functionality and necessary experience for projects of this size, scope, and complexity.

For each state, the team conducted meetings with executive and director-level personnel responsible for their client management solution. These meetings focused on the topics of:

- Overview of the state agency and their client management system solution;
- Technology solutions chosen and the related selection process;
- Experience implementing client management systems in the public sector;
- Infrastructure (people, technology, and governance) required to successfully implement and maintain system solution;
- Benefits derived from solution;
- Advice for State entities planning to implement similar enterprise client management systems; and
- Key lessons learned and pitfalls to avoid.

Below is a list of comparable state agencies interviewed for this analysis that are using current technology to assist with providing elder care services.

| STATE AGENCY | CLIENT MANAGEMENT SYSTEM FEATURES |
|---|--|
| <p><i>Alabama Department of Senior Services</i></p> | <ul style="list-style-type: none"> ▪ The Alabama Department of Senior Services (ADSS) is a cabinet-level agency administering programs for senior citizens and people with disabilities. ▪ In 2002, ADSS replaced their outdated client management system with an in-house custom developed, web-based client management solution built on a Microsoft SQL database. ▪ In 2014, PeerPlace provided Alabama's Medicaid Universal Intake Form (UIF) for all AAAs in Alabama and completed the ADRC No Wrong Door rollout to all Area Agencies on Aging. |

| STATE AGENCY | CLIENT MANAGEMENT SYSTEM FEATURES |
|---|---|
| <p><i>Arizona Department of Health Services, Arizona Healthy Aging (A-HA)</i></p> | <ul style="list-style-type: none"> ▪ In Arizona, the aging network includes the Arizona Department of Economic Security (ADES) Division of Aging and Adult Services (DAAS), eight Area Agencies on Aging (AAA), and their networks of providers. The Arizona Department of Health Services / Arizona Healthy Aging (A-HA) serves the aging population of Arizona through the Healthy Aging Communication Network (HACN) which is an A-HA initiative to build community partnerships to encourage communication on vital information, educational and evidence-based programs as resources with key partners, health professionals, the public and policy-makers. ▪ A-HA utilizes a system on the Arizona Department of Administration (ADOA) Arizona Strategic Enterprise Technology's (ASET) AZNet II to host their client management system which is built on IBM CICS enterprise application servers, BlueZone mainframe emulation for the user interface, and Control-D for online reporting. |
| <p><i>California Department of Aging</i></p> | <ul style="list-style-type: none"> ▪ The California Department of Aging (CDA) has outsourced their client management data to service providers. ▪ CDA receives aggregate data from 33 AAAs using the California Aging Reporting System (CARS) system. CARS (CA-Getcare) is a modified Commercial Off-The-Shelf (COTS) system. The purpose of CARS is to allow CDA to monitor performance data and service targeting based on federal Older Americans Act (OAA) Title III and VII B guidelines. There are 3 modules in CARS: Fiscal (web-based, <i>monthly</i> reporting and approval tool for expenditures and request for funds for existing OAA and Older Californians Act [OCA] Community-Based Services Programs, except Health Insurance Counseling and Advocacy Program [HICAP]), File Upload Manager (<i>quarterly</i> report), and NAPISCare (<i>annual</i> report). ▪ HICAP and Title V staff use CARS and the Statewide HICAP Automated Reporting System (SHARPS), a customized COTS web-based data collection system. ▪ CDA uses data in CARS when reporting statewide performance to the Administration on Aging (AoA) in the annual National Aging Program Information System (NAPIS) State Program Report (SPR). ▪ In 2015, CDA contracted with PeerPlace for Statewide Health Insurance Counseling and Information Program. ▪ ADRCs utilize their own client management systems. ▪ For the disabled population, the California Department of Rehabilitation partners with 28 Independent Living Centers (ILC) as grant administrators as part of Disability Rights. The California Department of Vocational Rehabilitation uses the Aware electronic records management system from Alliance Enterprises to manage clients. |

| STATE AGENCY | CLIENT MANAGEMENT SYSTEM FEATURES |
|--|--|
| <p><i>Georgia Department of Human Services, Division of Aging Services</i></p> | <ul style="list-style-type: none"> ▪ The Georgia Department of Human Services, Division of Aging Services (DAS) uses the Aging Information Management System (AIMS), a consumer-centered tracking, accountability, and payment system that documents all aging services contracted between DAS, the twelve AAAs, and the network of contract service providers. DAS plans to expand the capability of AIMS to include self-direction and self-management of home and community based services. ▪ AIMS is a web-based application using a relational database, maintained on an Oracle platform that provides for centralized data collection regarding planning and contracting, authorizing providers and services, tracking client data, and generating programmatic data that drives reimbursements for AAAs and service providers. ▪ AIMS data is utilized to provide State Program Reports (SPR) data for Title III and VII services of the Older Americans Act which is a component of the National Aging Program Information Systems (NAPIS). ▪ AIMS is nationally recognized as one of four best practice system models by the National Association of State United for Aging and Disabilities (NASUAD). ▪ DAS also uses the Client Health Assessment Tool (CHAT), a standardized software used to identify and prioritize consumer long-term care needs and as a case management tool to assess and care plan for individualized client needs. CHAT is a Microsoft SQL software application designed for use by information and referral agencies that perform health assessments for their clients. |
| <p><i>New York State Office for the Aging</i></p> | <ul style="list-style-type: none"> ▪ The New York State Office for the Aging (NYSOFA) mission is carried out through a network of 59 local Offices for the Aging and organizations providing home- and community-based programs. ▪ NYSOFA is working with CareDirector in partnership with PeerPlace to provide a single, state-wide application to replace multiple independent applications managed by local AAAs for data collection, reporting, assessment, and case management. ▪ CareDirector is based on an Oracle platform which replaced and enhanced NYSOFA's vendor-hosted NY Connects website and state-wide NY Connects Long Term Services and Supports Resource Directory (http://www.nyconnects.ny.gov). This included the migration of data contained in the current Resource Directory. There are approximately 500 users across the state in 59 regional offices. ▪ In 2013, NYSOFA rolled out the PeerPlace NAPIS Client Tracking System to over 2,000 users, 300 providers, and 20 AAAs. ▪ In 2014, NYSOFA selected PeerPlace to deliver a statewide Client Tracking and Case Management System, ADRC Resource Directory and Consumer Portal, and Statewide Ombudsman system. ▪ The Albany Department of Health selected PeerPlace to deploy a No Wrong Door, single point of entry, automated eligibility screening and referral system. |

| STATE AGENCY | CLIENT MANAGEMENT SYSTEM FEATURES |
|--|---|
| <p><i>Pennsylvania Department of Aging</i></p> | <ul style="list-style-type: none"> ▪ In 2002, the Pennsylvania Department of Aging (PDA) began using the Service Access and Management (SAM) system which was originally based on the Microsoft Access database platform. In 2011, SAM was converted from multiple Microsoft Access databases into a single instance of Microsoft SQL. ▪ In 2013, SAM data was migrated into Harmony (a subsidiary of Mediware). ▪ All PDA and AAA employees use Harmony for case management and the system was configured by PDA staff. ▪ Harmony Advanced Reporting (HAR) uses SQL Service Reporting System (SSRS) for creating reports. The system generates over 2,000 reports, 75-125 of which are used routinely and includes NAPIS and NAMRS standard reports. |

1.2 TECHNOLOGY VENDORS PROVIDING ELDER CARE CLIENT MANAGEMENT SYSTEMS

Due to the recent increased demand for enterprise-class systems, flexible IT, and streamlined business solution processes by public sector organizations, there is an abundance of software vendors who specialize in the required functionality and have the necessary experience for projects of this size, scope, and complexity. Based upon the interviews and feedback from the DOEA Chief Information Officer Steve Grantham, ten vendor solutions were analyzed to provide a sample of market solutions available.

For each vendor, the project team conducted meetings with executive and director-level personnel responsible for their client management solution. These meetings focused on the topics of:

- Overview of the company and their solution approach;
- Recent experiences implementing client management systems in the public sector, particularly at comparable state agency levels;
- Market trends for client management software, including the company’s product roadmap;
- Overview of capabilities;
- Procurement strategy trends;
- Implementation strategy; and
- Support, operations, and maintenance capabilities.

The vendors listed below interviewed for this analysis are a representative market sample of solutions and services available to meet DOEA needs and requirements. While a list of the vendors’ company names was provided in Section 5 above, the vendor list below does not correspond to the order of the vendor company names listed in Section 5. The intent is to have the vendors remain anonymous.

1.2.1 VENDOR 1 (CUSTOM)

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|---------------------------------------|---|
| <i>Platform and Hosting</i> | <ul style="list-style-type: none"> ▪ Cloud-based custom solution built on Microsoft .NET programming language using Microsoft SQL on the server, and Microsoft SQL Server Express 2012 on the client workstation. ▪ Hosted by Evolve IP in the Microsoft Azure cloud. ▪ Clustered servers are scalable and load balanced for performance. |
| <i>Data Conversion and Interfaces</i> | <ul style="list-style-type: none"> ▪ Data can be imported from and exported to external data sources. |
| <i>Application Features</i> | <ul style="list-style-type: none"> ▪ User-configurable dashboard shows risks, tasks, ongoing services, open assessments, recent activities, care and support, personal budget. ▪ The application includes a web portal for clients and their caregivers to display summary status information on the client's care. ▪ The Vendor can modify the system to incorporate the forms, fields, reports, etc., necessary to support DOEA's workflows; some minor modifications such as modifying fields, editing reports and regulatory information could be done in-house. ▪ All field names in the application are configurable, field names can be changed, fields can be added, drop-down menu values can be set, and for security purposes fields can be displayed or hidden based on the user's security role. ▪ Conditional pop-up boxes and pre-defined comments can be displayed based on form selections. ▪ Data files can be uploaded into each client's record along with associated metadata to describe the file being uploaded. ▪ Hyperlinks can be added to any field description. ▪ Field data entry has spell check and can use rich text (including formatting such as bold, italic, colors, etc.). ▪ Tablet software allows a person to sign a system-generated form electronically on the tablet. Electronic signatures can be saved for later re-use. |
| <i>Workflow</i> | <ul style="list-style-type: none"> ▪ The application allows for dynamic, automated workflows to be created. ▪ Work List view shows the user's current assignments, including in a calendar view. ▪ Notifications about scheduled appointments, due dates, and other important events are displayed in the application but are not sent via email or text message. ▪ Users can reassign a case to another user. ▪ Users can copy data from an existing record, such as an assessment, into a new record. ▪ After configuration, the application could notify an assessor which 701x forms are needed before conducting the assessment. A standard 701x PDF form can be automatically generated using field information in the client record. |

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|-------------------------------------|---|
| <i>Mobile</i> | <ul style="list-style-type: none"> Compatible with mobile devices including laptops, tablets, and smartphones (Google Android, Apple iOS and Microsoft Windows). Users can save data locally on the device while disconnected from the Internet and will synchronize the data with the Microsoft SQL server when reconnected. The application allows photos to be taken using a smartphone which can be uploaded into the client record. The application uses Google Maps API to display locations on a map. Synchronization audit history displays data synchronization attempts with the server. |
| <i>Security</i> | <ul style="list-style-type: none"> Data is encrypted in transit and at rest. Role-based access control by user or by group. Records an audit entry when records are modified, including modified and deleted fields and the user performing the action. For disaster recovery, a snapshot of the SQL virtual machine (VM) database is taken every 15 minutes. |
| <i>Correspondence and Reporting</i> | <ul style="list-style-type: none"> There are several built-in canned reports. Users can create custom reports. Managers can view the status of all staff-assigned cases. Built-in mini-data warehouse shows the current status of all managed cases. Form data captured can be exported as an Excel spreadsheet or a PDF file. |
| <i>Billing</i> | <ul style="list-style-type: none"> Not capable of receiving ANSI 837 data. |

1.2.2 VENDOR 2 (FRAMEWORK)

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|---------------------------------------|---|
| <i>Platform and Hosting</i> | <ul style="list-style-type: none"> Cloud-based Framework solution built on Microsoft Dynamics CRM database platform with a Microsoft SQL Server back end. Can be housed in the cloud, on premise, or a hybrid configuration using a combination of an on premise pass-through server and cloud servers for data storage. Clustered servers are scalable and load balanced for performance. |
| <i>Data Conversion and Interfaces</i> | <ul style="list-style-type: none"> Data can be imported from and exported to external data sources. Uses Service Oriented Architecture (SOA) for integration with third-party solutions. |

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|-------------------------------------|--|
| <i>Application Features</i> | <ul style="list-style-type: none"> ▪ Supports case management activities including enrollment, assessments, care plans and notes, acuity determination, goal tracking, and outcomes for agency, community, residential and home-based services. ▪ Uses existing SharePoint or other document management systems for file storage. ▪ Has a consumer portal that can be used to communicate with DOEA staff, apply for eligibility online, create their personal budget, select providers, manage service delivery, and create appointments. ▪ Has a provider portal that can be used to communicate and coordinate with providers and a provider management module that includes service authorizations, incident reports, program staff and service areas. ▪ Can support a Resource Directory, using AIRS taxonomy, which providers can access to keep their information current. ▪ Users are trained on system administration and configuration so they can perform system updates. |
| <i>Workflow</i> | <ul style="list-style-type: none"> ▪ A user-defined dashboard shows notifications, upcoming or past due assignments, ticklers, open assessments, recent activities, ongoing services, risks. ▪ The system can generate emails, appointments and tasks using data in the system through integration with Microsoft Office 365 Outlook. ▪ Notification triggers can be configured to alert a user about a field data value being changed. ▪ The system can send a notification or automatically assign a task when a client enters demographic information into the system. ▪ Non-technical staff can configure workflows to satisfy current and future business processes, data collection, and reporting requirements. ▪ Configurable workflows and dialogs guide users through each process step and decisions. ▪ Care plans and service authorizations can be copied from last year into the current year and will prompt the user to verify each field is correct. |
| <i>Mobile</i> | <ul style="list-style-type: none"> ▪ Compatible with mobile devices including laptops, tablets (Google Android and Apple iOS) and smartphones (Google Android and Apple iOS). ▪ <i>Electronic</i> signature feature allows a person can sign using their finger on a touchscreen compatible mobile device (laptop, tablet, or smartphone). ▪ <i>Digital</i> signature feature is available using the third-party add-on tool Topaz. ▪ Users can take advantage of the voice-to-text feature on the phone for dictation transcription. |
| <i>Security</i> | <ul style="list-style-type: none"> ▪ Data is encrypted in transit and at rest. ▪ Role-based access control by user or by group. ▪ Audit history captures changes to fields, forms, the user making the change, when they made the change, and the last couple of changes made. ▪ Provides disaster recovery, fault tolerance and load balancing, including redundant database instances on multiple servers. |
| <i>Correspondence and Reporting</i> | <ul style="list-style-type: none"> ▪ Uses SQL Server Reporting Services (SSRS) and Microsoft PowerBI for reporting. ▪ Advanced Find feature allows creating custom views and reports. ▪ Users must have proper role access to create and run reports. |

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|-------------------|---|
| <i>Billing</i> | <ul style="list-style-type: none"> ▪ Financial management module allows documenting and billing for services rendered. ▪ Case managers can record service documentation and billing units simultaneously. ▪ Can record time by participant, in a group or by program and export to external accounting systems. ▪ Supports HIPAA financial transactions, batch ANSI 837 external pairs, creates invoices, generates 5010s, and ANSI 837 electronic billing and configurable paper invoices. |

1.2.3 VENDOR 3 (FRAMEWORK)

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|---------------------------------------|--|
| <i>Platform and Hosting</i> | <ul style="list-style-type: none"> ▪ Proprietary cloud-based Framework solution. ▪ Clustered servers are scalable and load balanced for performance. |
| <i>Data Conversion and Interfaces</i> | <ul style="list-style-type: none"> ▪ Data can be imported from and exported to external data sources. ▪ Provides an interface with MMIS systems and enrollment broker systems. ▪ Provides an interface with Electronic Health Records (EHR) and Health Information Exchanges (HIE), using HL7 Continuity of Care Document (CCD) formats, allowing client information to be pulled from and shared with providers. |
| <i>Application Features</i> | <ul style="list-style-type: none"> ▪ Has a “configuration accelerator” feature to reduce or eliminate customization allowing configuration changes by non-IT staff in minutes. ▪ A drag-and-drop configuration feature allows changes to forms, fields, and reports. ▪ Framework has multiple web services Application Programming Interfaces (API) for custom configuration, including Apex. ▪ Files up to 4MB can be uploaded into the client record and access can be limited by user’s security role. ▪ Providers can upload files. ▪ “Check in” button displays when a service starts and a “check out” for when the service time ends. ▪ System uses a Master Data Management model to ensure uniformity, accuracy, consistency, and accountability of data. ▪ When creating a scheduled calendar task, the system shows available staff and a GPS map view of the location of assigned clients. ▪ An optional community-based Resource Directory is available. |

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|-------------------------------------|---|
| <i>Workflow</i> | <ul style="list-style-type: none"> ▪ Workflows for intake and referral, assessments, eligibility and enrollment, individual service plans, scheduling, case management, electronic visit verification, electronic timesheets, program management, and financial management. ▪ Users have a dashboard work queue that includes a message center and notification center. ▪ Upon login, system returns user to where they were when they last logged in. ▪ Notifications can be sent via email or text message. ▪ Assignments are color-coded to show which cases needing immediate action, are arranged in chronological order, and can be sorted by due date. ▪ Group queues so client cases can be shared with other case managers. ▪ User’s dashboard can display client and provider demographic information, current medications, registration, and licensing information. |
| <i>Mobile</i> | <ul style="list-style-type: none"> ▪ Compatible with mobile devices including laptops, tablets (Google Android and Apple iOS) and smartphones (Google Android and Apple iOS). ▪ Users can work offline. ▪ User interface has the same appearance and functionality whether being used on a desktop, laptop, tablet, or smartphone. ▪ Clients can use an electronic signature to sign system-generated forms. |
| <i>Security</i> | <ul style="list-style-type: none"> ▪ Data is encrypted in transit and at rest. ▪ Role-based access control by user or by group. ▪ Audit detail analysis is available through ad hoc queries or reporting. ▪ Provides disaster recovery, fault tolerance and load balancing, including redundant database instances on multiple servers. System is FedRAMP certified and DoD Impact Level 4. |
| <i>Correspondence and Reporting</i> | <ul style="list-style-type: none"> ▪ Field data can be used to generate a Department-standard PDF form file. ▪ Based on data entered, the system can notify the user of required forms. ▪ Reporting dashboard shows client composition, total number of enrolled clients, increase in clients over time, hospitalizations, number and increase/decrease of complaints filed. ▪ In the reporting dashboard, a user can click on values (e.g., client, provider, service area, etc.) and drill-down to subsets of search query results. |
| <i>Billing</i> | <ul style="list-style-type: none"> ▪ Can submit and validate ANSI 837 data and receive an ANSI 835 in return. ▪ Can interface and exchange data with an enrollment broker. ▪ Details about provider rates and units can be saved for later use in a drop-down menu selection. ▪ Billing validations are built in; for example, a provider dedicated to one area can’t bill for a different service area. |

1.2.4 VENDOR 4 (FRAMEWORK)

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|---------------------------------------|---|
| <i>Platform and Hosting</i> | <ul style="list-style-type: none"> ▪ Proprietary cloud-based Framework solution built on a Microsoft SQL Server platform. ▪ Clustered servers are scalable and load balanced for performance. |
| <i>Data Conversion and Interfaces</i> | <ul style="list-style-type: none"> ▪ Data can be imported from and exported to external data sources. ▪ Can interface with various legacy and external systems. ▪ Can interface with Electronic Health Record (EHR) systems. |
| <i>Application Features</i> | <ul style="list-style-type: none"> ▪ Client demographic screen displays client’s information, map of their location, notes field, and cases open at the client’s location, e.g., a nursing home. ▪ Document management leverages existing network drive folders or SharePoint. ▪ Provides chat feature. ▪ Tracks and manages waiver information and status. ▪ Most standard fields can be configured and new fields can be added. ▪ Dashboard agenda view displays a list view of assignments, activity view displays icons to indicate type of activity, and color-coded calendar view to display if appointments are overdue. |
| <i>Workflow</i> | <ul style="list-style-type: none"> ▪ Integrated text messaging and notification system notifies users of project, assignment and schedule information and changes. These notifications appear through both the mobile app and web interface. ▪ Dashboard displays a case worker’s current assignments. ▪ Email or text notifications and alerts based on triggers (field value changes, status changes, etc.). |
| <i>Mobile</i> | <ul style="list-style-type: none"> ▪ Compatible with mobile devices including laptops, tablets (Google Android and Apple iPads), and smartphones (Google Android and Apple iOS). ▪ Provides GPS location services to optimize travel routes and provide managers the ability to track and report on employee travel. ▪ Supports the use of <i>digital</i> signatures and <i>electronic</i> signatures allowing clients or providers to handwrite their signature on a touchscreen device such as a tablet or smartphone. ▪ Voice-to-text case notes on mobile devices and annotation of photos. |
| <i>Security</i> | <ul style="list-style-type: none"> ▪ Data is encrypted in transit and at rest. ▪ Role-based access control by user or by group. ▪ Audit history of activity to the field level. ▪ Provides disaster recovery, including redundant database instances on multiple servers. |
| <i>Correspondence and Reporting</i> | <ul style="list-style-type: none"> ▪ Predictive analytics feature provides access to real-time data to track and trend activities, spending, compliance, personnel performance and vendor metrics, ensure assignments and projects are achieving desired results and per defined business rules, and measure compliance to established business rules and receive deviation alerts. ▪ Provides the ability to generate canned reports via drop-down menu field selections. |

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|-------------------|--|
| <i>Billing</i> | <ul style="list-style-type: none"> Provides the ability to exchange claims data using Medicaid EDI standards, including receiving ANSI 837 data. Provides oversight, process automation and governance in managing service provider, vendor and independent contractor/1099 related services, cases, deliveries and supporting activities. |

1.2.5 VENDOR 5 (COTS)

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|---------------------------------------|---|
| <i>Platform and Hosting</i> | <ul style="list-style-type: none"> Cloud-based COTS system built on Oracle Application Server 10g and Forms 6i, using Microsoft SQL Server, running on SUSE Linux Enterprise 11 Server. Clustered servers are scalable and load balanced for performance. |
| <i>Data Conversion and Interfaces</i> | <ul style="list-style-type: none"> Data can be imported from and exported to external data sources. Vendor has already developed interfaces with several organizations including APD Consumer Directed Care+, AHCA FMMIS, DCF Florida Safe Families Network (FSFN), DEO and DOR employment data, DFS FLAIR financial data, and DOH Office of Vital Statistics data. Provides interfaces with Electronic Health Record (EHR) systems. |
| <i>Application Features</i> | <ul style="list-style-type: none"> Can incorporate DOEA's Rule-based algorithm. Assessment Design feature allowing the creation and automation of any Department-standard form. Optional public-facing online AIRS-compliant resource directory and ADRC call center features. Interfaces with MapQuest so appointments can be scheduled in distance order thereby minimizing travel time. |
| <i>Workflow</i> | <ul style="list-style-type: none"> Configurable workflow features for intake processes, tracking referrals, and providing outcome documentation. Needs identified during the assessment process can automate the creation of a care plan and recommend services. interRAI Instruments assessment and algorithms built into workflows to determine eligibility, assess care needs, and create care plans. Users can create their own time-sensitive tasks and ticklers that will automatically notify users at the appropriate time. |
| <i>Mobile</i> | <ul style="list-style-type: none"> Compatible with mobile devices including laptops, tablets (Google Android and Apple iPads), and smartphones (Google Android and Apple iOS). Field office managers can send out communications to all assessors in the field through their mobile device. Mobile GPS data is captured for analysis purposes. |
| <i>Security</i> | <ul style="list-style-type: none"> Data is encrypted in transit and at rest. Role-based access control by user or by group. Audit history of activity to the field level using ADAudit Plus. Provides disaster recovery, including redundant database instances on multiple servers. |

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|-------------------------------------|--|
| <i>Correspondence and Reporting</i> | <ul style="list-style-type: none"> Reporting through Oracle Report Builder 6i and uses SQL Server Reporting Services (SSRS) to generate reports including NAPIS and NORS reports. Provides an executive dashboard for overall program performance measures and ad hoc reporting. A series of interactive, visual dashboards can display actionable data sets for key program metrics. Real-time reporting capability of user task performance using graphical dashboards and user task queues. |
| <i>Billing</i> | <ul style="list-style-type: none"> Providers can submit ANSI 837 claims data which can be pre-adjudicated based on pre-defined Department business rules. Providers receive instant remittance results upon submitting claims. |

1.2.6 VENDOR 6 (CUSTOM)

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|---------------------------------------|--|
| <i>Platform and Hosting</i> | <ul style="list-style-type: none"> Cloud-based custom solution built on an Oracle platform. Hosted in Oracle cloud. Clustered servers are scalable and load balanced for performance. |
| <i>Data Conversion and Interfaces</i> | <ul style="list-style-type: none"> Data can be imported from and exported to external data sources. Interfaces with common database platform and creates multi-masters so records can be updated in multiple locations. Interfaces with Electronic Health Record (EHR) systems. |
| <i>Application Features</i> | <ul style="list-style-type: none"> Document Cloud Service support document management by allowing users to attach files to client records which can then trigger a workflow process. Forms tool to generate Department-standard PDF forms pre-populated with field data. Live chat capability. |
| <i>Workflow</i> | <ul style="list-style-type: none"> Case worker dashboard and built-in workflow automation. Standard email responses can be programmed to be automatically sent based on field values or other triggers in the system. Attaching files to client records can trigger a workflow process. |
| <i>Mobile</i> | <ul style="list-style-type: none"> Compatible with mobile devices including laptops, tablets (Google Android and Apple iPads), and smartphones (Google Android and Apple iOS). Provides GPS location services to optimize travel routes and provide managers the ability to track and report on employee travel. Supports the use of electronic signatures allowing clients or providers to handwrite their signature on a touchscreen device such as a tablet or smartphone. |
| <i>Security</i> | <ul style="list-style-type: none"> Data is encrypted in transit and at rest. Single-Sign On capability that can integrate with Microsoft Office 365. Role-based access control by user or by group. Audit history of activity to the field level. Provides disaster recovery, including redundant database instances on multiple servers. |

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|-------------------------------------|--|
| <i>Correspondence and Reporting</i> | <ul style="list-style-type: none"> Built-in canned reports can be scheduled to run. Advanced analytics, reporting, and charting features. Reports can be exported as PDF, Excel, HTML, and other common file formats. Data visualization tools can report on data from external systems. |
| <i>Billing</i> | <ul style="list-style-type: none"> Optional add-on component supports the import, processing, and release of claims. |

1.2.7 VENDOR 7 (COTS)

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|---------------------------------------|---|
| <i>Platform and Hosting</i> | <ul style="list-style-type: none"> Cloud-based COTS solution built on an IBM DB2 platform using Oracle Java and Java Enterprise Edition. Hosted in the Amazon Web Services (AWS) cloud and uses Microsoft Azure for SQL services and Data Warehouse. Clustered servers are scalable and load balanced for performance. |
| <i>Data Conversion and Interfaces</i> | <ul style="list-style-type: none"> Data can be imported from and exported to external data sources. Uses Master Data Management to synchronize identities, de-duplicate data, and perform internal and external data acceptance testing and validation. Interfaces with Electronic Health Record (EHR) systems. |
| <i>Application Features</i> | <ul style="list-style-type: none"> Case worker dashboard and workflow automation. Forms tool to generate Department-standard PDF forms pre-populated with field data that can be printed or emailed. Internal messaging system allowing users to set alerts in their home dashboard or send alerts to other users. Check in/Check out feature allows Department-standard forms to be saved securely on the mobile device, completed, and synchronized with the system. Senior Rx is used to populate medication drop-down lists in the system and includes medications, doses, frequency, prescriber, and associated diagnosis using SNOMED diagnosis codes. |
| <i>Workflow</i> | <ul style="list-style-type: none"> Over 30 configurable workflow components including case management, intake, registration, and information and referral. User portal has notifications, tickler reminders, and push pins for returning to where the user left off before logging out of the system. Upon referral, a user's portal page queue can indicate new referrals or an email notification can be automatically sent. |
| <i>Mobile</i> | <ul style="list-style-type: none"> Compatible with mobile devices including laptops, tablets (Google Android and Apple iPads), and smartphones (Google Android and Apple iOS). Mobile apps for meal delivery expected in Summer 2017 and intake and referral expected Fall 2017. System captures Electronic Visit Verification data to assist supervisors with validating work performance. |

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|-------------------------------------|--|
| <i>Security</i> | <ul style="list-style-type: none"> Data is encrypted in transit and at rest. Files can be transferred using dedicated Secure File Transfer Protocol (SFTP) server. When form files are checked out, downloaded, and completed by a user, the record is locked in the system, encrypted after downloading, and can be checked in and uploaded back into the client record. Role-based access control by user or by group. Audit history of activity to the field level. Provides disaster recovery, fault tolerance and load balancing, including redundant database instances on multiple servers. |
| <i>Correspondence and Reporting</i> | <ul style="list-style-type: none"> Several canned reports built in. Custom ViewBuilder tool which can be exported to Microsoft Excel spreadsheet format, SQL Server Reporting Services (SSRS), or Microsoft Report Builder. Uses Online Analytical Processing (OLAP) and data mart for reporting. Compliant with Federal and State reporting standards including NAPIS, NAMRS, NORS, SART, SRT and ORT. If reporting laws change, updates are made at no charge. |
| <i>Billing</i> | <ul style="list-style-type: none"> Built-in client and provider billing features. System can also manage split funding. Can process ANSI 837 data. Records audit trails and error logs for all EDI transactions. |

1.2.8 VENDOR 8 (CUSTOM)

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|---------------------------------------|--|
| <i>Platform and Hosting</i> | <ul style="list-style-type: none"> Cloud-based custom solution built on Microsoft SQL Server and Microsoft .NET core code. Hosted in the Microsoft Azure Government cloud. Clustered servers are scalable and load balanced for performance. |
| <i>Data Conversion and Interfaces</i> | <ul style="list-style-type: none"> Data can be imported from and exported to external data sources. Interfaces with Electronic Health Record (EHR) systems. |
| <i>Application Features</i> | <ul style="list-style-type: none"> Integrates with Microsoft Office 365 environments using Microsoft Outlook for calendaring and scheduling and SharePoint for document storage. Users can upload multiple files at once and enter metadata about the file contents during upload. Uses Microsoft Outlook to create and send automated notifications. Provides the ability to create a new form, field, or drop-down menu list. An Application Programming Interface (API) is available at the application layer. |

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|-------------------------------------|---|
| <i>Workflow</i> | <ul style="list-style-type: none"> Workflows can be configured by the vendor based on DOEA business rules. The case management module allows a user to transfer their client caseload to another user. Uses Microsoft Flow to create workflow automation. For workflows, C# code is automatically generated which can be further modified by developers. |
| <i>Mobile</i> | <ul style="list-style-type: none"> Compatible with mobile devices including laptops, tablets, and smartphones (Google Android, Apple iOS, and Microsoft Windows). Mobile users can work offline. Message store-and-forward allows emails to be sent after reconnecting to the internet. |
| <i>Security</i> | <ul style="list-style-type: none"> Data is encrypted in transit and at rest. Uses Microsoft Windows Active Directory for auditing, authentication, and authorization. Role-based access control by user or by group. Audit history of activity to the user, form and field level using JavaScript Object Notation (JSON) and Extensible Markup Language (XML). Provides disaster recovery, fault tolerance and load balancing, including redundant database instances on multiple servers. |
| <i>Correspondence and Reporting</i> | <ul style="list-style-type: none"> Uses Microsoft Power BI for business intelligence analytics reporting and Sway to create interactive reports and presentation. Data can be exported in Microsoft Excel format. |
| <i>Billing</i> | <ul style="list-style-type: none"> Billing interfaces would need to be developed by the vendor to accommodate DOEA business rules. |

1.2.9 VENDOR 9 (CUSTOM)

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|---------------------------------------|--|
| <i>Platform and Hosting</i> | <ul style="list-style-type: none"> Cloud-based custom solution built on Microsoft SQL Server. Hosted in the Microsoft Azure cloud. Clustered servers are scalable and load balanced for performance. |
| <i>Data Conversion and Interfaces</i> | <ul style="list-style-type: none"> Data can be imported from and exported to external data sources. Application Programming Interface (API) which can integrate and interface with external systems. |

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|-----------------------------|--|
| <i>Application Features</i> | <ul style="list-style-type: none"> ▪ Drop-down list items are easily configurable. ▪ Fields can be optional or required, preventing a user from saving a form unless the required fields are filled out. ▪ Configuration changes can be deployed into production and users are notified of the new update when they log into the system. ▪ Data in the system can be sent to email, FTP site, via HTTP file upload, or Web-Based Distributed Authoring and Versioning (WebDAV). ▪ Uploaded files can be stored in Box, Microsoft OneDrive or Microsoft SharePoint. Files can be automatically converted to PDF format and uploaded into SharePoint. ▪ For case management, standard case note responses can be configured to be filled in at the click of a button. ▪ Users can share any attached files within the system. ▪ Visual drag-and-drop web browser interface for creating and editing forms and workflows. |
| <i>Workflow</i> | <ul style="list-style-type: none"> ▪ The user dashboard includes Forms (available forms based on user role), Inbox (current assigned tasks), Drafts (incomplete items) and Sent (items sent from Inbox) views. ▪ Case management views available include: List (of clients), Due Date (when assignments are due), Priority (assignments ranked according to priority), and Map (map with pins showing each client location). ▪ Workflow can be configured to take a user to a form they must approve. ▪ To reassign a client to a different case worker, user selects client record and types in the new assignee. ▪ A sent form can trigger a text alert. |
| <i>Mobile</i> | <ul style="list-style-type: none"> ▪ Compatible with mobile devices including laptops, tablets, and smartphones (Google Android, Apple iOS and Microsoft Windows). ▪ Works on mobile devices when offline. ▪ User interface on mobile devices looks and works the same as on a desktop or laptop computer. ▪ Mobile application has dispatch capability displaying a daily summary of pre-populated client case information in preparation for a site visit. ▪ Assigned Tasks view displays client locations on a GPS map. ▪ Photos, including date and time taken, can be taken on a smartphone, edited, cropped, and annotated before saving in the client record. ▪ Client case notes can be translated from voice to text using a smartphone. |
| <i>Security</i> | <ul style="list-style-type: none"> ▪ Data is encrypted in transit and at rest. ▪ Role-based access control by user or by group. ▪ For audit purposes, the last user activity is maintained for reference but not prior changes. ▪ Provides disaster recovery, fault tolerance and load balancing, including redundant database instances on multiple servers. |

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|-------------------------------------|--|
| <i>Correspondence and Reporting</i> | <ul style="list-style-type: none"> Built-in reports are not provided but users can create ad hoc reports using Birst Networked Analytics and Business Intelligence Platform. A user's daily dashboard displays assignments and case status. The reporting interface displays data in the form of graphs, hover-over metadata, lists, outcomes by time period, or other types of dynamic reporting. An email summary of assignments and case status can be routinely sent to supervisors. Data in charts or graphs can be exported to Excel. |
| <i>Billing</i> | <ul style="list-style-type: none"> Capable of processing billing but not for Medicare or Medicaid. |

1.2.10 VENDOR 10 (COTS)

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|---------------------------------------|---|
| <i>Platform and Hosting</i> | <ul style="list-style-type: none"> Proprietary cloud-based COTS solution built on Oracle Real Application Clusters (RAC). Clustered servers are scalable and load balanced for performance. |
| <i>Data Conversion and Interfaces</i> | <ul style="list-style-type: none"> Data can be imported from and exported to external data sources. Provides the ability to develop an automated template to facilitate data migration into back end database. |
| <i>Application Features</i> | <ul style="list-style-type: none"> Can incorporate DOEA's Rule-based algorithm. Drop-down lists are configurable to fit DOEA standards. Files and photos up to 10MB can be uploaded into a client record. Document storage module that allows a user to include metadata regarding file uploaded. Field data in the system can be used to generate Department-standard PDF forms. Includes a built-in medications database from First DataBank providing data including pharmaceuticals, dosages, administration frequency, allergies, interactions, and photo description. |
| <i>Workflow</i> | <ul style="list-style-type: none"> Configurable workflows are based on a user's role allowing the user to submit, review or approve and can route an approval through multiple approvers in a specific order. Notifications can be sent to a user within the system dashboard, or sent via email or text message. Based on the type of service selected, the system can display only those providers that provide the selected service. |
| <i>Mobile</i> | <ul style="list-style-type: none"> Compatible with mobile devices including laptops, tablets, and smartphones (Google Android, Apple iOS, and Microsoft Windows). Assessments can be conducted using any mobile device even when offline. Data cannot be stored while offline to prevent HIPAA Protected Health Information (PHI) and other confidential information from being stored on the mobile device unencrypted. |

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|-------------------------------------|---|
| <i>Security</i> | <ul style="list-style-type: none"> ▪ Data is encrypted in transit and at rest. ▪ Notifications sent to a user within the system dashboard, email or text message are designed to exclude HIPAA Protected Health Information (PHI) as end device may not be encrypted. ▪ User can be assigned over 100 different security roles based on their job duties and what they should access. ▪ Case managers can share their client caseloads with others as needed. ▪ For audit purposes, the last user activity is maintained for reference but not prior changes. ▪ Role-based access control by user or by group. ▪ User actions in the system are captured in each saved form's audit tracking table showing which user made which change using which IP address and web browser. ▪ Provides disaster recovery, fault tolerance and load balancing, including redundant database instances on multiple servers. |
| <i>Correspondence and Reporting</i> | <ul style="list-style-type: none"> ▪ Correspondence is automatically generated using data in the system. ▪ Uses the Oracle Business Intelligence tool to provide built in reports. ▪ For optimal system performance, reporting is performed through a separate data warehouse. |
| <i>Billing</i> | <ul style="list-style-type: none"> ▪ Providers can bill AAA offices directly using Medicaid EDI standard formatting. ▪ System can send ANSI 835 forms and receive ANSI 837 forms in return. |

APPENDIX II – FUNCTIONALITY OF DOEA CORE PROCESSES

The table below list DOEA core processes and provides a brief description of each.

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|---|---|
| <i>Intake</i> | <ul style="list-style-type: none"> ▪ The method in which CARES processes referrals, including the sources from which cases are received and the requirements for accepting cases. Referrals for ICP assessments are accepted from any source and by any means of transmission – fax, mail, courier, walk-in, email or telephone. |
| <i>On-site Assessment</i> | <ul style="list-style-type: none"> ▪ A visit to the location where a client is currently residing (home, hospital, nursing facility, etc.) to obtain client assessment or follow-up information. To be considered an on-site visit the client must be interviewed or seen at time of assessment or follow-up. |
| <i>Medical Case-file Review for Initial Referrals</i> | <ul style="list-style-type: none"> ▪ Also known as a Desk Review – When face-to-face client contact is not required, this file review involves the examination of medical records by a CARES Assessor, Registered Nurse Specialist, and/or Physician Consultant in the process of determining level of care. |

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|--|--|
| <i>Staffing Process</i> | <ul style="list-style-type: none"> An interdisciplinary team meeting of CARES professional staff, Program Operations Administrator, CARES Physician Consultant and/or Registered Nurse Specialist to review medical documentation and assessment information for CARES' clients. The purpose of staffing is to determine appropriate and correct Level of Care, program recommendation, and placement recommendation. |
| <i>Recommended Placement - Community Services</i> | <ul style="list-style-type: none"> Placement recommendations will be based on the client's current living situation, and/or their potential to safely return or remain in the community. CARES staff will recommend placements that are the least restrictive, most appropriate living situation in which the individual can receive needed care and services. |
| <i>Recommended Placement - Temporary Nursing Facility Placement</i> | <ul style="list-style-type: none"> An individual in need of a temporary stay in a nursing facility or rehabilitation center who has potential for returning to the community. A client in a temporary placement who returns to the community is considered in an alternative placement at the time of return to the community. |
| <i>Recommended Placement - Long Term Nursing Facility Placement</i> | <ul style="list-style-type: none"> A nursing facility, assisted living facility, intermediate care facility for the developmentally disabled or tuberculosis hospital participating in the Medicaid program. |
| <i>Follow-Up Schedule - Community Services Recommendation</i> | <ul style="list-style-type: none"> Enrollees residing in a nursing facility who transition into the community with assistance from the LTC Plan will have their eligibility revised from ICP to home and community-based services (HCBS) eligibility. |
| <i>Follow-Up Schedule - Temporary Nursing Facility Recommendation</i> | <ul style="list-style-type: none"> Follow-up for nursing facility residents who have Temporary Level of Care recommendations. For Temporary Nursing Facility Placement (code NHTP) recommendations, the follow-up schedule is 30 and 90 days. |
| <i>Follow-Up Schedule - Long-Term Care Nursing Facility Recommendation</i> | <ul style="list-style-type: none"> Follow-ups are completed to evaluate the progress of individuals as it relates to Level of Care criteria and community potential. Follow-ups will be completed at 30 and 90 days based on the most recent staffing date. |
| <i>Pre-Admission Screening & Resident Review</i> | <ul style="list-style-type: none"> An extensive, individualized in-depth evaluation of the individual to confirm or rule out a suspected diagnosis of SMI, ID or both. The Level II Evaluation is also used to determine whether nursing facility services and specialized services are needed. The Office of Substance Abuse and Mental Health (SAMH) or its designee is responsible for determining the need for specialized services for individuals suspected of having SMI and if nursing facility placement is appropriate. The Agency for Persons with Disabilities (APD) is responsible for determining the need for specialized services for individuals suspected of having ID and if nursing facility placement is appropriate. See 42 CFR 483.112 and 42 CFR 483.130. |

| ANALYSIS CATEGORY | PRIMARY FEATURES |
|-----------------------------|---|
| <i>New Admission Review</i> | <ul style="list-style-type: none"> ▪ Discuss case with the facility staff, determine date of admission, review resident’s chart, and obtain copies of pertinent medical or social information related to determining Level of Care. |
| <i>Nursing Home Intake</i> | <ul style="list-style-type: none"> ▪ The method in which CARES processes referrals, including the sources from which cases are received and the requirements for accepting cases. Referrals for ICP assessments are accepted from any source and by any means of transmission – fax, mail, courier, walk-in, email or telephone. |
| <i>Care Plans</i> | <ul style="list-style-type: none"> ▪ An individualized written plan of care that identifies the assessed needs of a client and how the needs will be met with the provision of services. The care plan includes the services, duration, frequency, and provider of the services. |

RFQ 1702

**ENTERPRISE CLIENT INFORMATION AND
REGISTRATION TRACKING SYSTEM
(ECIRTS) ANALYSIS
PROJECT MANAGEMENT PLAN**

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SECTION 1 EXECUTIVE SUMMARY

1.1 DOEA BACKGROUND

Florida has more than 5.2 million elders age 60 and above which ranks first in the nation in the percentage of its citizens who are elders, and will continue to do so for the near future. Currently, elders make up 24% of the state's population, and this is expected to grow to 35% by 2030. There are more than 1.7 million Floridians age 75 and older, and the population group 100 and older is Florida's fastest growing age group by percentage. Florida has more elders living within its borders than the populations of 17 other states and the District of Columbia combined. Florida's future is linked to the financial, health, and physical security of its elder population.

The Department provides most services through its Division of Statewide Community-Based Services, which works through the state's eleven Area Agencies on Aging and local service providers to deliver essential services to a vital segment of the population. The Department also directly administers a wide range of programs, ranging from the Long-Term Care Ombudsman Program, Office of Public and Professional Guardians, Communities for a Lifetime to SHINE (Serving Health Insurance Needs of Elders), and CARES (Comprehensive Assessment and Review for Long-Term Care Services).

The Department recognizes individuals age differently, and therefore the state's residents do not each need the same kind of care or services as others the same age. Some individuals may suffer from chronic conditions that began long before they reached age 60, while others may be able to live their entire lives without ever needing long-term medical or social services. One of the Department's highest priorities is reducing the need for many elders to be placed in nursing homes and other long-term care facilities.

Ultimately, the goal is to efficiently use resources to ensure that the greatest number of elders possible get to spend their golden years living healthy, active, and fulfilling lives in their communities.

1.2 PROJECT OVERVIEW

The current technology used by DOEA to provide services, including determining medical eligibility of the State's elderly population for cost effective home and community-based services, is the antiquated legacy Client Information and Registration Tracking System (CIRTS). CIRTS is a 25+ year old system using an obsolete and no longer supported technology. This impact of continuing to utilize older technology is reduced stability, dependability, extensibility, and supportability of DOEA's most critical application. Additionally, years of extensive programmatic changes have resulted in conflicting modifications and workarounds in code, creation of additional external databases, and paper-based processes severely convoluting the work flow, data management, and security processes. This has resulted in significant inefficiencies in the system and thereby reduces employee efficiency and productivity.

The overall purpose of the eCIRTS project is to optimize business processes and align the optimized process with the best value technology solution available in the market to support DOEA's drive for increased efficiency.

SECTION 2 ABOUT THIS DOCUMENT

The Project Management Plan describes the Background, Objectives, Scope, Project Management Approach, Key Deliverables, Assumptions, Governance Structure, and a framework for Risk Management associated with the project. This document has been tailored for this project using standards from “A Guide to the Project Management Body of Knowledge (PMBOK® Guide)” published by the Project Management Institute (PMI).

2.1 WHO SHOULD USE THIS DOCUMENT?

The Enterprise Client Information and Registration Tracking System (eCIRTS) project teams and project stakeholders involved in the project should use this document for guidance on project procedures and processes.

2.2 RELATED DOCUMENTS

This document should be used in conjunction with the following Project Documents:

- Project Charter
- Project Contract
- Project Statement of Work (SOW)
- Microsoft Project Schedule/Timeline

2.3 DISTRIBUTION

This document shall be distributed to all project staff (including Vendor Team members) and any other personnel and stakeholders as required. Notifications of changes to this document will be circulated per the current project management process.

2.4 ASSUMPTIONS

The following assumptions are identified:

- There is executive sponsorship and business functional sponsorship as well as commitment from DOEA to apply department resources to meet the goals and objectives of the project;
- The project is the top Information Technology initiative for DOEA;
- The project team members and all Stakeholders recognize time is of the essence and will prioritize their participation accordingly;
- The project stakeholders will coordinate the availability of appropriate staff for consultation during the project, as required;
- The project stakeholders will ensure staff participating in meetings on the divisions and business units' behalf have the requisite knowledge and will be given the authority to make decisions;
- The DOEA Project Manager will coordinate the availability of external stakeholders (other Agencies, oversight groups, etc.) for consultation during the project, as required;
- The DOEA Project Manager will coordinate all meetings with internal and external stakeholders and the Vendor Project Manager as requested and as deemed necessary during the project;
- The DOEA Project Manager will coordinate with the Vendor Project Manager to ensure project goals, deliverables, and requirements are met within timelines established for this project;

- The DOEA Project Manager will inform the Vendor Project Manager in a timely manner of critical linked and adjacent systems and activities that may impact the SOW, project plan, and deliverables;
- The DOEA Project Manager will provide access to all relevant information, documentation, and reports within the scope of analysis;
- The DOEA Project Manager will help facilitate timely access to data and resources as appropriate; and
- The DOEA Project Manager will review project progress reports and deliverables to provide feedback and final approval/disapproval to the vendor per a mutually agreed document review process.

2.5 CONSTRAINTS

- There is limited budget for this project; and
- There is limited staff availability for this project as the project is cross matrixed;

2.6 TERMS AND ACRONYMS

A list of acronyms and terms referenced throughout the document can be found in the *Project Glossary of Terms and Abbreviations* document, attached as Appendix A.

SECTION 3 PROJECT GOVERNANCE AND ORGANIZATION

The following table is a description of the project roles and responsibilities:

| Role Name | Description | Participant(s) |
|--------------------------------|--|---|
| Project Champion | <ul style="list-style-type: none"> ▪ Champions the Project; ▪ Provides guidance on overall scope and project direction; ▪ Assures adequate business resources for project work activities; ▪ Is the ultimate decision maker for those items brought before the steering committee; and ▪ Facilitates communications with the other Agency management. | Richard Prudom, Deputy Secretary and Chief of Staff |
| Project Sponsor | <ul style="list-style-type: none"> ▪ Provides guidance on overall scope and project direction; ▪ Assures adequate business resources for project work activities; ▪ Acts as a member of the Project Steering Committee; ▪ Has ultimate responsibility for successful completion of the Project; and ▪ Facilitates communications with the other Agency management. | Jon Manalo, Chief Financial Officer |
| Business Functional Sponsor | <ul style="list-style-type: none"> ▪ Has responsibility for the successful completion of the Project; ▪ Has project-related decision-making authority; ▪ Oversees the execution of the Project; ▪ Acts as a member of the Project Steering Committee; ▪ Acts as a point of escalation for project-related issues; ▪ Provides adequate business resources for project work activities; and ▪ Reports status and issues to the Project Sponsor. | Madeleine Nobles, Division Director of Statewide Community-Based Services |
| Business Functional SMEs | <ul style="list-style-type: none"> ▪ Reports to the Business Functional Sponsor; and ▪ Provides subject matter expertise in support of the execution of the project. | CARES Staff ADRC Staff |
| Contract Manager | <ul style="list-style-type: none"> ▪ Controls project budget; ▪ Acts as a member of the Project Steering Committee; ▪ Acts as the primary point of contact for contractual issues with the Vendor; ▪ Enforces the performance of the contract; and ▪ Mediates contract disputes. | Shandra McGlohon |
| eCIRTS DOEA Project Manager | <ul style="list-style-type: none"> ▪ Reports to the Project Sponsor; ▪ Has day-to-day responsibility for the successful completion of the Project; ▪ Oversees the work of the Project Teams; ▪ Oversees the work of the Vendor; ▪ Acts as a member of the Project Steering Committee; ▪ Acts as a liaison with the Project Director; and ▪ Acts as a point of escalation for project-related issues. | TBD |
| Project Management Office Team | <ul style="list-style-type: none"> ▪ Report to the DOEA PMO; and ▪ Provide subject matter expertise in support of the execution of the project. | TBD |

| | | |
|--|--|--|
| Chief Information Officer | <ul style="list-style-type: none"> ▪ Reports to the Project Sponsor; ▪ Has day-to-day responsibility provide the technical support for the successful completion of the Project; ▪ Acts as a member of the Project Steering Committee; and ▪ Acts as a point of escalation for project-related issues. | Steve Grantham |
| Information Technology Team | <ul style="list-style-type: none"> ▪ Report to the DOEA Project Manager; and ▪ Provides subject matter expertise in support of the execution of the project. | Ken Roberts – Application Development Manager Kun Chen – Database Administrator |
| Vendor Project Manager | <ul style="list-style-type: none"> ▪ Has day-to-day responsibility for the successful completion of the Project; ▪ Oversees the work of the Project Teams; ▪ Acts as a point of escalation for project-related issues for the vendor. | TBD |
| Vendor Project Team | <ul style="list-style-type: none"> ▪ Responsible for the development of the deliverable(s) in collaboration with the DOEA staff and other key stakeholders. | TBD |
| Agency for State Technology (AST)/IV&V | <ul style="list-style-type: none"> ▪ Responsible for setting standards for management of the eCIRTS project and for providing oversight of the project. | TBD |
| External Stakeholders | <ul style="list-style-type: none"> ▪ Provides subject matter expertise in support of the execution of the project. | TBD |
| Legislature | <ul style="list-style-type: none"> ▪ Provides oversight and budget approval in support of the Project | TBD |

Table 1: Project Governance – Roles and Responsibilities

The Exhibit below represents the eCIRTS Project Organization Chart:

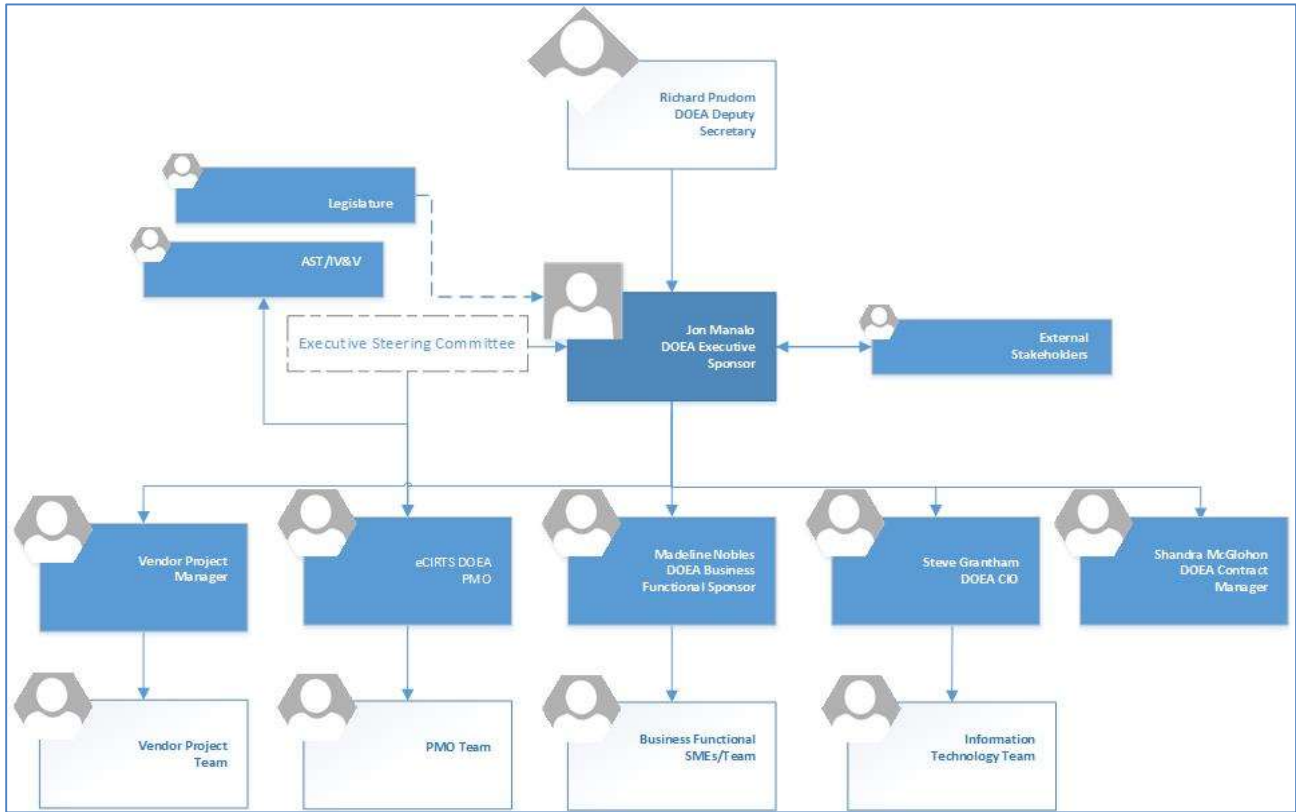


Exhibit 1: eCIRTS Project Organization Chart

SECTION 4 STAFFING PLAN

4.1 HUMAN RESOURCE/STAFF MANAGEMENT

The Human Resource Management Plan defines how the PMO will plan, develop, and manage the resources staffed to support the Project. The Human Resource Management Plan is used in conjunction with the On-boarding Process).

The eCIRTS Human Resource (HR) Management Plan describes the staffing processes and procedures to be followed during the Project to plan for and control project staffing for the remaining effort of the eCIRTS Project including procurement, planning, design, development, implementation and ongoing operations and maintenance.

Each section below provides managers with key information to make informed staffing decisions.

The HR Management Plan (as part of the PMP) is reviewed and updated prior to the beginning of each release as scheduled in the Master Project Schedule (MPS) during the execution of this project.

4.2 ROLES AND RESPONSIBILITIES

The table below describes the resource management roles and associated responsibilities.

| ROLE | RESPONSIBILITIES |
|---|--|
| DOEA Project Manager | <ul style="list-style-type: none"> ▪ Manages the staffing process as defined in this document; ▪ Defines and request staffing budget; ▪ Directs the Project Managers to perform the individual tasks necessary to manage the project staff successfully; and ▪ Reviews and approves/rejects staffing requests. |
| Project Managers (Department and Vendors) | <ul style="list-style-type: none"> ▪ Identifies resource needs; ▪ Identifies resource training needs; ▪ Obtains resources; ▪ Allocates and releases resources; and ▪ Complies with laws and department HR policies. |
| IT Governance Team | <ul style="list-style-type: none"> ▪ Ensures major staffing issues are resolved and major staffing risks are mitigated in a timely fashion. |
| eCIRTS PMO | <ul style="list-style-type: none"> ▪ On-boards and trains DOEA and vendor project staff; ▪ De-commits DOEA and vendor staff; ▪ Provides project communications for project staff (department and vendor); ▪ Assists in identifying project resource needs; ▪ Conducts workshops to assist work stream Leads in assigning resource allocation for schedule tasks, as needed; ▪ Provides mentoring and technical support to the Vendor Schedule Coordinators; ▪ Reviews Vendor Staffing Reports against resource assignments in Master Project Schedule; and ▪ Analyzes resource allocations and identify assignment over-allocations. |

Table 2: Human Resource Management Roles and Responsibilities

4.3 HUMAN RESOURCE MANAGEMENT PROCESS

The Human Resource Management process provides the direction to coordinate and manage the personnel assigned to perform the work for the Project. Managing Project staff entails Project leadership providing human resources with direction, guidance, and support while the team performs their work with a clear goal of meeting the Project's objectives. Following a defined human resources management strategy provides more effective communications, improved staff performance, increased quality levels in work products, and increased control of schedule and budget performance. This section addresses the components of the Human Resource Management Lifecycle as depicted in the exhibit below including:

- Determining how the team allocates human resources to the project;
- Defining the procedures for on-boarding and de-committing human resources; and
- Providing support for handling resource-related issues, such as team development.



Exhibit 1: Human Resource Management Lifecycle

4.3.1 PLAN HUMAN RESOURCES

Planning for human resources is performed by considering the roles and skill sets needed to complete work packages. DOEA, eCIRTS PMO, and Vendor Project Managers use the Work Breakdown Structure (WBS), the Staffing Report (i.e., personnel roster) and the resource requirements to identify the resources and roles required during the project initiation phase as defined during the finalize schedule development process (see Schedule Management Plan for more details).

Each vendor on the Project will provide initial project schedules to perform their scope of work that will be incorporated into the Master Project Schedule. In addition, the vendors and DOEA will provide a Staffing Report that will include personnel assigned to the Project that will serve as the roster for onboarding and roll-off of Project personnel throughout the life of the Project.

The Schedule Management Plan defines the process for creating and updating the MPS for the eCIRTS Project. To create the schedule, the Project Management Team started by creating a detailed WBS. The staffing reports use the WBS and schedule as a foundation to determine the types and parameters of resources needed to complete the Project. Resource requirements were determined from an analysis of project activities and the assumptions made when estimating activity definitions, duration, and cost. The resource requirements include DOEA staff, consulting services, vendors, and any other personnel.

Each task contained in the MPS must have resources assigned. Each task can have multiple resources assigned, depending on the requirements needed to complete the task. Task resource needs are defined in the work streams through the rolling wave process and recorded in the MPS. Additionally, as new tasks are identified, they require resource assignments before being recorded into the MPS.

4.3.2 ACQUIRE HUMAN RESOURCES

It is the responsibility of DOEA and vendors to acquire the appropriate staff to perform the scope of services outlined in the contract(s) to meet the project objectives. The vendors are responsible for hiring and training staff for the project to meet the contractual obligations for all staff to complete the work outlined in their contract scope of services.

The eCIRTS PMO and the Project Managers will work together to identify and acquire an appropriate mix of human resources for the project using the Human Resources Management process; organizational charts; resource availability, experience, and skill level; and job descriptions.

Human resource acquisition will occur throughout the project's lifecycle, with human resources onboarding at various times. A core team will start at the beginning of the project while others will be brought on just prior to the start of work. Additionally, new resources may be brought in to replace existing human resources. Vendor Project Managers must provide resumes and obtain approval for human resource changes with both the eCIRTS PMO and DOEA.

The Staffing Reports submitted monthly to the DOEA eCIRTS Project Manager will contain project resources including staff role, and planned start and roll-off dates. Additional details and a sample Staffing Report can be found in the Schedule Management Plan. The Staffing Report will be maintained on the Project SharePoint site.

Due to the nature of long projects, not all resources will be known, named individuals at the start of the project. A rolling wave process will be used to identify named resources within the six-month period for team or role placeholders that are provided in the MPS. The initial Staffing Report may include roles without named individuals for downstream phases of the Project. Monitoring of the Staffing Report will be conducted monthly to identify any resource issues or risks raised because of variances in the staffing actuals versus forecast for staff.

Each week, the Schedule Coordinators will be providing their status updates to their team's tasks (current and future tasks). The status updates include any resource assignment or utilization changes to be reflected in the MPS. The MPS will be the single repository for all project tasks and assignments containing planned (forecast) and actual information for tasks and resource assignments.

4.3.3 MANAGE HUMAN RESOURCES

The transition of team members from one role to another, into operational and maintenance activities, or out of the Project, may take place throughout the duration of the Project. Team members will work closely with experienced DOEA staff and vendor staff to gain as much practical knowledge as possible. The eCIRTS Project Team must manage transition activities to ensure the proper transfer of responsibility and knowledge.

The appropriate DOEA, or vendor, project manager is responsible for ensuring any pending work from a departing resource is transferred to a remaining staff member to ensure timely transition and completion of the work. If appropriate, the receiving staff may request additional training to support the new responsibilities. An appropriate transition period must be developed for the departing resource.

The Project Schedule Manager will be notified of upcoming departures or arrivals of new resources through the Staffing Report identifying resources (at least by roles) for the Project. Each new resource will be on-boarded and oriented to the Project by the eCIRTS PMO as described in the on-boarding documentation located in the Project SharePoint site. This documentation includes the on-boarding for Vendor Key Named Staff.

SECTION 5 ORGANIZATIONAL CHANGE MANAGEMENT PLAN

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

DOEA will adhere to the standards of the PMO for Organizational Change Management. An OCM strategy will be identified as detailed Organizational Change Management and Workforce Transition Plans are developed as a part of the FY 17-18 Pre-DDI project.

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

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

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

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

SECTION 6 RISK MANAGEMENT PLAN

6.1 RISK OVERVIEW

A project risk is defined by PMI as an uncertain event or condition that, if it occurs, may have a positive or negative effect on a project’s objectives. Risk management is an ongoing process that is conducted throughout the life of the project. The process begins with identifying, assessing, and developing response plans for significant risks. It continues with regular risk monitoring, ongoing identification of new risks, and timely implementation of mitigation plans.

This Risk Management Process addresses identified risks that require visibility at the highest levels of the project and will be managed by the combined Project Management teams of the Vendor and DOEA.

The project team is using a straightforward method that includes the following process steps:

- Identify: Identifying and categorizing project risks;
- Analyze: Assessing and prioritizing the risks;
- Plan: Developing a response strategy and assigning responsibility, so they are manageable;
- Track: Tracking the risks by reviewing them at key project milestones;
- Control: Implementing the defined response strategies as required; and
- Communication: Communicating the risks and strategies on an ongoing basis throughout the life of the project.

Risk management processes address internal risks (those under the control or influence of the project team, such as quality of deliverables, cost, schedule, or technical risks) as well as external risks (those outside the control of the project team such as governmental legislation, weather events, etc.).

6.2 ROLES AND RESPONSIBILITIES

The roles and responsibilities relating to Risk Management are presented in the table below:

| Team Role | Team Responsibilities |
|--|--|
| Risk Originator (anyone) | Identifies risk |
| Risk Coordinator (PMO) | Validates and registers risk in Risk Log, closes risk |
| Risk Management Team (RMT) (The DOEA and Vendor Project Management teams or designees) | Performs risk analysis, approves risk response plans, monitors risk and approves closure of risk |
| Risk Owner (Assigned by Risk Management Team) | Formulates and executes risk response plan |

Table 3: Risk Management Roles and Responsibilities

6.3 RISK PROCESS

The Exhibit below is a graphical representation of the risk management workflow. The exhibit depicts the various processes a risk will proceed through during risk management as well as the identification of the individual or team responsible for the process step.

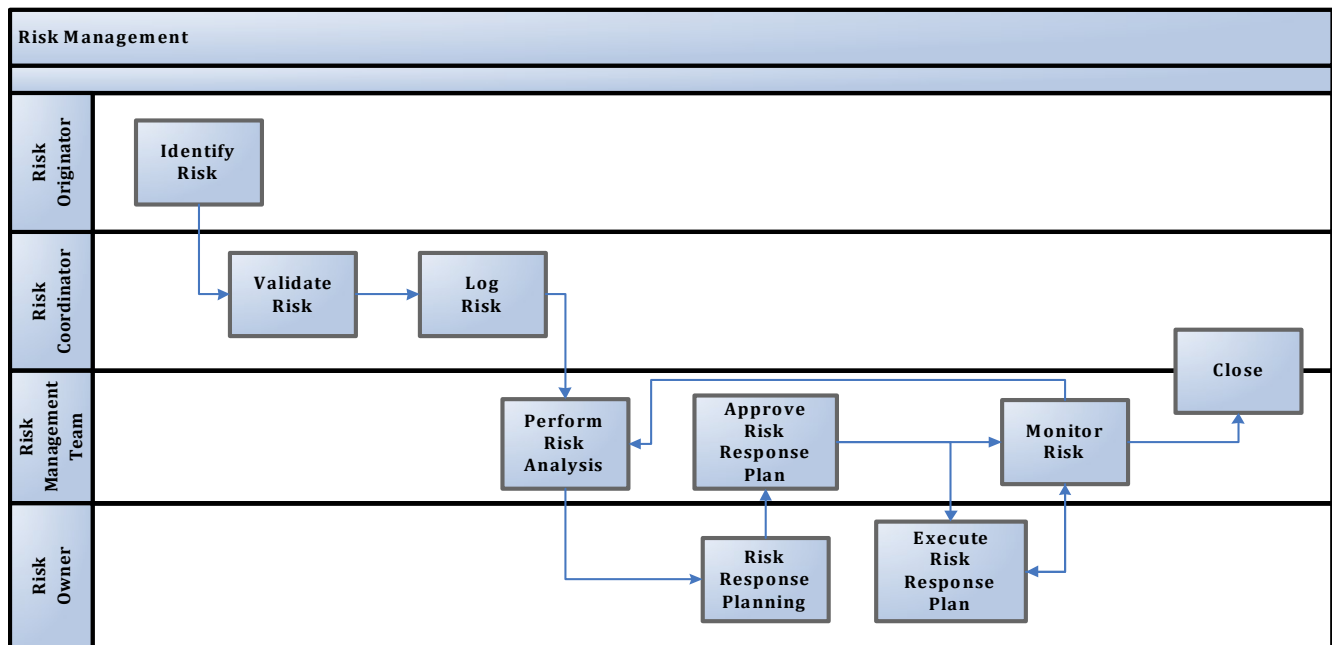


Exhibit 3: Risk Management High-Level Workflow

As depicted above, the Risk Coordinator first validates an identified risk to make sure the information is complete and that the risk is not a duplicate. Once verified the risk information is logged into the Risk Log and given a unique identifier. The RMT conducts the risk qualitative analysis to determine the risk probability and impact.

Next the risk tolerance ranking is determined based on probability and impact. An appropriate level of response planning will be defined by the RMT and the assigned Risk Owner will develop the risk response plan.

Approved response/mitigation plans will be put into execution and monitored to completion. Risks will eventually be closed, either because they have passed their triggering event and no longer pose a threat to the project or the risk has occurred causing the risk contingency plan to be triggered, resulting in the mitigation of the risk or the risk being moved to any issue.

The project risk management process will consist of the following key activities:

| Activity | Approach | Purpose |
|----------------|--|---|
| Identify risks | Create a list of project risks; gather risks from stakeholders using brainstorming, predefined lists, and/or completion of risk identification questionnaires. | Makes known project risks explicit before they become problems; helps to set expectations and provide a vehicle for reaching consensus – unknown risks cannot be managed. |
| Analyze risks | Determine the consequence of risks listed and calculate the risk tolerance. | Transforms the risk data into decision making information. |
| Plan | Determine desired risk strategies and actions, and assign responsibility. | Translates the risk information into strategies and mitigation actions. |
| Track | Review and re-examine risks when project situation changes or key milestones are achieved. | Monitors risk indicators and mitigation actions. |
| Control | Implement planned actions when risk indicators manifest; determine mitigation effectiveness for continuous improvement. | Corrects and ensures implementation of mitigation actions as required. |
| Communicate | Discuss and review project risks and plans in project status, or other scheduled meetings, when the project situation changes or key milestones are achieved. | Enables sharing of critical information throughout the project. |

Table 4: Risk Management Activities

6.4 RISK IDENTIFICATION

The risk identification process involves determining which risks might affect the project and documenting their characteristics. The following sections detail the approach used for risk identification. It includes:

- Techniques for Risk Identification
- Categorizing Risks
- Capturing Identified Risks

6.4.1 TECHNIQUES FOR RISK IDENTIFICATION

There are several techniques used to identify project risks. Risk identification is the process by which the perception of a potential problem is translated into recorded information containing sufficient detail to enable effective assessment of the risk and to support subsequent management decisions.

Risks can be identified at every level of the organization. All team members and stakeholders should be able to recognize risks during their daily work and should bring potential risks to the attention of their team leaders or managers as they identify them. Risks may also gain visibility in project reviews with managers or executives, at meetings held with co-workers, or during interactions with stakeholders.

The techniques used to identify risks using the approaches defined above include:

- **Information Gathering** - Both structured and unstructured approaches are used to gather project risks and a Risk Identification Form will be completed if it is determined a risk should be logged.
 - **Structured** - The Risk Log is reviewed during the project status meetings to assess project risks. Members will consider risks identified. Monthly, the RAIDL Log is reviewed to ascertain whether any existing risks should be revised or new risks identified because of changes in the project or related events.
 - **Unstructured** - Project risks are solicited during project meetings, interviews, and workgroups. Identified risks will be brought to the attention of the RMT for consideration.
- **Documentation Reviews** - Individual RMT members gather project information from other relevant project documents and artifacts as well as other internal and external risk assessments to help identify risks.
- **Assumption Analysis** - Risks are identified as the RMT members assess the validity of assumptions made in project deliverables and other project documentation, from an accuracy, consistency, or completeness perspective.

6.4.2 CATEGORIZING RISKS

Project risks are grouped into categories, assigned ownership, and analyzed for implementation of common mitigation approaches across the project risks, as appropriate. If a risk spans multiple categories, it is categorized based on the area of primary impact.

6.4.3 RISK ANALYSIS

Once project risks and opportunities have been identified, an analysis will be performed to determine relative priorities and to develop a prioritized risk list for planning the appropriate level of response to the risks.

A qualitative analysis will be performed on each risk. After an initial prioritization, a decision will be made by DOE and vendor PMO teams on whether the risk warrants more detailed analysis using quantitative techniques to further assess the probability and potential impact of the risk event on the project objectives.

A probability value is determined using the likelihood of occurrence, based on analysis by the project management team (PMT). The following table describes the Risk Probability Values.

| PROBABILITY | LIKELIHOOD OF OCCURRING |
|-------------|-------------------------|
| 1- Low | Unlikely |
| 3- Medium | Likely |
| 5- High | Very Likely |

Table 5: Risk Probability Values

An impact value is determined using the guidelines below, based on analysis by the PMT. The table below provides an overview of the Risk Impact Values.

| IMPACT | DIMENSIONS TO CONSIDER | | | |
|-----------|---|---|--|---------------------------------------|
| | COST | SCHEDULE | SCOPE | QUALITY |
| 1- Low | Little (<10%) to no impact on Project cost | No or little impact to project schedule | Minor clarification to existing scope | Project quality is not jeopardized |
| 3- Medium | Impact to project costs is less than 20% | Schedule impact is possible | Scope change is noticeable, but not deemed significant | Impact to project quality possible |
| 5- High | Impact to project costs is greater than 20% | Schedule and deliverable due dates will be impacted | Scope change is deemed significant | Impact to project quality very likely |

Table 6: Risk Impact Values

A Risk Rating is determined by multiplying the probability score by the impact score. The table below provides the products of this exercise for each probability/impact combination:

| RISK SCORE | | PROBABILITY | | |
|------------|-----------|-------------|-----------|---------|
| | | 1- LOW | 3- MEDIUM | 5- HIGH |
| IMPACT | 1- Low | 1 | 3 | 5 |
| | 3- Medium | 3 | 9 | 15 |
| | 5- High | 5 | 15 | 25 |

Table 7: Risk Rating Scores (Probability x Impact)

6.4.4 RISK LOG

Project risks are captured using the Risk Log (a component of the RAIDL log) as a collaborative effort between the DOEA and Vendor Project Management teams. The electronic version of this document is maintained by the PMO/Risk Coordinator and is stored in the DOEA SharePoint site. Once the risk is entered into the Log, a unique identifier (Risk item #) is assigned. The Risk Coordinator is responsible for maintaining the Risk Log. Below is a sample of the Risk Log Tab from the Risk, Action Items, Issues, Decisions and Lessons Learned (RAIDL) Log showing the various data elements involved in the process.

| RISK LOG | | | | | | | | | Legend: New: ■ Decreasing: ■ Increasing: ■ Closed: ■ | | |
|---|------------------|----------|-------------|------------------|---------------|--------|-------|-------------------------------|---|--------------|----------------|
| Definition: A RISK is a potential issue that MAY negatively impact the project timeliness, quality, resources or budget at some point in the future. | | | | | | | | | Link To Other Project Logs | | |
| Item# | Risk Description | Category | Probability | Impacted Area(s) | Identified By | Status | Owner | Risk Response\Mitigation Plan | Issue Log # | Action Log # | Decision Log # |
| 1 | | | | | | | | | | | |
| 2 | | | | | | | | | | | |
| 3 | | | | | | | | | | | |
| 4 | | | | | | | | | | | |
| 5 | | | | | | | | | | | |
| 6 | | | | | | | | | | | |
| 7 | | | | | | | | | | | |
| 8 | | | | | | | | | | | |
| 9 | | | | | | | | | | | |
| 10 | | | | | | | | | | | |
| 11 | | | | | | | | | | | |

Exhibit 4: RAIDL - Risk Log Tab

Legend:

- **Item #** - unique sequence number assigned to each risk identified.
- **Risk Description** – narrative of the nature of the risk and potential negative impacts.
- **Category** - used for any other type of categorization, such as internal vs. external, or confidential vs. non-confidential; provides a way to logically group certain risks.
- **Probability** – assessment of the likelihood of the risk to happen.
- **Potential Impact** – assessment of the extent of negative impacts.
- **Impacted Area** – the project aspects that will suffer the negative impacts of the occurrence of the risk, e.g., Schedule, Cost, Quality.
- **Status** – an indicator of the stage at which the risk is being addressed.
- **Identified by** – name of team member that identified the risk.
- **Owner** – name of the team member that is responsible for planning and implementing responses to the risk.
- **Risk Response/Mitigation Plan** – a narrative of the strategies identified to address the risk.
- **Linkage to Other Logs** – traceability references to related items in the Issue, Action, and Decision Logs.

The Risk Log is stored in the eCIRTS SharePoint project repository and access can be made available upon authorized request.

SECTION 7 ISSUE/ACTION ITEM/DECISION MANAGEMENT PLAN

7.1 ISSUE OVERVIEW

Disciplined management of Issues enables a project team to effectively resolve the issues in a timely manner to keep the project on track. A formal Issue Management process provide the mechanism throughout the life cycle of the project to bring issues, action items, and decisions to timely resolution.

Issue - An ISSUE is an existing constraint that is negatively impacting project timeliness, quality, resources, or budget at some point in the future. Issues requiring attention from another level or area within the project governance structure will be subject to the formal issue escalation process.

7.1.1 ISSUE MANAGEMENT ROLES AND RESPONSIBILITIES

The roles and responsibilities relating to Issues/Action Items Management are presented in the table below:

| Team Role | Issue and Action Item Responsibilities |
|-----------------------------|--|
| Business Functional Sponsor | <p>The Project Business Functional Sponsor has overall responsibility for all the project areas including the management of issues and action items.</p> <ul style="list-style-type: none"> ▪ Make decisions to resolve issues or escalate to the Project Sponsor |
| Project Manager | <p>The Project Manager responsibilities include:</p> <ul style="list-style-type: none"> ▪ Ownership of Issue Tracking Logs in the RAIDL; ▪ Monitoring and management of open issues; ▪ Chairing Issue Coordination Meetings updating status as required; ▪ Including issues status within the Project Status Report; and ▪ Reviewing issues to prevent duplication. |
| Issue Originator | <p>Anyone can originate an issue. Responsibilities include:</p> <ul style="list-style-type: none"> ▪ Identifying an issue requiring resolution; ▪ Logging issues identified during the project; ▪ Defining the issue further as required; and ▪ Reviewing and approving action plan/resolution to ensure issue as originally defined will be resolved. |
| Issue/Action Item Assignee | <p>The Assignee's responsibilities include:</p> <ul style="list-style-type: none"> ▪ Participating in discussions with the Issue Originator to fully understand the issue or action item; ▪ Researching and drafting the Action plan/resolution; and ▪ Driving the issue to resolution and closure. |

Table 8: Issue Roles and Responsibilities

7.1.2 ISSUES/ACTION ITEM PROCESS

The first step in creating an effective Issue Management process is defining how the process should work. The Issue high-level workflow process depicted in the Exhibit below shows the various stages of the Issue management process:

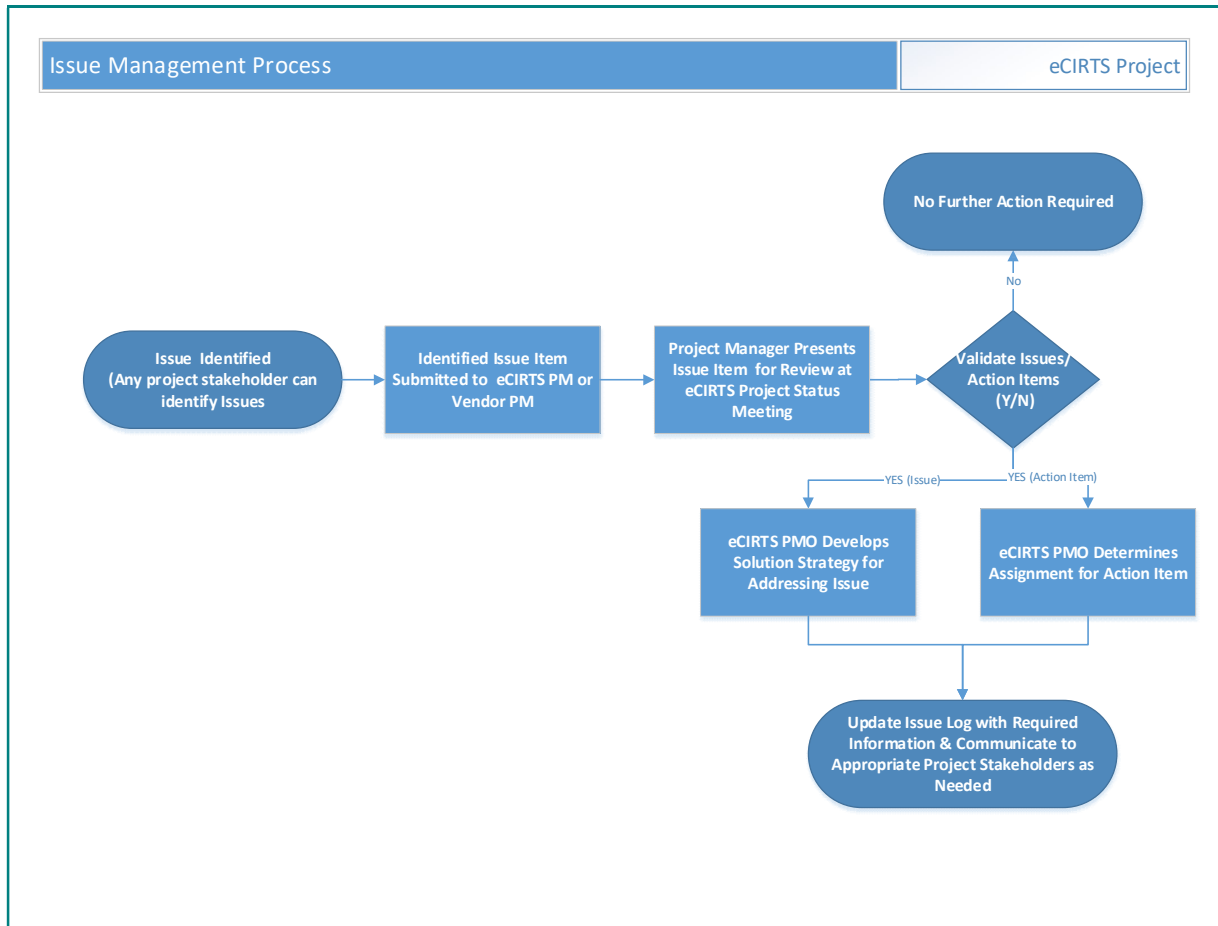


Exhibit 5: Issue Item Management Process

7.1.3 ISSUE ESCALATION PROCESS

Project issues unable to be resolved within a reasonable timeframe or deemed to cause project delay will need to be escalated to the next level in the governance structure. Exhausting all options for resolution at the current level can also be considered a reason to escalate. DOEA and Vendor staff responsible for escalation will agree to escalate the given issue or issues at each level prior to escalation. Escalated issues are to be documented in the Issue Log, should indicate “Escalated” under the Status column, and the appropriate name of the assigned new owner is entered under the Assigned to column.

The five issue escalation levels are shown in the following table:

| Level | DOEA Role | Vendor Role |
|-------|-------------------------------|-----------------------|
| 1 | Issue Originator | Issue Originator |
| 2 | Business Functional Team Lead | Deliverable Team Lead |

| Level | DOEA Role | Vendor Role |
|-------|-------------------------------------|------------------------|
| 3 | Project Manager | Project Manager |
| 4 | Project Business Functional Sponsor | Vendor QA |
| 5 | Project Sponsor | Vendor Account Manager |

Table 9: Issue Escalation Levels

7.1.4 IDENTIFY ISSUE

Issue submission provides the first step in the Identify Issue process and starts with the Issue Originator who identifies a project issue. The Issue Coordinator reviews the issues in the tracking log to make sure the issue has not already been reported and possibly resolved.

The Originator must describe the issue and include any other information that could be helpful to whoever is assigned the issue to resolve. An issue may be identified in any number of ways for example:

- A problem for which there is no apparent answer;
- A current situation or event that cannot be answered immediately but requires some research and analysis to provide insight into actions that should be taken;
- An inability of two project entities or functional groups to come to an agreement on an item or process; or
- The need for information external to the project inhibits or stops the development of the project solution until resolved.

The Issue Originator enters the pertinent information about the issue into the issue tracking log. The information will include but not be limited to:

- Detailed description of the issue;
- Assessment of the potential impact to the project if the issue is not resolved;
- Resolution due date; and
- Information identifying the Originator of the issue.

7.1.5 PLAN ISSUE

Once the issue has been documented the Issue will review the Issue and assign responsibility for developing and implementing an Action plan/resolution to an Issue owner. The Issue owner will analyze the Issue and develop an Issue Action plan/resolution describing the activities that must be completed to address the Issue.

7.1.6 MONITORING AND CONTROLLING ISSUES

This task completes the process and involves implementing the Issue Action plan/resolution, tracking their progress, identifying new Issues, and evaluating the Issue Management process throughout the project life cycle.

From time to time issues must be resolved by escalating them to a more senior level. Criteria for escalating issues include:

- An issue resolution is more than 7 calendar days past due;
- An issue has reached an impasse and cannot be resolved within the current level;
- An agreement cannot be reached on the severity of an issue; and
- An issue is not making adequate progress toward resolution.

If an issue is significant, but an impact analysis reveals that the resolution would be costly to the project in terms of resource drain or potential impact to other components of the project, then the issue should be escalated to determine the next steps. The PMO may agree that a given issue must be addressed at a higher level of management. In that case, it would immediately be escalated to the appropriate level.

7.1.7 ISSUE LOG

The project team utilizes an Issue Log to capture, document and track issues. In all cases, the focus is on speedy resolution of issues to maintain the project schedule and quality of deliverables. The Issue Log sample below will be part of the RAIDL Log and will serve as a template for identifying and managing issues for this project:

| ISSUE LOG | | | | | | | | | | Legend: ■ New Item ■ Closed Item ■ Increasing Item | | |
|--|-------------------|----------|---------------|---------------|-------------|--------|-------------|------------|------------|---|----------------|--|
| <small>Definition: An ISSUE is an existing constraint that is currently or may in the future negatively impact the project timeliness, quality, resources or budget.</small> | | | | | | | | | | Link To Other Project Logs | | |
| Item# | Issue Description | Priority | Identified By | Date Received | Assigned To | Status | Date Closed | Resolution | Risk Log # | Action Log # | Decision Log # | |
| 1 | | | | | | | | | | | | |
| 2 | | | | | | | | | | | | |
| 3 | | | | | | | | | | | | |
| 4 | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | |
| 6 | | | | | | | | | | | | |
| 7 | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | |
| 9 | | | | | | | | | | | | |
| 10 | | | | | | | | | | | | |
| 11 | | | | | | | | | | | | |

Exhibit 6: RAIDL - Sample Issue Log Tab

Legend:

- **Item Number** – Issue number
- **Issue Description** - What is the issue?
- **Priority** – High, Medium, Low
- **Identified By** – Who identified the issue?
- **Date Received** – Date issue was entered the register
- **Assigned To** – Who manages this issue?
- **Status** – Open or Closed
- **Date Closed** – Date issue was resolved
- **Resolution** – How do you intend to deal with this issue?

- **Risk Log Number** – Number assigned in Risk Log
- **Action Log Number** – Number assigned in Action Log
- **Decision Log Number** – Number assigned in Decision Log

The Issue Log is stored in the eCIRTS SharePoint project repository and access can be made available upon authorized request.

7.2 ACTION ITEM MANAGEMENT

Disciplined management of Action Items enables a project team to effectively complete Action Items in a timely manner to keep the project on track. A formal Action Item Management process provide the mechanism throughout the life cycle of the project to complete action items in line with project expectations and needs.

Action Item - An ACTION ITEM is a proactive task identified by the project team to address a known problem or situation. Action items may also come from a risk or issue item. Incomplete or overdue action items may create issues.

7.2.1 ACTION ITEM LOG

An action log is utilized to document and track action items. The Action Log sample below is part of the RAIDL Log and will serve as a template for identifying and managing action items for this project:

| ACTION LOG | | Legend: New Item: ■ Pending Item: ■ Closed Item: ■ | | | | | | | | | |
|--|--------------------|---|---------------|----------|-------------|--------|-------------|-------------|---------|--------|--------------|
| Definition: A n ACTION is a proactive task identified by the project team to address a known problem or situation. | | RAIC Resource Assignments | | | | | | | | | |
| Item# | Action Description | Priority | Date Assigned | Date Due | Assigned By | Status | Responsible | Accountable | Consult | Inform | Status Notes |
| 1 | | | | | | | | | | | |
| 2 | | | | | | | | | | | |
| 3 | | | | | | | | | | | |
| 4 | | | | | | | | | | | |
| 5 | | | | | | | | | | | |
| 6 | | | | | | | | | | | |
| 7 | | | | | | | | | | | |
| 8 | | | | | | | | | | | |
| 9 | | | | | | | | | | | |
| 10 | | | | | | | | | | | |
| 11 | | | | | | | | | | | |

Exhibit 7: RAIDL - Sample Action Log Tab

Legend:

- **Item Number** – Action Item number
- **Action Description** – What is the action item?
- **Priority** – High, Medium, Low
- **Risk Issue Log Number** – Number assigned in Risk Log
- **Date Assigned** – Date Action Item issue was assigned
- **Due date** – Action Item due date
- **Assigned By** – Who is assigning action item?
- **Status** – Open or closed
- **Responsible** – Who is responsible for this Action Item?
- **Accountable** – Who is accountable for this Action Item?
- **Consult** – Who should be consulted with for this Action item?

The Decision Log is stored in the eCIRTS SharePoint project repository and access can be made available upon authorized request.

SECTION 8 SCOPE MANAGEMENT PLAN

8.1 SCOPE MANAGEMENT OVERVIEW

The Scope Management Plan describes how project scope changes are defined, documented, verified, managed, and controlled. During the eCIRTS Project, the scope may change for a variety of reasons. As needs change and as work progresses, additional requirements may emerge such as legislative mandates or changes in rules. It is essential to control and manage these additions and changes effectively and efficiently.

The Scope Management Plan identifies the process used to manage and control the project's scope. The processes needed to manage and control project scope are defined, documented, and communicated to the Project Team so they understand their role in the change control process.

Due to the nature of this project this plan recognizes the need to accommodate maximum flexibility while controlling scope. The DOEA Project Manager will be responsible for notifying the Project Business Functional Sponsor when an assigned task falls outside of the scope defined in the Statement of Work. The DOEA Project Manager will then document the task in the Change Log for historical purposes. The scope of the project will be managed through regular discussions between the management team, the Steering Team Committee, the Change Control Board (CCB) and through the Deliverable Acceptance Criteria (DAC) process. In scope (scope that is considered part of the statement of work) and out of scope (i.e., increase or decrease in the scope of work that is considered outside the statement of work on which a contract is based) will be noted.

8.2 SCOPE CHANGE PROCESS

The project team must follow a structured process for requesting a change to the scope of the project. The Change Control Board processes used to identify, document, analyze/evaluate, approve/reject, implement, and migrate changes are outlined in the Exhibit below. This process will confirm that changes are appropriately authorized and performed in an orderly and appropriate sequence.

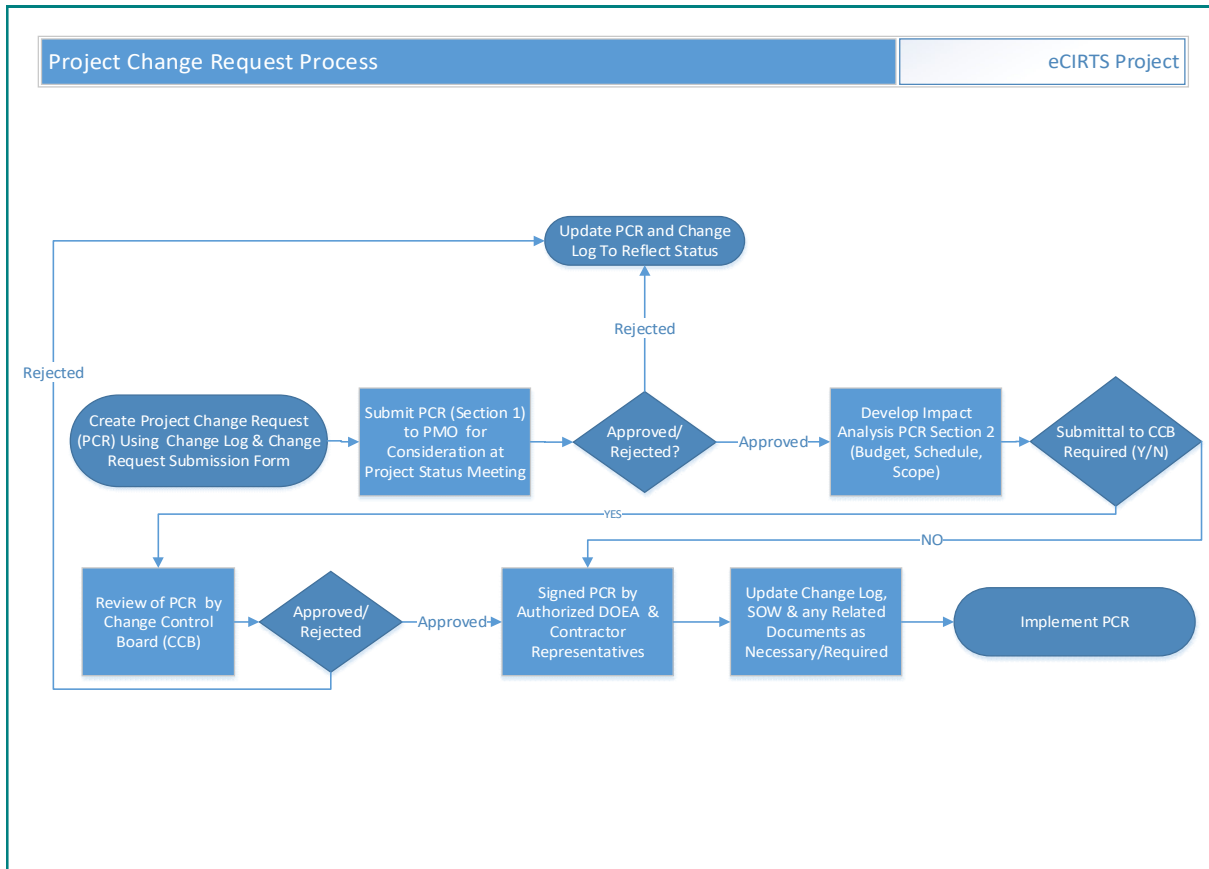


Exhibit 9: Schedule Management Planning Framework

8.3 CHANGE CONTROL BOARD

The Change Control Board (CCB) refers to the group of individuals within the eCIRTS project team who are responsible for making the ultimate decision as to when and if any changes are to be made regarding work products or schedule events. The process in which the CCB determines when and if a series of changes should be made is twofold. First, the CCB must review and study the impact of the proposed changes on the items in question, and then, after making that evaluation, the CCB can then either approve the changes, reject the changes, or, in some cases, request more information or postpone the decision pending some other occurrences to take place that would factor into their ultimate choice. Significant changes that will in fact affect baselines (Budget, Schedule, Objectives) will go through the CCB for approval.

8.3.1 CCB COMPOSITION

The CCB will be convened as needed to address pending requests. The CCB is comprised of the project team members responsible for reviewing and providing final decisions on submitted change requests. The CCB will consist of the following eCIRTS project team roles.

- Project Sponsor;
- Business Functional Sponsor;
- DOEA Chief Information Officer;
- DOEA Contract Manager;

- DOEA Project Manager;
- Vendor Project Manager;
- Vendor Account Manager and Quality Analyst; and
- Other relevant project team members as needed for subject matter expertise.

8.3.2 CCB RESPONSIBILITIES

The CCB responsibilities include:

- Documenting the source of each change and associated requirement as well as the rationale for any change;
- Documenting the requirements in sufficient detail to allow for a clear understanding of the need;
- Maintaining the requirements change history with the rationale for the changes;
- Assigning change requests for further analysis;
- Evaluating the impact of requirements changes from the standpoint of relevant stakeholders;
- Reviewing change requests outcomes and recommendations and providing final decisions on submitted change requests;
- Making the requirements and change data available to the project; and
- Prioritizing submitted change requests.

8.4 SCOPE CHANGE LOG

eCIRTS Project Scope changes require a formal change request and all formal change requests must be tracked (see Exhibit below) using the eCIRTS Project Scope Log. Once a change request is identified, it is entered into the Scope Change Log in the eCIRTS project library. Change requests are reviewed as part of the project status report meeting. Minor changes (i.e., no negative impact on cost, critical path, or final quality of solution) can be approved by the PMO and Contract Manager while major changes must be referred to the Executive Sponsor and/or the IT Governance Team. The Scope Change Log is stored in the eCIRTS SharePoint project repository and access can be made upon authorized request.

| CHANGE LOG | | | | | | | | Legend: New Item: ■ Pending Item: ■ Closed Item: ■ | | |
|---|--------------------|-----------------|---------------|----------|---------------|--------|---------|---|--------------|----------------|
| Definition: A Change Item is a request to modify scope in the form of an addition, modification, or deletion of an established or previously agreed upon requirement (s). | | | | | | | | Link To Other Project Logs | | |
| Item# | Change Description | Date Identified | Identified By | Priority | Identified By | Status | Impacts | Issue Log # | Action Log # | Decision Log # |
| 1 | | | | | | | | | | |
| 2 | | | | | | | | | | |
| 3 | | | | | | | | | | |
| 4 | | | | | | | | | | |
| 5 | | | | | | | | | | |
| 6 | | | | | | | | | | |
| 7 | | | | | | | | | | |
| 8 | | | | | | | | | | |
| 9 | | | | | | | | | | |
| 10 | | | | | | | | | | |
| 11 | | | | | | | | | | |

Exhibit 10: Change Order Log

Legend:

- **Item #** – a unique sequence number assigned to each Change Item.
- **Change Description** – a narrative of the nature of the request and intended results.
- **Date Identified** – date the change request was submitted to the PM team.
- **Identified by** – name of the team member that originated the request.

- **Priority** – an assessment of the importance or urgency of the change request.
- **Impacts** – a description of all potential and realized impacts of the requested change, including but not limited to schedule impact, cost, resources, contract terms and conditions, and so forth.
- **Status** – an indicator of the stage at which the change request is being handled through the process.

SECTION 9 PROJECT IMPLEMENTATION PLAN

9.1 PROJECT LIFE CYCLE OVERVIEW

The following describes in detail each of the five project management processes – *Initiation, Planning, Execution, Monitoring & Controlling, and Closing* – as they relate to the eCIRTS Project.

9.1.1 INITIATION

The PMO team has developed a project management structure and supporting processes that best fit the goals of the project and aligns with DOEA's culture and practices.

The eCIRTS PMO developed the eCIRTS Project Charter, which was approved by the eCIRTS Executive Project Sponsor. The Project Charter authorizes the project and provides a statement of the project's intended scope, goals, objectives, outcomes, and participants. It provides a preliminary delineation of roles and responsibilities, outlines the project objectives, identifies the main stakeholders, and defines the authority of the project manager.

9.1.2 PLANNING

The Project Management Plan (PMP) and supporting Management Plans add the detail necessary for day-to-day task execution and management efficiency. The eCIRTS PMP was completed by the eCIRTS PMO with input and collaboration from key stakeholders. The team approach helps to ensure a further alignment to the project objectives and buy-in from management and stakeholders. The PMP will be reviewed with the selected DDI vendor at the inception of Phase III and will be updated as necessary.

The following summarizes the detailed activities of Project Planning that will assist in the effective management of the project:

- Project Management Plan and Supporting Management Plans (e.g., Communications Plan)
- Schedule and Resource Planning
- Scope Planning
- Stakeholder Analysis
- Project Governance

9.1.3 PROJECT EXECUTION

Using the approved PMP, the PMO Team will begin execution and management of the project. The Project Execution process and the Project Monitoring and Control process work together iteratively and perpetually until Project Closure. The execution process deals with implementing and managing the project based on the PMP.

Successful project management through execution is a function of a good plan that has been thoroughly developed and vetted and the time-tested experience of the team on similar projects. The experience and

expert judgment of the team, combined with effective project governance, will help ensure the project stays on track and delivers value to the organization.

Effective communication is a key critical success factor for any project. Upward communications from the eCIRTS PMO to key stakeholders and the governance organization are essential for providing up-to-date and accurate project status reports, providing accurate and best-judgment risk and issue assessments, and actively managing expectations. Effective downward communications to the team are essential in building a teamwork culture, communicating expectations, and supporting personnel development.

9.1.4 MONITORING AND CONTROLLING

Project Monitoring and Controlling includes managing, tracking, and reporting all elements built into the PMP. This process ensures the appropriate consumption of resources (people, costs, and materials) in accordance with the plan. The Project Monitoring and Controlling processes are performed throughout the project until the project is complete and ready to close. Elements of Monitoring and Controlling include:

- Schedule Management
- Variance Analysis
- Schedule Control
- Scope Change Control
- Cost Control
- Resource Management
- Risk Monitoring and Control
- Integrated Change Control
- Status Reporting

9.1.5 CLOSING

Project Closing includes several important activities to bring the project to an orderly conclusion. This includes reviewing the key deliverables, gaining stakeholder agreement that planned objectives have been met, archiving project documentation and artifacts and conducting a review of the lessons learned (i.e., any useful information or experience gained through the course of the project that can be applied to a later phase or project activity).

Project Closing includes an overall assessment of project performance to evaluate the success of the Project against original objectives and scope including approved change requests. This also includes an assessment of team member performance and the development observed during the project. Finally, since the Project involves change to the organization including business process, technology and people, this final assessment will identify any outstanding issues to ensure total organizational transition to the change.

9.2 SYSTEM DEVELOPMENT LIFECYCLE OVERVIEW

An industry standard system development lifecycle (SDLC) is defined in the following sections and includes, Plan and Assess, Design, Develop, Test, Implement and Post-Implementation phases. Each of these phases are broken down into domains, which define the key activities and project team responsibilities.

Note: The final implementation approach will be defined during the procurement process and to a large degree on the chosen solution. The Department will ensure whatever solution is chosen that the system integrator follows an industry standard best practices for implementation.

There are five implementation phases performed for each release lifecycle:

- *Plan and Assess* – planning and preparation to ease design ramp-up;
- *Design* – validate requirements, identify gaps, design processes, and solidify scope;
- *Develop* – build/configure the designed solution;
- *Test* – test the designed solution;
- *Implementation* – end-user education, user acceptance, and migration activities; and
- *Post-Implementation* – transition from project mode into a live, supported production operation.

The tasks in these phases are assigned to five basic domains (project teams).

- *Project Management* – address return on sponsor investment for the project;
- *People* – facilitate effective and efficient transition to the new business model;
- *Process* – address business requirements and benefits;
- *Information* – facilitate data strategy, data governance, and migration strategy; and
- *Technology* – facilitate information quality and integrity, integrate task and solution dependencies; across domains and project phases, and deliver objects that address specifications and coding quality standards and management of appropriate application architecture and technical infrastructure.

9.2.1 PLAN AND ASSESS

The Plan and Assess Phase will consist of learning new information and developing a common understanding of DOEA dynamic business environment. Additionally, it is anticipated that scope refinement and consequent recalibration will be required once the process tasks are concluded in the Plan and Assess Phase. This will allow for more informed and effective planning of the work effort required to execute the Develop Phase. Any material change affecting scope, critical milestones, and/or resources will be assessed, documented, and agreed upon using the Change Control Process and will be incorporated into the relevant phase-based detailed plans once agreed by both the vendor and DOEA.

The objective of the Plan and Assess Phase is to provide detailed initial project planning and preparation for the implementation of the eCIRTS project. It is during this phase that detailed planning and scoping is conducted, strategies are defined, and resources are on-boarded. The detailed project schedule will define and clarify vendor and DOEA activities, dependencies, responsibilities, estimated effort.

The table below lists examples of activities and responsibilities for the Plan and Assess Phase. At the beginning of each release, the eCIRTS PMO team (DOEA and vendors) will determine the milestones, deliverables and activities needed – and update the Master Project Schedule accordingly.

| CATEGORY | ACTIVITIES | DELIVERABLES |
|--------------------|---|---|
| Project Management | <ul style="list-style-type: none"> ▪ Finalize Project Milestone Plan for upcoming release ▪ Confirm baseline scope from the Statement of Work (SOW) for design (Gap/Fit) ▪ Finalize extended project team roles and responsibilities ▪ Define project management procedures ▪ Resource and operationalize governance for project management procedures ▪ Confirm Project Tools Strategy ▪ Finalize detailed plan for Design Phase ▪ Review Project Charter ▪ Update Project Management Plan ▪ Update Communication Plan ▪ Update project Schedule ▪ Update OCM Plan ▪ Conduct Project Kickoff ▪ Define structures to communicate, manage and escalate issues ▪ Risk, mitigation, containment, and contingency planning | <ul style="list-style-type: none"> ▪ High-Level Project Milestone Schedule ▪ Scope Baseline Document ▪ Project Team Organization Structure ▪ Project Management Plan ▪ Project Schedule ▪ Project Management Governance Structure ▪ Tools Strategy ▪ Design Phase Project Plan ▪ Project Kickoff Presentation ▪ Issue Log ▪ Risk Log |
| People | <ul style="list-style-type: none"> ▪ Determine Project Team Training Plan ▪ Confirm Organizational Change Strategy ▪ Confirm Communication Strategy ▪ Confirm End-User Education Strategy including technology requirements ▪ Conduct Initial Stakeholder Assessment to confirm Project objectives | <ul style="list-style-type: none"> ▪ Project Team Training Plan ▪ Organizational Change Strategy ▪ Communication Strategy ▪ End-User Education Strategy ▪ Stakeholder Assessment (Initial) |
| Process | <ul style="list-style-type: none"> ▪ Collect and review existing project-related materials | <ul style="list-style-type: none"> ▪ Project Input Documentation |
| Information | <ul style="list-style-type: none"> ▪ Confirm Data Security and Privacy Plan ▪ Confirm Reporting Strategy ▪ Confirm Data Migration Strategy | <ul style="list-style-type: none"> ▪ Data Security and Privacy Plan ▪ Reporting Strategy ▪ Data Migration Strategy |
| Technology | <ul style="list-style-type: none"> ▪ Confirm Project Documentation Standards and Templates ▪ Confirm Development Standards and Procedures ▪ Confirm Configuration Strategy ▪ Confirm Testing Strategy ▪ Confirm Technical Infrastructure Strategy (If applicable) ▪ Define Legacy System Change Strategy ▪ Install Enterprise System Sandbox System (Dev/Test environments) ▪ Conduct Plan and Assess Phase Gate Review | <ul style="list-style-type: none"> ▪ Project Documentation Standards and Templates ▪ Development Standards and Procedures ▪ Configuration Strategy ▪ Testing Strategy ▪ System Landscape Strategy ▪ Legacy System Change Strategy ▪ Sandbox System ▪ Project Preparation Gate Review Package |

Table 10: Plan and Assess Phase Activities and Deliverables

9.2.2 DESIGN

The objective of the Design Phase is to create a detailed description of DOEA’s business requirements, to define the technical requirements to enable those business functions within the eCIRTS, and to develop and begin implementing an approach to manage the impacts to the organization. This phase also covers the creation of the system technical design, definition of required development work, and the establishment of a system that is ready for configuration and application development.

The table below includes examples of activities and responsibilities for the Design Phase. The eCIRTS PMO team (DOEA and Vendor) will determine the milestones, deliverables and activities needed – and update the Master Project Schedule accordingly.

| CATEGORY | ACTIVITIES | DELIVERABLES |
|--------------------|--|--|
| Project Management | <ul style="list-style-type: none"> ▪ Finalize scope for realization ▪ Manage and escalate issues ▪ Define Risks, Mitigations, Containment, or Contingency Plans as each Issue is identified ▪ Finalize detailed Project Plan for Implementation | <ul style="list-style-type: none"> ▪ Finalized Scope document ▪ Issue Log ▪ Risk Log ▪ Develop Phase Project Plan |
| People | <ul style="list-style-type: none"> ▪ Conduct Stakeholder Analysis ▪ ▪ Define Organizational Design ▪ Develop Value Realization Action Plan ▪ Define Knowledge Transfer Monitoring Plan ▪ Determine user roles ▪ Determine jobs ▪ Conduct end-user education needs assessment | <ul style="list-style-type: none"> ▪ Stakeholder Analysis ▪ Communication Plan ▪ Organizational Change Management Plan and Risk/Impact Assessment ▪ Value Realization Action Plan ▪ Knowledge Transfer Monitoring Plan ▪ User Roles Definition ▪ Job Definition Documents ▪ End-User Education Needs Assessment |
| Process | <ul style="list-style-type: none"> ▪ Create Business Process Master List ▪ Prepare design workshop materials ▪ Conduct design workshops and gather requirements ▪ Develop enterprise system organizational structures ▪ Design automated and manual controls ▪ Identify functionality gaps ▪ Define processes ▪ Initialize custom development object definitions | <ul style="list-style-type: none"> ▪ Business Process Hierarchy (BPH) ▪ Design Workshop Presentation Materials ▪ Requirements Traceability Matrix ▪ Configuration Rationale Specification for Enterprise System Organizational Structures ▪ Business Controls Document ▪ Prioritized Gap Analysis ▪ Process Definition Documents ▪ Custom Development Definition Documents (Initial) |
| Information | <ul style="list-style-type: none"> ▪ Document master data requirements | <ul style="list-style-type: none"> ▪ Master Data Requirements |

| CATEGORY | ACTIVITIES | DELIVERABLES |
|------------|---|---|
| Technology | <ul style="list-style-type: none"> ▪ Conduct enterprise system hierarchy workshops ▪ Document general settings requirements (number ranges, etc.) ▪ Oversee project tools installation and training of project team users ▪ Install development environment(s) ▪ Perform gap analysis ▪ Define disaster recovery and high availability requirements | <ul style="list-style-type: none"> ▪ Hierarchy Workshop Presentation Materials ▪ Configuration Rationale; Specification for General Settings, such as Number Ranges ▪ Installed Tools Ready for Trained Users ▪ Development System ▪ Gap Analysis ▪ Technical Design Document ▪ Design Gate Review Package |

Table 11: Design Phase Activities and Deliverables

9.2.3 DEVELOP

The objectives of the Develop Phase are to build/configure the system, conduct data migrations, and start preparing the organization for the impact of the changes. Building is comprised of configuring the system and creating development objects to address the specifications documented in the Design Phase. In parallel, data conversion cycles are practiced with incremental target increases in volume and accuracy.

Following wave schedule update, the eCIRTS PMO team (DOEA and vendors) will determine the milestones, deliverables and activities needed and update the Master Project Schedule accordingly. The plans for most of the key Develop Phase activities are driven from the strategies that are agreed upon in the Design Phase.

The table below lists examples of activities and responsibilities for the Develop Phase:

| CATEGORY | ACTIVITIES | DELIVERABLES |
|--------------------|---|---|
| Project Management | <ul style="list-style-type: none"> ▪ Define short-term production support strategy ▪ Manage and escalate issues ▪ Define risks, mitigations, containment, or contingency plans as issues are identified ▪ Finalize detailed project plans for final Preparation Phase | <ul style="list-style-type: none"> ▪ Short-Term Production Support Strategy ▪ Issue Log ▪ Risk Log ▪ Final Preparation Phase Project Plan |
| People | <ul style="list-style-type: none"> ▪ Consolidate user roles ▪ Develop end-user education content ▪ Define post go-live, ongoing education strategy ▪ Update Company Policies and Procedures and create a gap analysis ▪ Transfer knowledge | <ul style="list-style-type: none"> ▪ User Role Matrix ▪ End-User Education Content ▪ Ongoing Education Strategy ▪ Updated Company Policies and Procedures ▪ Executed Knowledge Transfer Plan |

| CATEGORY | ACTIVITIES | DELIVERABLES |
|-------------|--|--|
| Process | <ul style="list-style-type: none"> ▪ Finalize detailed custom development definitions ▪ Confirm baseline configuration ▪ Confirm final configuration ▪ Cleanse and prepare legacy data ▪ Unit test custom development functionality ▪ Create functional unit test plans ▪ Document business process procedures ▪ Conduct functional unit tests ▪ Design automated and manual controls ▪ Create user acceptance test plans | <ul style="list-style-type: none"> ▪ Detailed Custom Development Definitions (Final) ▪ Configuration Rationale Specification for Baseline Configuration Scope ▪ Configuration Rationale Specification for Final Configuration Scope ▪ Clean Data ▪ Functionally Tested Custom Development Objects ▪ Functional Unit Test Plan ▪ Business Process Procedures ▪ Tested Development System ▪ Control Requirements Form ▪ User Acceptance Test Plan |
| Information | <ul style="list-style-type: none"> ▪ Create Data Migration Plans including data cleansing and data validation oversight ▪ Execute dry run data migration including data cleansing and data validation oversight | <ul style="list-style-type: none"> ▪ Initial Data Migration Plan ▪ Data Migration Plan |
| Technology | <ul style="list-style-type: none"> ▪ Create custom development Technical Specifications ▪ Develop and technically unit test custom development objects ▪ Define Authorization Management Procedures and define organizational values and restrictions ▪ Create Integration Test Plan ▪ Integration test scripting ▪ Install quality assurance environment(s) ▪ Create Performance Test Plan ▪ Conduct Test Readiness Gate Review ▪ Install training-related systems including learning management system, training sandbox and document repository ▪ Create batch jobs ▪ Create Batch Schedule Master ▪ Compile the Cutover Plan ▪ Conduct systems integration test ▪ Install mock cutover environments ▪ Deploy site infrastructure ▪ Conduct Development Phase gate review | <ul style="list-style-type: none"> ▪ Custom Development Technical Specifications ▪ Custom Development Code ▪ Authorization Management Procedure ▪ Integration Test Plan ▪ Integration Test Scripts ▪ Quality Assurance System ▪ Performance Test Plan ▪ Test Readiness Gate Review Package ▪ Training-Related Systems ▪ Batch Job Form ▪ Batch Schedule ▪ Cutover Manual Including Cutover Plan ▪ Tested Quality Assurance System ▪ Production System ▪ Site Infrastructure Deployment ▪ Develop Phase Gate Review Package |

Table 12: Develop Phase Activities and Deliverables

9.2.4 TEST

The objective of the Test Phase is to evaluate the system’s technical and functional compliance with specified requirements. The System Integrator will be responsible for developing and executing a Test

Management Plan appropriate for the solution and testing the system per the approved Test Management Plan.

Testing comprises the following general types:

- Unit – Self-contained, component-level functional testing of configuration and development
- Integration – Process oriented testing of end-to-end business functions
- User Acceptance – Process-oriented testing of end-to-end business functions performed by client end users
- User Experience – Non-technical testing designed to assess the system’s usability for client end-users
- System – Technical production system readiness testing
- Security – Security access testing, including negative testing
- Regression – testing to uncover new defects that may be generated due to changes or updates to the system

The testing will include the evaluation of the system and system data to ensure the availability and quality of required functionality and information and to detect any system defects.

The following defines the severity level categorization for testing defects:

| SEVERITY LEVEL | DESCRIPTION | EXAMPLE |
|----------------|--|---|
| 1 | System Failure. No further processing is possible | Complete lack of system availability, results, functionality, performance, or usability |
| 2 | Unable to proceed with selected functionality or dependents | System unavailable, key component unavailable, or functionality incorrect and workarounds are not available |
| 3 | Restricted functional capability; however, processing can continue | Non-critical component unavailable or functionally incorrect and workaround is available |
| 4 | Minor cosmetic change | Usability errors where screen or report errors do not materially affect quality and correctness of function, intended use, or results |

Table 13: Defect Severity Levels

Once defects are remediated and re-tested, the test is considered complete when no Severity 1 or 2 defects remain and a disposition plan is in place for Severity 3 and 4 defects.

9.2.5 IMPLEMENTATION

The objective of the Implementation Phase is to prepare systems, processes, and people for the rollout and subsequent operationalization of the new system. The implementation will include the activities supporting the Go/No-Go decision around system Go-Live as well as operational readiness preparation such as internal and external communications, and training. The overall purpose of implementation is to successfully move the system to production while ensuring that the department and its stakeholders receive the maximum benefits from the eCIRTS Project.

Implementation has been broken into two basic sub-phases: the steps needed to prepare for implementation and the steps needed to perform the implementation (often referred to as Go-Live).

9.2.6 IMPLEMENTATION - PREPARATION

The objective of Preparation is to verify readiness for production (Go-Live), including user acceptance, end-user training, site preparation, system project management, and cutover activities. Preparation serves as a last opportunity to address crucial open issues before Go-Live is reached.

The table below lists examples of activities and responsibilities needed to prepare for implementation. At the beginning of each release, the eCIRTS PMO team (DOEA and vendors) will determine the milestones, deliverables and activities needed and update the Master Project Schedule accordingly.

| CATEGORY | ACTIVITIES | DELIVERABLES |
|--------------------|--|--|
| Project Management | <ul style="list-style-type: none"> ▪ Manage and escalate issues ▪ Define Risks, Mitigations, Containment, or Contingency Plans ▪ Define help desk procedures ▪ Create detailed plan for Go-Live and Post-Implementation Phase | <ul style="list-style-type: none"> ▪ Issue Log ▪ Risk Log ▪ Action Items Log ▪ Implementation Checklist for Go-Live ▪ Help Desk Procedures ▪ Go-Live and Post-Implementation Phase Project Plan |
| People | <ul style="list-style-type: none"> ▪ Update Value Realization Action Plan ▪ Deliver End-User Education ▪ Conduct End-User Education Assessments ▪ Define Business Continuity Plan ▪ Define Go-Live Criteria ▪ Obtain approval for cutover | <ul style="list-style-type: none"> ▪ Updated Value Realization Action Plan ▪ End-User Training Assessments ▪ Business Continuity Plan ▪ Go-Live Checklist ▪ Approved Go-Live Checklist |
| Process | <ul style="list-style-type: none"> ▪ Perform data reconciliations and obtain signoffs ▪ Conduct user acceptance testing | <ul style="list-style-type: none"> ▪ Data Validation Signoff ▪ User Acceptance Signoff |
| Information | <ul style="list-style-type: none"> ▪ Execute and refine data migration plan including data cleansing and data validation oversight | <ul style="list-style-type: none"> ▪ Finalized Data Migration Plan ▪ Finalized Go-Live Playbook, documenting a detailed step-by-step process to complete production implementation and the party responsible for each step |
| Technology | <ul style="list-style-type: none"> ▪ Conduct performance test ▪ Tune Enterprise System System(s) ▪ Conduct Systems Management tests ▪ Execute and refine the Cutover Plan ▪ Assess archiving needs ▪ Build live production System ▪ Rehabilitate or retire Legacy Systems | <ul style="list-style-type: none"> ▪ Performance Tested Systems ▪ Tuned Enterprise System System(s) ▪ Technical System Test Results ▪ Final Frozen Cutover Manual and Cutover Plan ▪ Archiving Needs Assessment ▪ Production System ▪ Modified Legacy Systems |

Table 14: Implementation - Preparation Activities and Deliverables

9.2.7 IMPLEMENTATION - GO-LIVE

After all the necessary implementation preparation steps have been completed (e.g., user training, data cleansing, etc.), implementation Go-Live tasks are used to transition the user community from the legacy applications to the new enterprise solution. Go-Live is the process of moving from a pre-production environment to a live-production environment, and the beginning of transition of the production application to the support organization.

The table below lists examples of activities and responsibilities for Implementation Go-Live. At the beginning of each release, the eCIRTS PMO team (DOEA and vendors) will determine the milestones, deliverables and activities needed and update the Master Project Schedule accordingly.

| CATEGORY | ACTIVITIES | DELIVERABLES |
|--------------------|---|---|
| Project Management | <ul style="list-style-type: none"> ▪ Provide short-term production support ▪ Manage and escalate issues ▪ Define Risks, Mitigations, Containment, or Contingency Plans ▪ Stabilize the Go-Live and verify live business process results ▪ Document Project signoff and closure | <ul style="list-style-type: none"> ▪ Executed Center of Excellence Knowledge Transfer Checklist ▪ Issue Log ▪ Risk Log ▪ Stabilized System ▪ Project Closeout Report |
| People | <ul style="list-style-type: none"> ▪ Develop and track Value Realization Measures ▪ Evaluate effectiveness of End-User Education ▪ Create ongoing education plan from ongoing education strategy | <ul style="list-style-type: none"> ▪ Value Realization Analysis ▪ End-User Education Effectiveness Report ▪ Ongoing Training Plan |
| Process | <ul style="list-style-type: none"> ▪ Execute the Go-Live Playbook | <ul style="list-style-type: none"> ▪ Go-Live Playbook Status Report |
| Information | <ul style="list-style-type: none"> ▪ Document implementation progress, problems, corrective actions, etc. | <ul style="list-style-type: none"> ▪ Post-Implementation Status Report documenting the success of the implementation activities |
| Technology | <ul style="list-style-type: none"> ▪ Cutover to Production System ▪ Perform a controls and security post implementation assessment ▪ Create Upgrade / Enhancement Strategy | <ul style="list-style-type: none"> ▪ Executed Cutover Plan ▪ Controls and Security Post Implementation Assessment ▪ Upgrade / Enhancement Strategy |

Table 15: Implementation - Go-Live Activities and Deliverables

The Systems Integrator will provide production support assistance during Go-Live and sustainment to help facilitate an effective and orderly transition for ongoing production support to the long-term support organization.

The table below lists Systems Integrator activities that will occur in addition to the activities and responsibilities managed under Project Management, People, Process, Information, and Technology during the Implementation Phase.

| CATEGORY | ACTIVITIES |
|---------------------|--|
| Systems Integration | <ul style="list-style-type: none"> ▪ Provide heightened production support assistance during the Go-Live support for one month after Go-Live ▪ Participate in preparing daily reports on incidents and resolution progress on high-priority issues ▪ Transfer incremental knowledge related to the eCIRTS Project to the support organization ▪ Act as issue support group for DOEA Support Desk with respect to implementation issues and problems ▪ Provide a period of post-implementation support |

Table 16: Systems Integrator Activities

9.2.8 POST-IMPLEMENTATION

Post-Implementation efforts are necessary to ensure that gains are maintained and adoption is confirmed. Ongoing performance of actions in keeping with the direction agreed to at the end of each event is necessary to form a foundation for future improvements. The Post-Implementation initiative will involve the routine completion of simple audit checklists based on a systematic review of actions completed and a regular walk-through of the processes completed every other month to confirm adherence to the guidelines and goals that govern the project. Activities may include:

- Maintain audit calendar
- Conduct audits
- Prescribe corrective actions

As the system is implemented, the organization will see opportunities for optimizing the implementation of the new system. To take advantage of these process improvements the eCIRTS PMO will develop a plan to implement the following:

- Creating formal documentation
- Training of staff on revised process
- Revising procedures and creating
- Communicating results and benefits to employees in the affected area
- Engaging the Finance function to calculate benefits
- Monitoring gains on local Key Performance Indicators (KPIs)
- Developing audit criteria for future use

9.2.9 OVERALL PROJECT ACTIVITIES

Supplementary to the defined release phases and activities, there are additional, overall tasks. These tasks have shared responsibility between the vendor and DOEA that continue throughout the lifecycle of the project. At the beginning of each release, the eCIRTS PMO team (DOEA and vendors) will determine the milestones, deliverables and activities needed and update the Master Project Schedule accordingly. Examples are described in the table below:

| CATEGORY | ACTIVITIES |
|--------------------|---|
| Project Management | <ul style="list-style-type: none"> ▪ Overall execution of project ▪ Perform project tracking and reporting ▪ Secure and manage project resources including extended project resources, stakeholders, impacted and third parties ▪ Oversee contractual responsibilities ▪ Administer project change control procedures ▪ Govern project standards and procedures |
| Process | <ul style="list-style-type: none"> ▪ Oversee business analysis activities |
| People | <ul style="list-style-type: none"> ▪ Maintain both internal and external project communications ▪ Monitor end-user learning and adoption |
| Technology | <ul style="list-style-type: none"> ▪ Manage technology and information strategy, analysis, and quality |
| Information | <ul style="list-style-type: none"> ▪ Monitor and ensure data security, quality, integrity, and availability |

Table 17: Overall Project Activities

SECTION 10 SCHEDULE MANAGEMENT PLAN

10.1 SCHEDULE MANAGEMENT OVERVIEW

Schedule management encompasses the policies, procedures, and documentation for planning, developing, managing, executing, and controlling the timely completion of the project.

The Schedule Management Plan:

- Describes the eCIRTS Project's process for preparation and maintenance of the comprehensive Master Project Schedule;
- Incorporates any subordinate or lower-level schedules as required;
- Includes activities performed by the eCIRTS Project personnel team and vendor;
- Identifies processes to monitor actual project progress against the baseline Master Project Schedule; and
- Tracks the schedule against any formal changes to the plan.

The eCIRTS Master Project Schedule (MPS) integrates all tasks and their required attributes from each project team (Department and Vendor). Each project work stream will appoint a schedule coordinator whose schedule management responsibility is to work directly with the PMO (PMO Schedule Manager) to facilitate the bidirectional communications and any collaboration required for maintaining the MPS and keeping the project completion on time.

The following section outlines the high-level critical tasks of the Project's schedule management approach and the key metrics that will be used to measure the Project's schedule performance.

The exhibit below lists the Schedule Management Processes as defined in PMBOK®:



Exhibit 11: Schedule Management Processes

10.2 WORK BREAKDOWN STRUCTURE

Project schedule development begins with the definition of the products and services, or “deliverables” that make up the project. This is accomplished through a Work Breakdown Structure (WBS). The WBS is a hierarchical view of the products and services (including Project Management and oversight work) that are included in the Project. The WBS allows for the accumulation and summarization of schedule data necessary to track project progress and provides a view into the project showing what work the project encompasses which helps to communicate the work and processes simply and straightforwardly required to successfully execute the project.

The WBS currently reflects work products/deliverables slated for development through June 30, 2018 as this represents the second phase of a multi-phased project and the Project Management Office will use the rolling wave planning concept throughout the course of the project. With rolling wave planning, the WBS will be iteratively developed and further extended as key milestones are reached and phases are completed.

10.3 MASTER PROJECT SCHEDULE DEVELOPMENT

The project schedule decomposes the project’s WBS into distinct activities. These activities are sequenced and assigned resources, durations, and dependencies to reflect known constraints as of the issue date of this document. The schedule will be progressively elaborated, refining, and expanding as appropriate as future priorities and dependencies become clear.

Schedule development for a longer-term effort such as the eCIRTS Project can be complex as there are many unknowns when working within an extended time horizon. Therefore, the schedule will be iteratively developed leveraging rolling wave planning techniques in managing the schedule throughout the project’s lifecycle. Specifically, we will progressively elaborate the schedule, refining, and expanding as appropriate when future priorities and dependencies become clear. The schedule’s progressive elaboration is dependent on the refinement and expansion of the WBS discussed above.

To manage both the initial and future schedule iterations, the PMO will continuously monitor and track any changes to the schedule. Should any variances be identified, a root cause analysis will be performed to determine the reason for the variance and corrective actions developed to increase the likelihood that the project remains on track.

A detailed project schedule has been developed using Microsoft Project that defines all the major activities, milestones, resources and resulting work products associated with the project. The initial schedule takes into consideration business drivers, priorities and dependencies that impact milestone dates. The baselined master project schedule is included as an attachment to this document (see eCIRTS Master Project Schedule). The master project schedule will be used to report on project progress and prioritize efforts. Should there be any changes to scope, or significant changes to planned dates, The PMO will coordinate with the DOEA Contract Manager to determine root cause and perform a schedule re-baseline as appropriate.

10.4 SCHEDULE MANAGEMENT

Project Schedule Management for the eCIRTS project involves identifying the work stream activities to be included in the Project. The products and services to be provided by work stream leads are:

- Developing activity schedules;
- Assigning resources for these projects;
- Integrating the schedules into the RMPS; and
- Executing and managing these work streams per the Schedule Management Plan.

This plan identifies the approach and guidelines for defining work breakdown structures, activities, and resource requirements that are common among all eCIRTS work streams. By sharing the same approach and, tools, the ability to coordinate and exchange information between work streams is greatly improved.

The sub-sections below review the key scheduling components and how they are being implemented on the eCIRTS Project. They establish a framework for how eCIRTS Schedule Coordinators will interact with each other and the eCIRTS Schedule Coordinator/eCIRTS PMO to ensure schedules are developed and maintained as consistently as possible.

The schedule management approach is based on the PMBOK® project planning framework. The following exhibit provides an overview of the Schedule Management Planning processes:



Exhibit 12: Schedule Management Planning Framework

10.5 KEY ACTIVITIES

The following table lists the activities required as part of Schedule Management Plan. To achieve the results expected from this plan, the project team must implement each of these activities into their regular (daily, weekly, monthly, etc.) processes. Each process will be evaluated at regular intervals for compliance.

| RECURRING SCHEDULE ACTIVITIES | FREQUENCY | ROLE RESPONSIBLE |
|--|-----------|--|
| Schedule updates for project status meetings | Weekly | Schedule Coordinators and/or Work Stream Leads |
| Task status reporting | Weekly | Schedule Coordinators and/or Work Stream Leads |
| Project Schedule updates | Weekly | Schedule Coordinator/PMO |
| Generate schedule related reports for input to project status report | Weekly | Schedule Coordinator/PMO |

| RECURRING SCHEDULE ACTIVITIES | FREQUENCY | ROLE RESPONSIBLE |
|--|---|---|
| Schedule updates for IT Governance Team meetings | Monthly (3 rd week of each month) | <ul style="list-style-type: none"> ▪ Project Managers ▪ IT Governance Team |
| Rolling wave schedule planning | Quarterly | <ul style="list-style-type: none"> ▪ Project Managers ▪ Schedule Coordinator ▪ PMO Work Stream Leads |
| Evaluate the effectiveness of the Schedule Management Plan | Ongoing | <ul style="list-style-type: none"> ▪ Schedule Management Plan Owner |

Table 18: Recurring Schedule Activities

10.6 ROLES AND RESPONSIBILITIES

The eCIRTS Project uses Microsoft Project version 2010 or higher to provide the integrated eCIRTS Master Project Schedule (MPS) as its primary schedule planning tool. The roles and responsibilities of the key players are addressed in the table below:

| ROLE | RESPONSIBILITY |
|-----------------------------------|---|
| Schedule Coordinator | <ul style="list-style-type: none"> ▪ This role is assigned by the DOEA Project Manager and will be the responsibility of the DOEA PMO. ▪ Coordinate the consolidation of work stream activities into the MPS. ▪ Coordinate with the Work stream Schedule Coordinators on tasks, resources, and dates as needed. ▪ Manage and oversee resource assignments and allocations. ▪ Escalate issues with incomplete schedule activities. ▪ Manage the baseline schedule. ▪ Monitor schedule against schedule evaluation metrics. ▪ Review updates from work stream activities in the Master Project Schedule and update the MPS weekly. ▪ Coordinate resolution of problems and schedule conflicts across sections. ▪ Generate status reports: Critical Path, Late Tasks, Detail Summary Status Report, and Resource Allocation. |
| Work stream Schedule Coordinators | <ul style="list-style-type: none"> ▪ These roles are assigned by the Project Managers and will be the responsibility of the work stream leads unless otherwise designated. ▪ Determine the status of assigned activities for their section(s) and provide updates on a weekly basis. ▪ Track their assigned activities to completion. ▪ Work with other Schedule Coordinators to identify and negotiate inter-project dependencies. ▪ Analyze impacts of schedule and resource changes, document any risks. ▪ Manage and/or complete tasks as assigned in the project schedules. |

| ROLE | RESPONSIBILITY |
|---------------------------------|--|
| Project Managers | <ul style="list-style-type: none"> Allocate resources. Ensure that eCIRTS team members comply with the schedule management processes. |
| Work stream Leads | <ul style="list-style-type: none"> Ensure team members comply with the schedule management processes. |
| IT Governance Team | <ul style="list-style-type: none"> Review schedule status and major schedule risks and issues monthly. Ensure major schedule issues are resolved and major schedule risks are mitigated in a timely fashion. Review and approve any material changes to project schedule. |
| Project Management Office (PMO) | <ul style="list-style-type: none"> Conduct schedule reviews to ensure the Schedule Management Plan is being followed. Provide mentoring and technical support to the eCIRTS Project Manager. Responsible for developing quarterly rolling wave reports. |

Table 19: Schedule Management Roles and Responsibilities

SECTION 11 DELIVERABLE MANAGEMENT PLAN

11.1 DELIVERABLE MANAGEMENT OVERVIEW

The Deliverables Management Plan outlines the procedures for managing the planning, development, submission, review and acceptance of project deliverables, work products and artifacts, hereto referred to as deliverables. These procedures provide a comprehensive picture of the way in which deliverables will be planned for, developed, delivered, and tracked from inception through acceptance.

The eCIRTS Project contracts and statements of work identify the deliverables to be completed. The way in which each deliverable is to be developed will vary depending on the type of deliverable to be completed. Deliverables will be developed using the tools and techniques appropriate to their form. This will include the use of Microsoft Office software (for written or other hard-copy deliverables), COTS, framework, or custom software (for application software deliverables), or other tools. Each deliverable will be created using a standard template including agreed upon acceptance criteria that is approved during the Deliverable Expectations process.

11.2 ROLES AND RESPONSIBILITIES

The table below describes the deliverable submission and review roles and responsibilities for implementing the Deliverable Management Plan.

| Role | Responsibility |
|------------------|--|
| Work stream Lead | <ul style="list-style-type: none"> Creates and submits the Deliverable Expectations Document. Updates deliverable if comments are returned as a result of the review process. Creates meeting minutes from Deliverable Expectations meeting(s). |

| Role | Responsibility |
|--------------------------------|---|
| | <ul style="list-style-type: none"> ▪ Develops the Deliverable Expectations Document (DED) based on the discussions in the Deliverable Expectations meeting(s). ▪ Submits plan for logical break up of large deliverables in the DED (if needed) ▪ Develops Deliverable. ▪ Submits deliverable for review and acceptance. ▪ Submits deliverable sections for acceptance per the agreed upon plan, if the deliverable has been identified as a large deliverable. ▪ Conducts walkthrough (if requested by Deliverable Lead). ▪ Publishes walkthrough minutes. ▪ Works with Deliverable Lead to resolve issues. ▪ Incorporates review changes to the deliverables. ▪ Submits revised deliverable for acceptance. ▪ Participates in presentation to IT Governance Team (if requested). |
| eCIRTS DOEA Project Manager | <ul style="list-style-type: none"> ▪ Record deliverables in the Deliverables Log. ▪ Update the Deliverables Log on a continual basis to accurately track deliverables. ▪ Perform preliminary review of deliverables to ensure they meet contract requirements and basic quality standards. ▪ Facilitate the review process. ▪ Distribute deliverable feedback forms as necessary. ▪ Provide written deliverable comments from reviewers as received to the Deliverable Developer. ▪ Send comments and a deliverable recommendation to the Contract Manager. ▪ Store final deliverable and comment review sheets and other related documentation in the eCIRTS Project document repository. ▪ Select Deliverable Review Team with the Contract Manager and review team assigned roles. ▪ Identify Deliverable stakeholders. ▪ Facilitate Deliverable Expectations meeting. ▪ Review and approve the Deliverable Expectations and Deliverable Acceptance Criteria documents. ▪ Identify large deliverables which may need to be broken up into manageable sections. ▪ Distribute deliverable to Deliverable Review Team (and Deliverable Review Workstream Leads for larger deliverables) ▪ Manage the Deliverable Review and Acceptance Process with the Deliverable Review Team. ▪ Synthesize deliverable review comments to ensure consistency, completeness, quality, and accuracy of comments. ▪ Act as Point of Contact (POC) for the Deliverable Owner/Developer. ▪ Facilitate communication among Deliverable stakeholders. ▪ Participate in comment resolution process. ▪ Escalate irresolvable issues to the Contract Manager ▪ Manage presentation of deliverable to the IT Governance Team (if required). ▪ Request deliverable walk-through from Deliverable Owner/Developer. ▪ Make a formal recommendation to the Contract Manager on acceptance or rejection of the deliverable. |

| Role | Responsibility |
|--|--|
| | <ul style="list-style-type: none"> ▪ Facilitates the payment and invoicing for approved deliverable with the Contract Management. |
| Deliverable Review Team (or Sub-Teams for larger deliverables) | <ul style="list-style-type: none"> ▪ Participate in Deliverable Expectations Meeting(s). ▪ Participate in deliverable development as a source of information for the Developer. Review Team members are not permitted to perform any formal development. If they do, they must not review any of their own work. ▪ Review deliverable per assigned role. ▪ Identify and record revision comments in required format and within the established review period. ▪ Participate in comment resolution. ▪ Review updates after the Developer has made changes to the draft deliverable ensuring the final deliverable is a quality product meeting the requirements defined in the Deliverable Expectations Document. |
| Deliverable Review Sub-Team Lead | <ul style="list-style-type: none"> ▪ This role exists for deliverables of large size. The larger deliverable is split into smaller portions and a Review Sub-Team is created for each portion. The Deliverable Review Sub-Team Lead reports to the Deliverable Lead, but manages the sub-team with the following responsibilities: ▪ Serve as part of a Deliverable Review Team. ▪ Select a Sub-Team of Reviewers with the Deliverable Lead with approval from the DOEA Project Manager. ▪ Assist in the review team responsibilities. ▪ Distribute Deliverable to Deliverable Review Sub-Team Members. ▪ Manage the review and acceptance process within the Deliverable Review Sub-Team. ▪ Consolidate Comments for the Deliverable Review Sub-Team. ▪ Participate in comment resolution. ▪ Manage communications between the Review Sub-Team, the Deliverable Review Team, and the Deliverable Lead. ▪ Escalate unresolved issues to the Deliverable Lead |
| Contracts Manager | <ul style="list-style-type: none"> ▪ Review comments and recommendations for the deliverables from the Deliverable Lead. ▪ Coordinates with Executive Sponsor on formal acceptance of deliverable when needed. ▪ Use appropriate escalation processes as needed for deliverable content issues ▪ Final signoff on all deliverables. ▪ Accept or Reject the deliverable and communicate the disposition to the Vendor Project Manager and Deliverable Developer. ▪ Notify appropriate parties of acceptance/rejection of deliverable ▪ Submit status reports in accordance with eCIRTS Project Status and Schedule Management processes. ▪ Prepare Deliverable Review and Acceptance documentation for submission of payment invoice. ▪ Coordinate with the department Contract Management Office and Department of Financial Services to facilitate the payment of the Vendor invoice in compliance with Florida Statutes. |

Table 20: Deliverable Management Roles and Responsibilities

11.3 DELIVERABLE REVIEW TEAM SELECTION

The Deliverable Review Team consists of individuals assigned to reviewer roles. Role assignment guidelines are provided in the Deliverable Review Team Assignment Definitions table below. The Deliverable Lead may be assigned to one of these roles. The PMO will have the authority to adjust these guidelines based on the size, type, and complexity of the deliverable.

Once the members of the Deliverable Review Team have been approved, the Deliverable Lead reviews responsibilities for the planned activities for the Deliverable planning, development, review, and acceptance activities with each member. This will include a discussion of the role and responsibilities for each member. The following table describes the roles and responsibilities of the Deliverable Review Team.

| Role | Responsibility |
|-----------------------------------|---|
| Technical Expert | <ul style="list-style-type: none"> ▪ The individual in this role must have knowledge of the technical requirements of the deliverable and be qualified to review the deliverable for correctness, completeness, and appropriate level of detail. |
| Deliverable Expectations Reviewer | <ul style="list-style-type: none"> ▪ The individual in this role must be qualified to determine if the deliverable meets its contractual requirements, including the expectations, acceptance criteria, and scope set forth by the Deliverable Stakeholders. This individual will work with the other reviewers to ensure the details of the requirements are correct. |
| Subject Matter Experts | <ul style="list-style-type: none"> ▪ The individuals in this role must be qualified to review the deliverable based on their subject matter expertise in the business area to which the deliverable pertains. |
| Administrative Reviewer | <ul style="list-style-type: none"> ▪ The individual in this role must be qualified to review the deliverable for spelling, grammar, and compliance with the DOEA Project Document Management Plan (if applicable). |

Table 21: Deliverable Review Team Assignment Definitions

11.4 DELIVERABLE REVIEW AND ACCEPTANCE PROCESS

This section provides an overview of the deliverable submission and review process to include a definition for each of the deliverable review and acceptance sub-processes illustrated in the exhibit below and described in further detail in the following sub-sections of this document. The term deliverable includes a variety of project work product types (e.g., software resolution, any QA results, and reports, etc.).

The Deliverable Review and Acceptance process is made up of five major sub-processes or phases as shown below.

Deliverable Review and Acceptance Process



Exhibit 13: Deliverable Review and Acceptance Process

11.5 DELIVERABLE EXPECTATION PROCESS

The Deliverable Expectations Process defines the following:

- Tasks, responsible actors, and outputs for establishing the contractual acceptance, format, and content expectations for project deliverables.
- Tasks, responsible actors, and outputs for the submission, receipt, and the review and comment feedback of draft deliverables, and the resolution of review feedback for acceptance of a final deliverable draft.
- Tasks, responsible actors, and outputs for the approval and invoice payment of a final deliverable.

The Deliverable Expectations process includes the steps involved in the documentation of expectations and acceptance criteria for a deliverable prior to its development. The process includes holding expectations meetings, documenting expectations, and acceptance criteria, and resolving any issues between the Deliverable Review Team and the Deliverable Developer prior to beginning development. The output of the process is an approved Deliverable Expectations Document (DED). The diagram below outlines the deliverable expectations development and approval process:

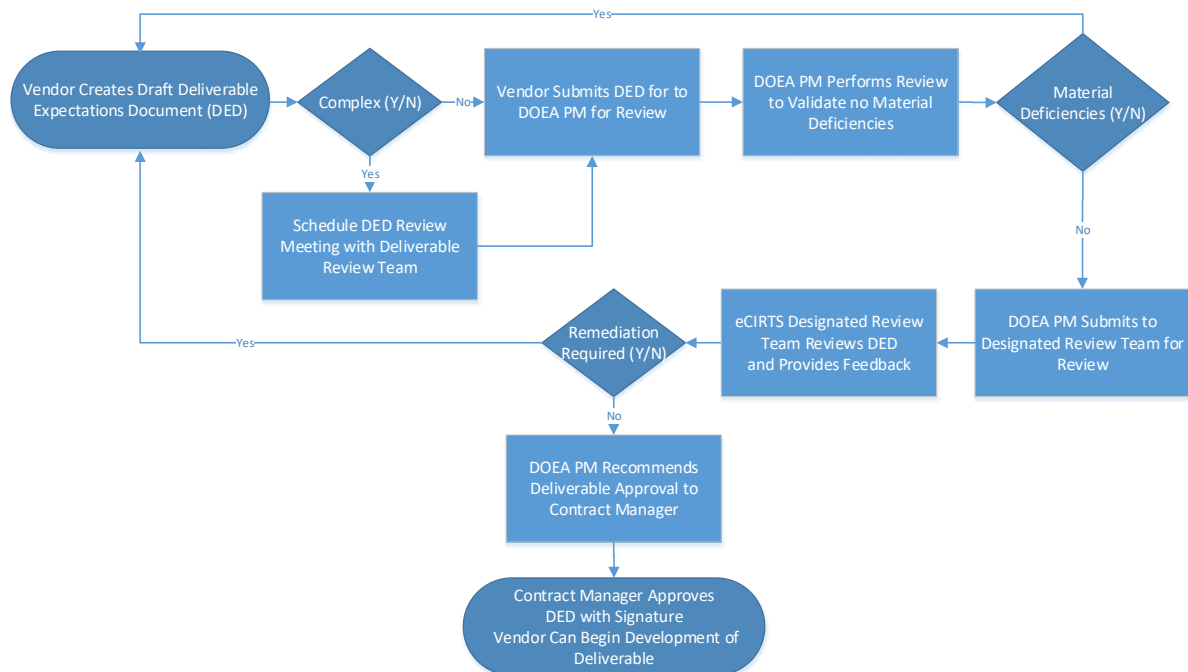


Exhibit 14: Deliverable Expectations Document (DED) Process

11.5.1.1 DELIVERABLE EXPECTATIONS DOCUMENT

The Deliverable Expectations Document (DED) is used to define deliverable requirements and the developer’s approach to meeting the deliverable requirements through the development of the deliverable.

In addition, the Deliverable Acceptance Criteria is recorded in the DED and includes all applicable acceptance criteria for each of the deliverable expectations. Each of the requirements defined must have corresponding criteria defining how that expectation will be measured. Since these acceptance criteria will be the definition of what is required for a deliverable to be considered complete and approved, it is critical to remove as much subjectivity and ambiguity as possible. The acceptance criteria must be clearly defined, quantifiable and measurable. Recorded in the document are the specifics of how the criteria will be measured, and any comments pertinent to further clarifying the criteria or assessment.

The DOEA eCIRTS Project Manager will schedule one or more expectations meetings with the Vendor Project Manager, Workstream Lead, key eCIRTS Project personnel and the Deliverable Review Team members as part of the DED development process. The expectations meeting(s) are intended to formally establish expectations for the development of the deliverable. Expectations will focus on identifying and agreeing upon the “who”, “what”, “why”, “where”, “when”, and “how” for the development of the deliverable, and must include the acceptance criteria for the deliverable under development. It is important the Deliverable Lead schedule the expectations meetings allowing for the appropriate time to define, draft,

approve and baseline the Deliverable Expectations Document in advance of the date development is scheduled to begin on the deliverable. If a due date has not been set for a deliverable (either contractually or in the eCIRTS Project master project schedule) a date will be established during the DED development process and agreed to Deliverable Stakeholders.

The DOEA eCIRTS Project Manager will work with the Vendor Project Manager and the Workstream Lead to schedule the Deliverable Expectations meetings. The DOEA Project Manager is responsible for ensuring key stakeholders are invited to the expectations meeting and remain involved throughout the deliverable development process. All Deliverable Developers and Deliverable Review Team members must be adequately prepared for the Expectations meeting(s) by completing the following:

- Review any background information distributed by the DOEA eCIRTS Project Manager,
- In the case of vendor deliverables, study the procurement document giving special attention to the deliverable expectations, acceptance criteria, and the vendor proposal; discuss expectations with the vendor and key staff knowledgeable of issues inhibiting mutual understanding of the expectations of the deliverable, and
- Review of the Draft DED, developed by the Deliverable Developer, informed by preliminary meetings in the identification of the deliverable based on the final version of the vendor's contract and any subsequent amendments or modifications.

Following the Expectations meeting(s), the DOEA eCIRTS Project Manager will:

- Review and approve remediation required;
- Distribute the remediation required to the Deliverable Lead and Vendor Project Manager;
- Coordinate any updates to the Deliverable Expectations Document; and
- Schedule follow-up expectations meetings if applicable (resolve issues/action items, finalize deliverable expectations and acceptance criteria)

Once agreement is reached on the expectations and acceptance criteria, the Deliverable Developer updates the draft based on the outcomes of the Deliverable Expectations meeting(s) and submits the DED to the DOEA Project Manager who then distributes it to the Deliverable Lead for approval. The Deliverable Lead reviews and approves the document, or if at that time, agreement cannot be reached, escalates the concerns as project issues. Once finalized and approved, the Deliverable Lead sends it to all stakeholders who attended the expectations meeting to ensure understanding of the document by key deliverable stakeholders. Additionally, the expectations meeting minutes and the deliverable expectations and acceptance criteria document are entered into the eCIRTS Project document repository by the DOEA Project Manager.

All Vendors with contracted eCIRTS project deliverables are required to use the DOEA eCIRTS DED template. The DED Template can be found on the eCIRTS Project SharePoint Site.

The table below outlines the Deliverable Expectations Document process:

| TASK | DESCRIPTION | ROLES |
|--|--|--|
| Develop Draft DED and Meeting Materials | <ul style="list-style-type: none"> ▪ The Workstream Lead develops the initial draft of the DED, the meeting agenda, and any supporting materials for the Deliverable Expectations meeting ▪ The Vendor Project Manager sends the DOEA eCIRTS Project Manager the draft DED for distribution to the key Deliverable Stakeholders | DOEA eCIRTS Project Manager, Vendor Project Manager, Workstream Lead, Key Deliverable Stakeholders |
| Schedule Deliverable Expectations Meeting | <ul style="list-style-type: none"> ▪ The DOEA eCIRTS Project Manager schedules the Deliverable Expectations meeting to include all Deliverable Stakeholders (including deliverable developers) ▪ Distribute vendor solicitation document and proposal (if applicable) and related information about the deliverable for review prior to the meeting | DOEA eCIRTS Project Manager |
| Prepare for Deliverable Expectations Meeting | <ul style="list-style-type: none"> ▪ Review information distributed by the Deliverable Lead ▪ Review vendor solicitation document and proposal requirements (if applicable) ▪ Identify deliverable expectations and prepare to review them with team ▪ Identify acceptance criteria and prepare to review them with team ▪ Review draft DED and any supporting materials | DOEA eCIRTS Project Manager, Key Deliverable Stakeholders |
| Conduct Deliverable Expectations Meeting | <ul style="list-style-type: none"> ▪ The DOEA eCIRTS Project Manager will schedule the meeting and distribute meeting artifacts ▪ If necessary, the Deliverable Lead will guide participants in establishing the deliverable due date ▪ This meeting will include the Vendor Project Manager, Workstream Lead, and representatives of the Deliverable Review Team (at the Vendor Project Manager's discretion) ▪ Make initial determination of whether a Deliverable walk-through will be required ▪ Schedule and facilitate internal follow up meetings for clarification and consensus of acceptance criteria | DOEA eCIRTS Project Manager |

| TASK | DESCRIPTION | ROLES |
|--|---|---|
| Document Remediation Required | <ul style="list-style-type: none"> DOEA eCIRTS Project Manager will document any remediation required and insert comments and/or edits into the DED through use of the collaboration tools on the eCIRTS SharePoint site | DOEA eCIRTS Project Manager |
| Submit Final Draft DED for Approval | <ul style="list-style-type: none"> The Vendor Project Manager and Workstream Lead document the deliverable expectations and acceptance criteria in the agreed upon format and submits the document to the DOEA eCIRTS Project Manager for review and approval based on the planned date for submission documented in the eCIRTS Project Master Project Schedule Deliverable submission is based upon the planned submission date documented in the eCIRTS Project Master Project Schedule | Vendor Project Manager, Workstream Leads, DOEA eCIRTS Project Manager |
| Distribute DED for Review and Approval | <ul style="list-style-type: none"> Vendor PM posts the DED submission to the eCIRTS Project SharePoint site as record of the DED submission DOEA eCIRTS Project Manager distributes the draft DED for Review and Approval | Vendor Project Manager, DOEA eCIRTS Project Manager |
| Approve DED | <ul style="list-style-type: none"> Sign off DED and post to SharePoint | Deliverable Lead |

Table 22: Deliverable Expectations Process Description

11.5.1.2 DED FOR LARGE DELIVERABLES

Many deliverables are too large for one individual to read in its entirety within the review period. If it is determined at the Deliverable Expectations meeting that this is the case, the Deliverable Developer must identify section breaks or component parts to logically divide a review between several individuals or in the case of very large deliverables, review sub-teams. Deliverable expectations and acceptance criteria will be created, documented, and agreed upon to define the logical section breaks or component parts. During development, the Developer will ensure the deliverable is created to support the division of the document to meet the agreed upon expectations. Upon delivery, the Deliverable Lead will coordinate review effort by assigning the logical smaller sections or component parts to appropriate reviewers or review sub-teams based on expertise in the subject matter. Any deliverables of this nature will require a deliverable walkthrough upon delivery.

If it is determined at the Deliverable Expectations meeting a deliverable is likely to be so large or complex that a single review period is impractical steps will be taken at the meeting to establish a phased delivery plan.

The Deliverable Stakeholders shall review the requirements and expectations established for the deliverable and organize them into logical, manageable sections for submission at established intervals prior to the final deliverable due date. Each section shall include a detailed scope statement in a completed and approved DED that informs reviewers of which requirements and acceptance criteria are addressed in that section. In addition to individual reviews of each section, the Deliverable Lead will manage a review of the deliverable prior to the final deliverable due date. This process will ensure there will be no gaps when the Deliverable Developer combines the parts into a contiguous deliverable.

The phased delivery plan for the large deliverable may include a process for informal reviews, or development reviews of the sections prior to the formal submission of the consolidated deliverable. The goal of an informal review process is to facilitate collaborative development and to ensure expectations are met for detailed deliverable content between the Deliverable Lead and the Deliverable Developer before the formal and final review of the deliverable. The same guidelines and processes defined for the formal review of a deliverable will be employed for the informal review of a deliverable. Variations to the formal review guidelines contained within this document may be examined and considered for an informal review where appropriate and to enable a more streamlined and accurate approach to the informal and collaborative development of the deliverable. An informal review of a deliverable will be conducted with the understanding that approval of the deliverable can only be accomplished after the formal review of the deliverable has been completed.

The informal review process will be documented in the DED. Based on the deliverable development approach defined in the DED, supporting procedures will be developed and distributed to the Deliverable Development and Review Teams to ensure a standardized process for the development and documentation of the deliverable across all Project Stakeholders.

11.6 DELIVERABLE DEVELOPMENT

The key to the Deliverable Review Process performing at a high level is the involvement of the Deliverable Review Team in the Deliverable Development process. One of the criteria for the selection of the Deliverable Review Team is the opportunity for the individuals to be involved in the development of the deliverable. A Reviewer is not permitted to perform any actual development, but is expected to interact with the Developer by providing input, expertise, decision making, and ongoing review of the deliverable. Following this involvement, the Review Team will be prepared with sufficient background on the deliverable to perform an educated, timely, and thorough review of the deliverable.

During the Deliverable Development process decisions may be agreed upon by the eCIRTS Project Manager and the Vendor Project Manager that impact the DED. When this occurs the Vendor Project Manager is responsible for making the updates to the baselined version of the DED and submitting the revised document to the DOEA eCIRTS Project Manager. The DOEA eCIRTS Project Manager is responsible for managing the DOEA review and approval process for the updated DED.

11.6.1 DELIVERABLE FORMAT AND CONTENT

All deliverables, word processing documents, spreadsheets, presentations, charts, databases, or other project artifacts will be provided in a format approved by and currently supported by the DOEA eCIRTS Project Team. These formats include:

- Microsoft Office 2013 or higher (Word, Excel, PowerPoint, etc.)

- Microsoft Visio Professional 2013 or higher
- Microsoft Project 2013 or higher

The content and format of the deliverables will be documented in the Deliverable Expectations Document (DED) in accordance with relevant industry standards “best practices” and where appropriate, must follow the DOEA PMO Document Management templates and Standards.

The DOEA eCIRTS Project Manager may reject a deliverable (draft or final) as materially deficient that is missing agreed upon content or has significant spelling, grammatical, punctuation, format, and/or pagination errors. If the deliverable is rejected on this basis, all grammatical, spelling, punctuation, format, and/or pagination errors will be corrected, and another quality control review will be conducted before the deliverable is resubmitted. The DOEA eCIRTS Project review team deliverable review cycle will begin based on the re-submission date and not on the original submission date.

11.6.2 INITIAL QUALITY REVIEW

All deliverables, upon submission to the PMO will undergo an initial quality review for completeness and for compliance with the project document management standards and the deliverable management processes. The Initial Quality Review will examine the following items:

- Compliance with the DED;
- Compliance with project DOEA Document Management standards and use of approved project templates (where applicable);
- Deliverable review is in-sync with review cycle (e.g., Submission, Draft, Final, etc.);
- All sections in the document appear to contain agreed upon content;
- Formatting complies with contract requirements and appears reasonable;
- The deliverable review schedule is consistent with/matches the review schedule documented in the DED;
- The vendor has performed spelling and grammar quality assurance; and
- Quality checklist accompanies the deliverable document.

If the submitted deliverable is found to be materially deficient, it will be returned to the vendor for corrective action prior to entering the formal review process. If the submitted deliverables pass the initial quality review, the deliverables are then distributed to the eCIRTS Project deliverable review team for deliverable review, comment feedback and or approval. If the submitted deliverables do not pass the initial quality review the eCIRTS Project manager will work with the Review Team, the Vendor Project Manager and the Workstream Lead to document and communicate the remediation requirements of the deliverable submission.

11.7 DELIVERABLE SUBMISSION

Each deliverable will be submitted in accordance with the approved PMP and Project Schedule for review and acceptance by the DOEA Project Manager and Deliverable Review Team.

When submitting deliverables to DOEA, the deliverable developers will ensure submissions are communicated at a minimum to the following individuals.

- The Business Functional Sponsor;
- CIO;
- The DOEA Project Manager/PMO;
- The eCIRTS Project Deliverable Lead/PMO; and
- IV&V.

For eCIRTS Project deliverables, the complete list of responsible parties receiving the submission emails can be found in the deliverable's corresponding DED.

For deliverables consisting of multiple components, files, documents, etc., the number and type of products to be submitted must be identified in the DED. Additionally, the deliverable will only be considered submitted and the review cycle will only start when all components have been submitted.

Drafts of deliverables may be submitted for DOEA's preliminary review. Depending upon the complexity of the deliverable and at DOEA's discretion, the Workstream Lead submitting the deliverable may conduct a walk-through of the draft content upon submission to assist the review process. The requirement for a Deliverable Walkthrough must be agreed upon in the DED.

The final deliverable review is intended to be a confirmation that any minor corrections required because of the preceding draft reviews have been made and a cursory review or "spot check" of the overall deliverable. As such, to manage expectations and expedite the final deliverable review and approval process, the final deliverable will not differ materially from the preceding draft deliverable submitted for DOEA's review.

As part of this submission, the deliverable owner will submit an email referencing the completed Deliverable Transmittal Form (listed in the exhibit below) upon submission. These documents serve to provide a summary of the deliverable, identify its content, its owner, and to initiate feedback from the reviewers within the agreed upon review period. The deliverable owner and the reviewers will use the eCIRTS SharePoint Project Library for all collaboration related to the storage and review of all document deliverables.

| Deliverable DXX | |
|---|---|
| Deliverable | Acceptance Criteria |
| <ul style="list-style-type: none"> ▪ Name of Deliverable | <ul style="list-style-type: none"> ▪ Reference the Deliverable Expectation Document Name of Deliverable, v1.00, Date |

The undersigned acknowledge and accept delivery of the work completed for this deliverable on behalf of the Department of Elder Affairs. The signatures attest to our agreement that this deliverable has been completed. No further work is required on this deliverable.

DOEA Project
Manager:

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

Vendor Project
Manager:

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

Exhibit 15: Sample Deliverable Transmittal Form

11.7.1 DELIVERABLE ACCEPTANCE OR REJECTION

The key to the Deliverable Review Process performing at a high level is the involvement of the Deliverable Review Team in the Deliverable Development process. One of the criteria for the selection of the Deliverable Review Team is the opportunity for the individuals to be involved in the development of the deliverable. A Reviewer is not permitted to perform any actual development, but is expected to interact with the Developer by providing input, expertise, decision making, and ongoing review of the deliverable. Following this involvement, the Review Team will be prepared with sufficient background on the deliverable to perform an educated, timely, and thorough review of the deliverable.

During the Deliverable Development process decisions may be agreed upon by the eCIRTS Project Manager and the Vendor Project Manager that impact the DED. When this occurs the Vendor Project Manager is responsible for making the updates to the baselined version of the DED and submitting the revised document to the DOEA eCIRTS Project Manager. The DOEA eCIRTS Project Manager is responsible for managing the DOEA review and approval process for the updated DED.

11.8 DELIVERABLE REVIEW PROCESS

All CIRTS Project deliverables must be reviewed to confirm the acceptance criteria has been met as outlined in the DED. The Deliverable Review process is initiated when the Vendor Project Manager submits a deliverable for acceptance. The deliverable must be 100% complete and in final format prior to submission. In the case of a phased deliverable, each of the sections will be managed as an individual deliverable. Once the review of each of the sections is complete, a final review will be conducted over the deliverable to ensure there are no gaps between the sections.

The following exhibit is the diagram of the eCIRTS Deliverable Review Process:

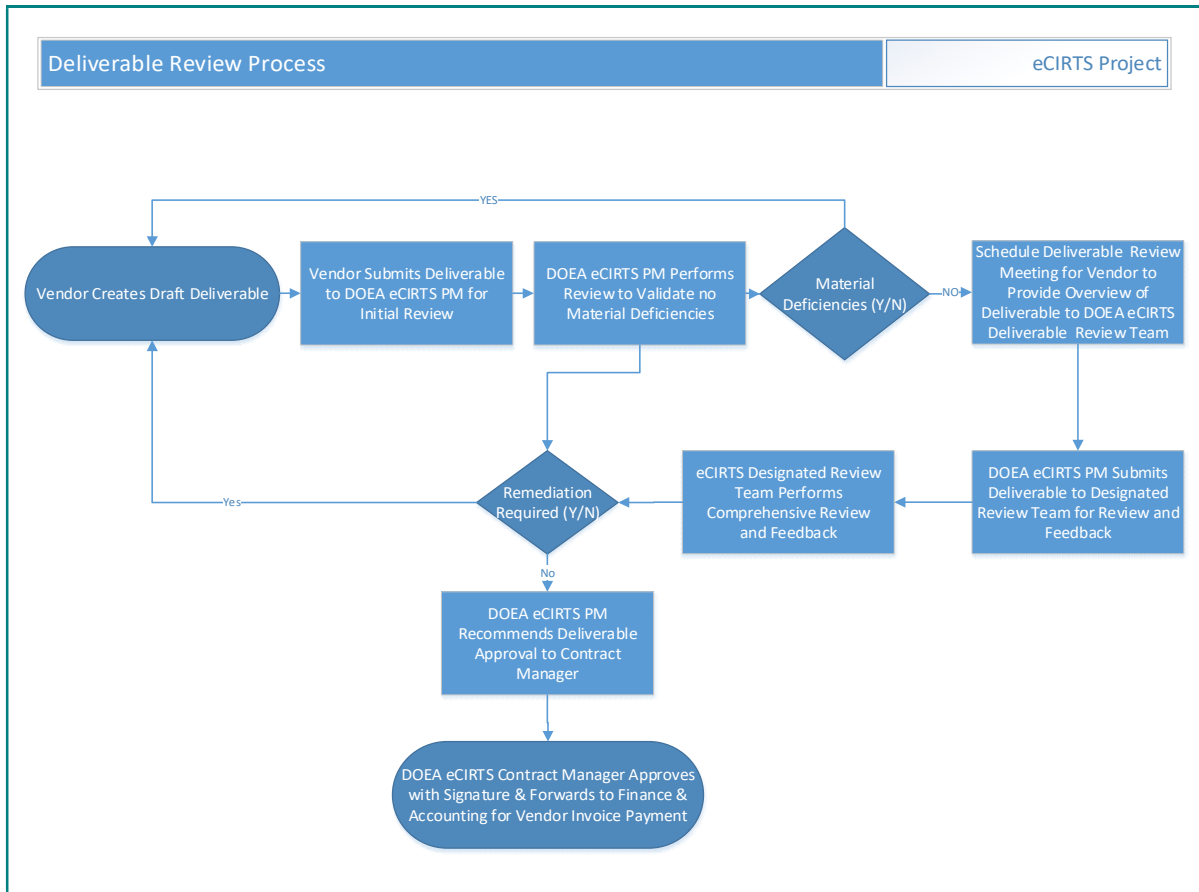


Exhibit 16: Deliverable Review Process

The table below provides a detailed description of the Deliverable Review Process shown in the previous exhibit:

| TASK | DESCRIPTION | RESPONSIBLE ACTOR(S) |
|--|---|---|
| Vendor Creates Deliverable | Vendor Creates Draft deliverable. | Vendor Workstream Lead or Project Manager |
| Vendor Submits Deliverable | Vendor Project Manager submits the deliverable to the DOEA Project Manager for Initial Review. | Vendor Project Manager |
| DOEA Project Manager (PM) Performs Review to Validate no Material Deficiencies | The DOEA PM performs the initial quality review of the deliverable to validate there are no Material Deficiencies present. If Material Deficiencies are found, the deliverable is returned to the vendor for remediation. | DOEA Project Manager |

| | | |
|--|---|--|
| DOEA eCIRTS PM Schedules Overview of Deliverable by Vendor for DOEA Review Team | The DOEA PM schedules an Overview of the deliverable by the vendor for the DOEA Review Team. These sessions are to allow the DOEA Review Team to ask questions and receive any clarification or additional information needed prior to initiating the review of the deliverable. | DOEA Project Manager Review Team Workstream Lead Vendor Project Manager |
| Deliverable Review Team performs review and provides feedback / comments via Online Collaboration or Comment Spreadsheet (where Online not feasible) | <ul style="list-style-type: none"> ▪ Deliverable Review Team members review the deliverable in accordance with their assigned role. ▪ Deliverable Team will enter comments into deliverable using online collaboration tool or Deliverable Comments Review Sheet (where Online not feasible). | DOEA Project Manager Review Team |
| Vendor Conducts Remediation (if required) | <ul style="list-style-type: none"> ▪ Deliverable Review Team comment / feedback is reviewed and all comments given a disposition. ▪ The deliverable is modified to reflect the review team’s consolidated comments. ▪ Deliverable revision history and version number are updated. ▪ Questions/Issues/clarification regarding the comments are discussed with the Deliverable Lead and resolved. ▪ Return Updated Deliverable, Updated comment spreadsheet (when utilized) and Deliverable Transmittal Form to DOEA Project Manager. ▪ Whenever possible, the deliverable will be returned with track changes turned on. This will help clarify what changes were made and speed up the final review process. | Vendor Project Manager Workstream Lead DOEA Project Manager |
| Complete DOEA Project Manager Review | Once the Review Team activities and any necessary vendor remediation have been completed, the DOEA Project Manager will review the deliverable and provide any necessary comments or feedback using the online collaboration tool or comment spreadsheet. | DOEA Project Manager |
| Remediate Issues (if required) | <ul style="list-style-type: none"> ▪ DOEA Project Manager comments/feedback is reviewed and all comments given a disposition. ▪ The deliverable is modified to reflect the DOEA Project Manager’s comments. | DOEA Project Manager Workstream Lead |

| | | |
|----------------------------|---|----------------------|
| | <ul style="list-style-type: none"> ▪ Deliverable revision history and version number are updated. ▪ Questions/Issues/Clarification regarding the comments are discussed with the Deliverable Lead and resolved. | |
| Start the Approval Process | Once the Deliverable Review Process has been completed, the Deliverable will be submitted for Approval to the Contract Manager. | DOEA Project Manager |

Table 23: Deliverable Review Process Description

11.8.1 REVIEW CYCLE OBJECTIVE

The eCIRTS Project Plan Deliverable Review and Acceptance Process will utilize the shortest review cycle possible that ensures a quality deliverable outcome. This ensures deliverables are reviewed and accepted without unnecessary delay. This concept requires commitment from the Deliverable Review Team as well as a robust quality commitment from the vendor to conduct a thorough and informed review of the deliverable at the time of submission. Subsequent reviews will be focused on ensuring comments documented in the previous reviews were addressed to the team’s satisfaction. The success of this review concept also depends on deliverables being 100% complete prior to submission.

11.8.2 DELIVERABLE REVIEW COMMENTS

Each Deliverable Review Team member will clearly understand the role they have been assigned in the deliverable review process prior to providing comments. Reviewers will be expected to apply their business, technical, or subject matter expertise to identify and suggest constructive solutions to any problems found with the deliverable’s content related to their role and within the specified timeframe. Reviewers will be expected to provide their comments to the Workstream Lead using track changes in the draft deliverable via eCIRTS SharePoint and meet collaboratively to review comments prior to resubmitting to vendor. For Microsoft Word documents where collaboration is available, reviews will use online tracking. Other deliverables, e.g., Microsoft Excel spreadsheets, do not have tracking capabilities; therefore, Deliverable Comment Spreadsheets may be used). Guidelines based on the size of the document and review team are detailed in the table below. Comments must be actionable and not just statements or questions. Comments must reference the appropriate sections of the Deliverable to the greatest extent possible. If there is a global comment that applies to different sections across the deliverable document, the appropriate references will be included across the document for all necessary changes to be made and tracked as opposed to documenting a single global comment.

When the Deliverable Review Team has completed their review, the DOEA eCIRTS Project Manager is responsible for clarifying discrepancies in comment feedback across the deliverable review team. If necessary, the DOEA eCIRTS Project Manager will conduct a comment review meeting during which the Team will discuss their findings. The vendor may be asked to have resources available to answer questions in a “green room” scenario to assist with expediting this process. Where inline comments and track changes are used to provide deliverable review feedback, the DOEA eCIRTS Project Manager is responsible to ensure that the updated deliverable is legible, content insertions are clear and organized, and comments are actionable. Where the comment review spreadsheet is used to provide deliverable review feedback, the DOEA eCIRTS Project Manager will consolidate all comments into one spreadsheet, removing duplicates and clarifying vague language. The DOEA eCIRTS Project Manager will also post the comment spreadsheet in a location where the Deliverable Review Team can view the contents prior to submission. If additional comments are received after the initial submission to the DOEA eCIRTS Project Manager, the Deliverable

Review Team Lead will submit a revised complete set of comments to the Deliverable Lead to alleviate any confusion.

The Deliverable Comment Spreadsheet and or Updated Deliverable Document(s) are then provided to the Deliverable Developer. If at any time during the Deliverable Review Process the Deliverable Lead requires clarification to provide a more actionable comment, then the Deliverable Lead will contact the Deliverable Developer for clarification. If a Deliverable Review Team member requires clarification she or he will notify the Deliverable Lead who in turn will coordinate with the Deliverable Developer for the information. If the Deliverable Lead or a Deliverable Review Team member encounters a critical issue while reviewing a deliverable, that issue must be raised immediately to the PMO and not held for a deliverable review comment.

The DOEA eCIRTS Project Manager will schedule a meeting with the Vendor Project Manager and Workstream Lead on or about the date which the comments are expected to be returned to the Workstream Lead. The DOEA eCIRTS Project Manager, the Deliverable Review Team, the Vendor Project Manager, and the Workstream Lead will review the comments at that time to seek clarification and/or resolution to the deliverable review comments.

For larger deliverables where the comment volume is expected to be high, it is very important to build time into the deliverable review process for deliverable sub-team and review team to perform comment QA and consolidation. The approach to both developing and reviewing a large deliverable will be defined and agreed upon during the Expectations and Acceptance Criteria process and documented in the DED to include examining and modifying the Deliverable Review Comment spreadsheet/template to accommodate the format and vocabulary of the deliverable.

11.8.3 DELIVERABLE REVIEW PERIOD GUIDELINES

The standard deliverable review period is a guideline and will be evaluated for each deliverable based on type, size, and complexity. In the absence of a contractual obligation, a reasonable review period for a deliverable must be agreed upon by the DOEA eCIRTS Project Manager, and the Vendor Project Manager prior to beginning the review process. When developing the schedule, the Vendor has leeway to determine the length of its internal review if it does not impact the deliverable due date.

The table below summarizes the standard deliverable review period.

| DELIVERABLE SUBMISSION PROCESS | TASK DURATION |
|---------------------------------------|----------------------|
| Conduct DOEA Review | 2 days per 50 pages |
| Remediate Issues from DOEA Review | 5 days |
| DOEA Review of Vendor Remediation | 1 day per 50 pages |
| Final Delivery and Signoff | 1 day |

Table 24: Deliverable Review and Approval Timeline

The table below outlines recommended deliverable review guidelines.

| DELIVERABLE TYPE | SIZE | DELIVERABLE REVIEW FORM |
|--|---------------|--------------------------------|
| Microsoft Word | 1-150 pages | SharePoint Collaboration |
| | 150-500 pages | SharePoint Collaboration |
| | 500+ | SharePoint Collaboration |
| Others (Microsoft Project, Microsoft Visio, Microsoft Excel, etc.) | All | SharePoint Collaboration |

Table 25: Sample Deliverable Review Guidelines

11.8.4 DELIVERABLE REVIEW ISSUE RESOLUTION

Throughout this process, the DOEA Project Manager will work with the Workstream Lead, the Vendor Project Manager, and the Deliverable Stakeholders to resolve issues as they arise. For example, after the compliance acceptance, if at any time during the deliverable review process, the Deliverable Review Team determines the deliverable does not meet minimum expectations to a level where the deliverable must be rejected, they will communicate their objections to the Deliverable Lead. If the DOEA eCIRTS Project Manager and Vendor Project Manager are unable to come to an agreement, an issue must be created and escalated to the PMO using the PMP Issue Item management process, who may resolve the issue or solicit executive input. For details, refer to the Issue Item Management Process in this document. The DOEA Project Manager is responsible to ensure that the resolution to an issue is communicated to all Deliverable Stakeholders.

If it is determined a deliverable is materially insufficient and is rejected, the review cycle will end immediately. The DOEA eCIRTS Project Manager will manage a high-level review of the deliverable to find any other fatal flaws then begin the issue process. Part of the issue resolution process will be to determine how to move forward with the deliverable and the effects on the project schedule.

11.9 DELIVERABLE ACCEPTANCE PROCESS

The Deliverable Acceptance Process outlines the steps taken to officially accept a deliverable, and if applicable, approve it for payment. Once the deliverable review process is complete, the Deliverable Lead will provide his or her accept/reject recommendation to the Project Manager.

The DOEA eCIRTS Project Manager notifies the Project Manager of acceptance or rejection of the Deliverable. If the DOEA eCIRTS Project Manager recommends acceptance, the Contract Manager approves with signature and forwards the final deliverable with an updated DED indicating department approval to Contract Management for invoice payment. If the DOEA eCIRTS Project Manager does not recommend approval, meetings are conducted with the DOEA Project Manager, the Vendor Project Manager, and where necessary, the Executive Sponsor to remediate any discrepancies. Once the identified discrepancies are corrected and the final deliverable is approved, the DOEA Project Manager forwards the final deliverable with an updated DED indicating department approval for invoice payment. This ends the Deliverable Acceptance process.

The following exhibit is a high-level diagram of the Deliverable Acceptance Process:

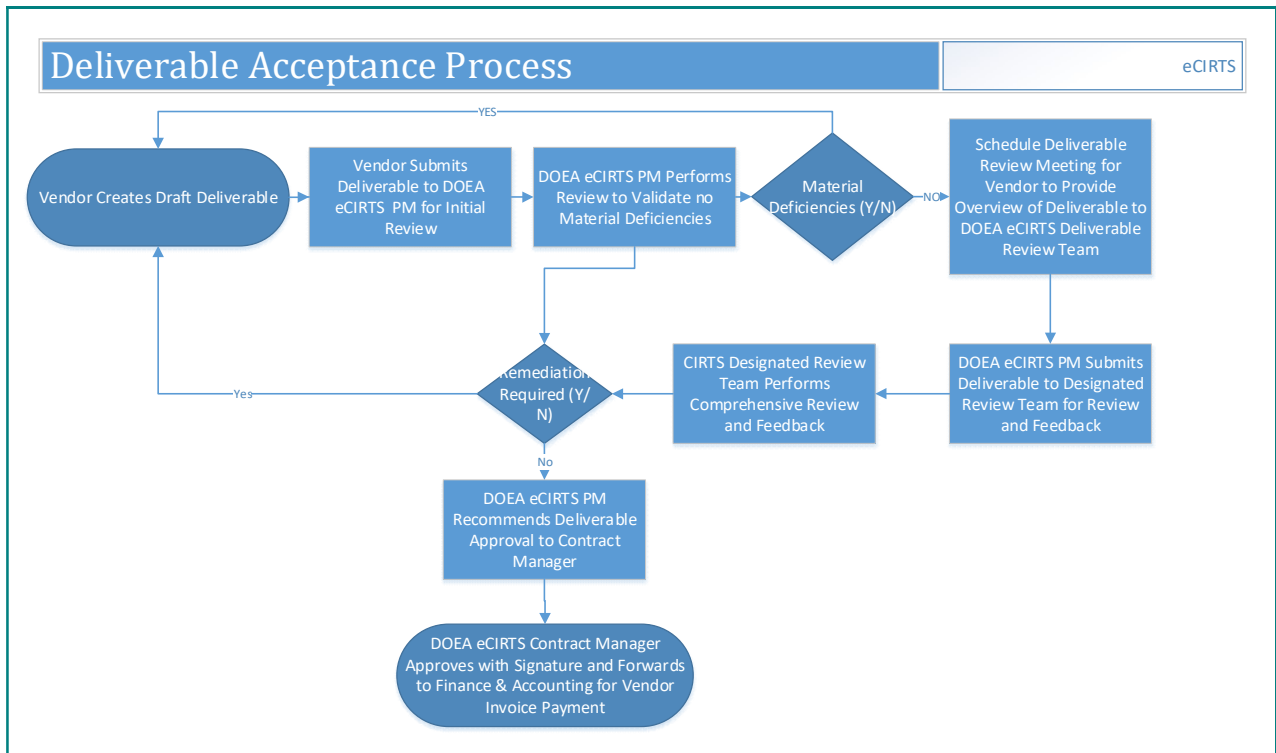


Exhibit 17: Deliverable Acceptance Process

The table below provides detail about the tasks associated with the Deliverable Acceptance Process.

| TASK | DESCRIPTION | RESPONSIBLE ACTOR(S) |
|--|--|--|
| Send Deliverable Comments, Approval Recommendation and Completed DED | The DOEA Project Manager sends the completed Deliverable Review Feedback Form, a completed DED and recommendations for approval to the Contract Manager. | DOEA Project Manager |
| Review Final Deliverable Materials and Recommendations | The DOEA Project Manager reviews the materials and makes an approval determination. | DOEA Project Manager |
| Determine if a Meeting is Required | The DOEA Project Manager determines if there are any outstanding or unresolved action items or criteria for approval and if so, requires a Deliverable Acceptance Meeting be scheduled. If Yes, advance to "Coordinate Deliverable Acceptance Meeting." If No, advance to "Approve Final Deliverable." | DOEA Project Manager |
| Coordinate Deliverable Acceptance Meeting | The DOEA Project Manager schedules the Deliverable Acceptance Meeting with the Contract Manager and Vendor Project Manager and any other relevant project stakeholders required to address and resolve outstanding action items. | DOEA Project Manager Contract Manager Vendor Project Manager |
| Conduct Deliverable Acceptance Meeting | The DOEA Project Manager facilitates the Deliverable Acceptance Meeting to ensure all outstanding action items are addressed. | DOEA Project Manager PMO Manager Vendor Project Manager |
| Remediate Acceptance Criteria Gaps and Resubmit Final Deliverable | The Workstream Lead updates the Final Deliverable Draft based on the outstanding acceptance criteria and resubmits an updated version of the Final Deliverable. | Workstream Lead |
| Distribute Resubmission of Final Draft | The DOEA Project Manager PMO Manager Vendor Project Manager redistributes the updated final Deliverable to the designated Deliverable Review Team members. | DOEA Project Manager Contract Manager Vendor Project Manager |

| TASK | DESCRIPTION | RESPONSIBLE ACTOR(S) |
|---|---|---|
| Review Resubmission of Final Draft | The DOEA Project Manager works with the Review Team to facilitate the review the Final Deliverable to ensure that the outstanding acceptance criteria have been addressed. | DOEA Project Manager Deliverable Review Team |
| Determine if Acceptance Criteria are Met | If Yes, the DOEA Project Manager documents the resolution of the outstanding acceptance criteria and gives recommendation to approve the final deliverable. If No, the DOEA Project Manager works with the Vendor Project Manager to remediate acceptance criteria. | DOEA Project Manager |
| Determine if Issues Exist | If Yes, and there are issues that prevent the acceptance of the Final Deliverable, go to the Issue Item Management Process to resolve the outstanding issues. | DOEA Project Manager |
| Send Resubmission Documentation and Approval Recommendation | The DOEA Project Manager sends the updated Deliverable Review Feedback Form, Final Deliverable and DED for approval to the DOEA PMO Manager. | DOEA Project Manager |
| Approve Final Deliverable | The DOEA PMO Manager approves the Final Deliverable and signs the DED indicating the Acceptance criteria have been met and the Deliverable has been approved. The DOEA PMO Manager sends an email notification to the Deliverable Stakeholders informing them of the approval. | DOEA Contract Manager |
| Submit Baselined Deliverable for Payment | The Deliverable Developer baselines the approved Final Deliverable based on the Document Management Process and submits the Baselined Deliverable to the DOEA Project Manager. | Vendor Project Manager |

| TASK | DESCRIPTION | RESPONSIBLE ACTOR(S) |
|--|--|------------------------|
| Send Baselined Deliverable, DED to Contract Manager and Archive on eCIRTS SharePoint Site | The DOE Project Manager conducts a quality review check to make sure the Baselined Deliverable complies with the Project Document Management standards. If Yes, the DOE Project Manager sends the Baselined Deliverable and updated and completed DED to the Contract Manager. The DOE Project Manager archives the Baselined Deliverable on the Project SharePoint Electronic Repository. | Vendor Project Manager |
| Submit Baselined Deliverable and DED to the department's Finance and Accounting office for Payment | The DOE Contract Manager submits the Baselined Deliverable, the signed DED and the Invoice for Payment to the department's Finance and Accounting office. | DOEA Contract Manager |

Table 26: Deliverable Acceptance Process Description

For larger deliverables, the additional signoff and control forms may be required to track approval of iterative and incremental reviews of smaller components of the deliverable across the Deliverable Review Teams and Sub-Teams. If the Deliverable Reviewers are satisfied the vendor deliverable has met all contractual obligations, the DOE Contract Manager finishes the acceptance process by notifying the Deliverable Developer of deliverable acceptance and beginning the invoicing process.

Should the DOE Contract Manager have questions regarding the recommendation and supporting documentation provided to substantiate the acceptance of the deliverable, a contract review meeting will be held to address any outstanding concerns. The DOE Contract Manager is responsible for notifying the Vendor Project Manager and the DOE Project Manager of the concern. The DOE Project Manager is responsible for coordinating the Contract Review Meeting with the DOE PMO Manager, the Vendor Project Manager, the Workstream Lead, and the Executive Sponsor as appropriate. The DOE Contract Manager and DOE Project Manager are responsible for working with the Vendor Project Manager and the Workstream Lead to resolve any concerns as well as provide the necessary documentation to demonstrate contractual compliance for acceptance and payment of the deliverable.

11.9.1 TRACKING CHANGES AND/OR UPDATES TO APPROVED DELIVERABLES

For those deliverables requiring scheduled updates as part of their standard lifecycle as well as for those deliverables requiring changes based on upstream or downstream modifications to other integrated deliverables in the schedule, it is necessary to track interim changes as they occur in between the scheduled updates to the approved deliverables. How interim changes are tracked will be defined and agreed upon prior to the approval and baselining of a deliverable. Once a deliverable has been approved and baselined, the deliverable is submitted to the DOE Project Manager, posted, and stored in the eCIRTS

Project SharePoint site. The Requirements for subsequent updates and changes to approved and baselined project deliverables as well the responsible party for the change should be defined the DED.

11.10 eCIRTS PROJECT DELIVERABLE TABLE

The eCIRTS Project Deliverables listed below are those project deliverables that will likely be used as a starting point in the Invitation to Negotiate (ITN). As more definitive information becomes available during the procurement process the final deliverables will be refined and included as component of the contract.

| # | Phase | Deliverables | Contractor/ Subcontractor | Deliverable Cost |
|----|------------|---|------------------------------|---------------------|
| 1. | Plan Phase | <p>Project Management Plan The Project Management Plan includes the PM Plan and sub-plans such as the scope management and resource management plans. The contractor shall leverage the enterprise Project Management Plan developed by the eCIRTS Pre-DDI Project’s planning vendor in developing their Project Management Plan. Additional plans of the Project Management Plan that shall be updated by the contractor include:</p> <ul style="list-style-type: none"> ▪ Project Plan Summary; ▪ Project Scope Management Plan; ▪ Resource Management Plan; ▪ Risk Management Plan; ▪ Communication Plan; ▪ Organizational Change Management (OCM) Plan; ▪ Workforce Transition (WFT) Plan; and ▪ Project Change Management Plan. | | |
| 2. | Plan Phase | <p>eCIRTS Project Schedule and Work Breakdown Structure (WBS) The eCIRTS Project Schedule and WBS deliverable defines the detailed task, milestone, and resource list for the delivery of the project.</p> | | |
| 3. | Plan Phase | <p>Quality Management Plan The Quality Management Plan deliverable defines the approach for the review and assurance of quality delivery of the overall solution.</p> | | |

| # | Phase | Deliverables | Contractor/ Subcontractor | Deliverable Cost |
|----|--------------|---|------------------------------|---------------------|
| 4. | Plan Phase | <p>Security Management Plan The Security Management Plan deliverable defines the security protocols, controls, approaches and verifications that will be implemented during the delivery of the project.</p> | | |
| 5. | Define Phase | <p>Benefits Realization Plan The Benefit Realization Plan documents the quantifiable metrics that are developed and tracked to measure the benefits of the new solution.</p> | | |
| 6. | Define Phase | <p>Fit Gap Analysis and Requirements Validation The Fit Gap Analysis and Requirements Validation deliverable identifies the gaps between the current and future state requirements of the Department, and then provides a list of the prioritized, validated and approved requirements.</p> <p>Supporting components to the Fit Gap Analysis and Requirements Validation that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> ▪ Process Models. | | |
| 7. | Define Phase | <p>Requirements Traceability Matrix (RTM) The RTM deliverable defines the system requirements that must be met by the delivered solution. The RTM shall correspond with Use Cases developed by the contractor and provide full traceability of the requirements.</p> | | |

| # | Phase | Deliverables | Contractor/ Subcontractor | Deliverable Cost |
|-----|--------------|--|------------------------------|---------------------|
| 8. | Design Phase | <p>Systems Design Document The Systems Design Document deliverable describes, conceptually in business language the approach for tailoring the system to meet the requirements as defined in the RTM.</p> <p>Supporting documents to the Systems Design Document that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> ▪ Business Design Document; ▪ User Interface Control Document; ▪ Systems Integration Document; ▪ ER Diagram; ▪ Data Dictionary; ▪ Infrastructure Requirements; ▪ Security Requirements; ▪ ADA Compliance Requirements; ▪ Maintenance Requirements; ▪ User Documentation Requirements. | | |
| 9. | Design Phase | <p>Report Development Inventory The Reports Development Inventory deliverable contains the confirmed list of reports that will be delivered as part of the solution.</p> | | |
| 10. | Design Phase | <p>Correspondence Development Inventory The Correspondence Inventory deliverable will contain the confirmed list of correspondence that will be delivered as part of the solution.</p> | | |
| 11. | Design Phase | <p>Interface Development Inventory The Interface Development Inventory deliverable contains the confirmed list of interfaces that will be delivered as part of the solution.</p> | | |

| # | Phase | Deliverables | Contractor/ Subcontractor | Deliverable Cost |
|-----|------------------|---|------------------------------|---------------------|
| 12. | Design Phase | <p>Architectural Design Document The contractor shall develop an Architectural Design Document that will include the infrastructure and application topology for the system. This should include network topology, subnets and network inventory, machine interconnects, compute, and storage resources, backup, and Disaster Recovery environment specifications, physical and logical diagrams, and complete bill of materials for the hardware and software to support the complete solution.</p> | | |
| 13. | Design Phase | <p>Interface Specification Design Document The Interface Specification Design Document deliverable will define for each interface the target system, transformation required, coordination, schedule, etc.</p> | | |
| 14. | Develop Phase | <p>Development and Unit Test Standards The Development Code and Unit Test Standards deliverable defines the process to which modules will be developed, presented and unit tested prior to release to the testing work stream.</p> | | |
| 15. | Develop Phase | <p>Module Completion Report The Module Completion Report deliverable is a milestone document that identifies enhancements made and items to be completed (bugs, fixes, etc.) and indicates a defined module or configured component is ready for promotion to the testing work stream.</p> <p>The Module Completion Report is to be completed at the end of:</p> <ul style="list-style-type: none"> ▪ Code Unit Testing; ▪ Reports Development; ▪ Forms and Correspondence Development. | | |

| # | Phase | Deliverables | Contractor/ Subcontractor | Deliverable Cost |
|-----|------------------|--|------------------------------|---------------------|
| 16. | Develop Phase | <p>Data Conversion Plan</p> <p>The Data Conversion Plan deliverable details the methods and processes to execute the required data conversions from the legacy systems to the eCIRTS system. This should also include:</p> <ul style="list-style-type: none"> ▪ Identification of all legacy applications for a Release; ▪ Master data elements; ▪ Data Element Mapping Crosswalk; ▪ Data governance approach; and ▪ Iterative Data Conversion Results (per cycle). | | |
| 17. | Develop Phase | <p>Final Conversion Report</p> <p>The Final Conversion Report deliverable provides the detailed metrics and disposition of data elements from the legacy system to the eCIRTS solution.</p> | | |
| 18. | Develop Phase | <p>Master Test Plan</p> <p>The Master Test Plan deliverable defines the process and approach for all comprehensive levels of testing and the testing work streams, such as system integration, performance, unit, accessibility, regression, and security testing.</p> <p>Supporting plans to the Master Test Plan that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> ▪ Unit Test Plan ▪ System Test Plan ▪ User Acceptance Plan ▪ Final Back Out Plan for Controlled Test Environment; ▪ Final Test and Validation Plan; ▪ Performance Test Plan; ▪ Security Test Plan; ▪ UAT Training and Support Plan; ▪ System Investigation Request Log; and ▪ Key Performance Measures Criteria Report. | | |

| # | Phase | Deliverables | Contractor/ Subcontractor | Deliverable Cost |
|-----|------------|--|------------------------------|---------------------|
| 19. | Test Phase | <p>System Integration Test Scripts</p> <p>The System Integration Test deliverable defines the scripts aligned to use cases to systematically verify the solution operations.</p> | | |
| 20. | Test Phase | <p>Develop UAT Scripts</p> <p>The UAT Scripts deliverable defines the scripts that will be used to execute UAT.</p> | | |
| 21. | Test Phase | <p>Infrastructure Management Plan</p> <p>The Infrastructure Management Plan deliverable defines the process and approach to tracking and managing infrastructure resources and their support plans and the licensing management. Supporting plans to the Infrastructure Management Plan that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> ▪ System Management Plan. | | |
| 22. | Test Phase | <p>Security Verification</p> <p>The Security Verification deliverable documents the results and successful execution of the security testing procedures documented in the Security Testing Plan.</p> | | |
| 23. | Test Phase | <p>Test/Analysis Problem Report</p> <p>The Test/Analysis Problem Report deliverable defines the outcome of the systems integrations testing.</p> | | |
| 24. | Test Phase | <p>Application Owner User Acceptance (UAT Completion)</p> <p>The UAT Completion deliverable provides the detailed results of the UAT execution and sign-off.</p> | | |

| # | Phase | Deliverables | Contractor/ Subcontractor | Deliverable Cost |
|-----|--------------------|--|------------------------------|---------------------|
| 25. | Implement Phase | <p>Detailed Implementation Plan The Detailed Implementation Plan deliverable outlines the detailed processes and approach to the implementation of the eCIRTS solution. This shall include a Master Training Plan.</p> <p>Supporting plans to the Detailed Implementation Plan that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> ▪ Updated Enterprise Schedule; ▪ Administrator Training Plan; ▪ User Training Plan; ▪ Tester Training Plan; ▪ Back Out Plan for Production; ▪ Final Back Out Plan for Production Environment. | | |
| 26. | Implement Phase | <p>Final Training Materials The Final Training Materials deliverable consists of the procedures, interactive courses, schedule, support, curriculum, sample data, etc. needed to train the users of the eCIRTS.</p> | | |
| 27. | Implement Phase | <p>Final System and User Documentation Document The Final System and User Documentation Document deliverable consolidates the system and user documentation to the Department required for the operation of the overall solution.</p> <p>Supporting documents to the System and User Documentation Document that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> ▪ System Administration Manual; ▪ User Manual; ▪ Final System Administration Manual. | | |
| 28. | Implement Phase | <p>Delivered System The Delivered System deliverable defines the completion of the implementation of the system.</p> | | |

| # | Phase | Deliverables | Contractor/ Subcontractor | Deliverable Cost |
|-----|--------------------|---|------------------------------|---------------------|
| 29. | Implement Phase | <p>Post Implementation Security Verification</p> <p>The Post Implementation Security Verification deliverable defines the results set from all security testing after the system has been implemented in production.</p> | | |
| 30. | Implement Phase | <p>Final Disaster Recovery Plan</p> <p>The Final Disaster Recovery Plan deliverable defines the approach for the recovery of the solution in the event of a disaster event. It details the roles, responsibilities, recovery point objectives, recovery time objectives and processes to be executed by the recovery team.</p> <p>Supporting plans to the Disaster Recovery Plan that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> ▪ Initial Application Restoration Plan. | | |
| 31. | Implement Phase | <p>Vendor Triage Daily Report</p> <p>The Triage Daily Report deliverable contains the open and resolved defects triaged by the implementation team and their status.</p> | | |
| 32. | Implement Phase | <p>Vendor Triage Weekly Summary Report</p> <p>The Triage Weekly Summary Report deliverable contains the metric summary of defects reported throughout the week on the Triage Daily Report.</p> | | |
| 33. | Implement Phase | <p>Post Implementation Warranty Evaluation Report</p> <p>The Post Implementation Evaluation Report deliverable details the lessons learned from the activities related to the implementation of the eCIRTS solution.</p> | | |
| 34. | Implement Phase | <p>Deployment Checklist</p> <p>The Deployment Checklist deliverable defines the systematic processes and timing that must be adhered to for the successful pre-implementation, implementation, and post-implementation of the eCIRTS solution.</p> | | |

| # | Phase | Deliverables | Contractor/ Subcontractor | Deliverable Cost |
|-----|----------------------------------|--|------------------------------|---------------------|
| 35. | Operations and Maintenance | <p>Operations and Maintenance (O&M) Plan The Operations and Maintenance Plan describes resource organization, responsibilities, policies, and general procedures.</p> | | |
| 36. | Operations and Maintenance | <p>Quality Assurance Procedures and Standards Manual The Quality Assurance Procedures and Standards Manual deliverable defines the thresholds and required testing procedures to maintain the quality of subsequent defect releases.</p> | | |
| 37. | Operations and Maintenance | <p>Vendor Weekly Status Reporting The Vendor Weekly Status Report provides an executive overview of the system execution and detail of items to be released in the Monthly Performance Report.</p> | | |
| 38. | Operations and Maintenance | <p>Vendor Monthly Performance Report The Vendor Monthly Performance Report deliverable includes the details of defects, enhancements and resolutions released in the solution for the month delivered.</p> <p>Supporting reports to the Monthly Performance Report that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> ▪ Key Performance Measures Evaluation Report; ▪ Change Log (if applicable). | | |
| 39. | Operations and Maintenance | <p>Warranty Completion Report The Warranty Completion Report deliverable provides a summary of the warranty items resolved during the Warranty period.</p> | | |

| # | Phase | Deliverables | Contractor/ Subcontractor | Deliverable Cost |
|-----|--------------------------|---|------------------------------|---------------------|
| 40. | Operations Transition | <p>Operations Transition Plan</p> <p>The Operations Transition Plan deliverable defines the processes and procedures and knowledge transfer to successfully transition the operation of the solution to another party.</p> <p>A supporting plan to the Operations Transition Plan that shall be provided by the contractor is the Turnover Plan.</p> | | |
| 41. | Operations Transition | <p>Transition Completion Report</p> <p>The Transition Completion Report deliverable summarizes the milestone of the transition of system operations to another party.</p> <p>Supporting documents to the Transition Completion Report that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> ▪ Team Performance Evaluation Document; and ▪ Turnover Completion Report. | | |
| 42. | Project Closure | <p>Project Closure Report</p> <p>The Project Closure Report deliverable details the activities needed to close out all Project activities, tasks, and reports.</p> <p>Supporting reports to the Project Closure Report that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> ▪ Project Lessons Learned Project Report; ▪ Project Release Document (Signed); ▪ Post Implementation Review Report; ▪ Post Implementation Evaluation Report; ▪ Change Log (Closed Out); ▪ Contract(s) Closure. | | |
| 43. | Project Closure | <p>Annual Update of Disaster Recovery Plan</p> <p>The Annual Update of Disaster Recovery Plan deliverable tracks the annual updates of the Disaster Recovery Plan as required.</p> | | |

Table 27: eCIRTS Project Deliverables

SECTION 12 QUALITY MANAGEMENT PLAN

The quality and process performance objectives for this Project are to deliver value to the department and the State of Florida by completing the project on time, on budget, within scope, and with a high-quality solution as follows:

| Objective | Description |
|--------------|--|
| On Time | Project outcomes, are delivered to DOEA on the dates agreed in the schedule and contracts. |
| On Budget | Overall project costs will not exceed the agreed budget in the contracts. |
| Within Scope | Agreed requirements are delivered. |
| High Quality | Solutions delivered will meet the agreed upon requirements and will have the necessary quality to provide value to DOEA. |

Table 28: Project Quality and Performance Objectives

The Quality Management Plan identifies the processes, procedures, standards, and tools to monitor the quality of work delivered and to communicate these concepts across the eCIRTS Project Team. It outlines quality activities promoting adherence to the standards and processes defined for eCIRTS so the Project meets its objectives and expectations throughout its life cycle. This plan also describes the responsibilities and authority for accomplishing quality activities and identifies the required coordination of quality management with other areas of the Project.

12.1 QUALITY MANAGEMENT

This section identifies the performance metrics used to measure and manage the Project's performance and process improvement approach.

The eCIRTS Project uses performance measures to examine the progress team members are making toward the completion of their work and to assess how efficiently and effectively the work effort meets the project objectives. Project quality, risks and the overall status of the project are continuously assessed. This section identifies the metrics used to measure and manage the Project's performance. It also details the process and tools to collect the necessary base measures, how to calculate the metrics, analyze the results (including quantitative analysis) and report performance results.

Collection and analysis of performance measures is applied to individual project's management, development and maintenance processes including: Plan, Define, Design, Develop, Test, Implement and Post-Implementation. It also applies to workstreams within the Project that do not create development products, but set architectural and business directions used by development activities in designing solutions. Because the Project has multiple development or major enhancement efforts, the measurement process must be performed for each separate effort or release.

The Project Managers will capture and report performance metric information for management purposes. The selected performance data will be reported in the Key Metrics section of Status reports.

The eCIRTS Project Team will review the performance metrics reported and assess their usefulness for project management activities. Over time, DOEA may determine to stop reporting certain metrics, refine others, and make requests for additional metrics. The Executive Sponsor and the DOEA Project Manager will review targets for the metrics reported and make recommendations on targets that have not yet been set within this document and/or adjustments to target values. The Project Manager(s) will work together to determine if requested metrics can be reliably captured and reported before implementation.

12.2 PROJECT METRICS

The following table lists the “library” of measures collected, analyzed, and reported by the eCIRTS PMO. These metrics are used together with target and tolerance ranges as a management tool. Metrics will be reported as appropriate for the phase and type of work underway. Target and range values for the listed metrics are either based on industry data (e.g., defect containment model information) or the basic characteristic of the measurement (e.g., SPI being on schedule is a value 1.0 so a target near this value is set).

| Metric / Model Name | Goal | Question | Description | Formula | Analysis Level, Frequency | Target Values | Analysis Reporting |
|------------------------------------|-------------|---|--|--|---|---|--------------------------------------|
| Average Risk Exposure | All | Are risks and issues managed appropriately? | Risk Exposure is a relative weight of a risk, based on the probability the risk will be realized and the impact of the risk if it is realized. Average Risk Exposure measures the average level of Risk Exposure for all the Project's active risks. Determines the Project's effectiveness at mitigating risks. | Total Risk Exposure (summed products of probability and impact for all risks) / Number of Active Risks | Project Level; Weekly | < 3 (that is, average risk exposure is "Low," based on 3-point scales – High=3; Medium=2; and Low=1 – for both probability and impact.) | Project Status Report and/or Meeting |
| Contractual Deliverable Timeliness | On Time | Are deliverables completed on time? | The Contractual Deliverable Timeliness measure indicates whether the Project can complete and submit deliverables by the projected due date. | Number of Deliverables Submitted on Time / Total Number of Deliverables | Project Level; Monthly | .9 to 1, with 1 as target (all deliverables on time) | Project Status Report and/or Meeting |
| Schedule Performance Index | On Time | Are we meeting our schedule? | Schedule Performance Index (SPI) measures whether the Project is earning value at the scheduled rate. This metric can be used to assist managers in determining if a Project will be completed on time, if the current trends continue. | Budgeted Cost of the Work Performed (BCWP) / Budgeted Cost of the Work Scheduled (BCWS) | Team and Project Levels; Weekly Monthly | Between .84 and 1.09 with 1 as the primary target. Above 1 is better than below. | Project Status Report and/or Meeting |

| Metric / Model Name | Goal | Question | Description | Formula | Analysis Level, Frequency | Target Values | Analysis Reporting |
|------------------------------------|--------------|---|---|---|--|--|--|
| Cost Performance Index | On Budget | Are actual costs on task with forecasted costs? | The Cost Performance Index (CPI) gives a measure of efficiency. It shows how efficiently the Project is spending budget dollars compared to how efficiently Project Management planned to spend them. | It is calculated by dividing Earned Value by the Actual Cost. | Team and Project Levels; Weekly Monthly | Between .84 and 1.09 with 1 as the primary target. Above 1 is better than below. | Project Status Report and/or Meeting |
| Contractual Deliverable Acceptance | High Quality | Are we meeting the department quality requirements? | Measures the percentage of submitted deliverables that the department has fully accepted. | Number of Deliverables (Fully Accepted, Conditionally Accepted, Rejected, Pending) by the Department / Number of Deliverables Submitted to the Dept. to date * 100% | Project Level Weekly; Program Level Weekly; Monthly | 100% Accepted - Fully or Conditional | Project Status Report, Program Status Report, and/or Meeting |

| Metric / Model Name | Goal | Question | Description | Formula | Analysis Level, Frequency | Target Values | Analysis Reporting |
|--|-----------|---|---|--|-------------------------------|------------------------|--------------------------------------|
| Contractual Deliverables Average Days Late | On Time | Are deliverables completed on time? | This metric is used to determine the timeliness of contractual deliverable submissions to the department. This metric also may indicate if the project is meeting their planned schedule. | Contractual Deliverable Timeliness: Average Days Late = Sum of number of days late for all contractual deliverables that were late or are outstanding / number of contractual deliverables late or outstanding | Project Level; Weekly | < 1 | Project Status Report and/or Meeting |
| Schedule Variance | On Time | Are we meeting our schedule? | Schedule Variance (SV) determines whether the project team is on, ahead, or behind schedule by calculating whether the team has completed (BCWP) work than scheduled (BCWS) for a given period. | Budgeted Cost of the Work Performed (BCWP) - Budgeted Cost of the Work Scheduled (BCWS) | Project Level; Weekly Monthly | Within 10% of schedule | Project Status Report and/or Meeting |
| Cost Variance | On Budget | Are actual costs on task with forecasted costs? | Cost Variance (CV) is the measure of cost performance on the Project. It is equal to earned value (EV) minus actual costs (AC). Any negative CV is often non-recoverable to the project. | $CV = EV - AC$ | Project Level; Weekly Monthly | Within 10% of schedule | Project Status Report and/or Meeting |

Table 29: Project Metrics

12.3 ROLES AND RESPONSIBILITIES

The various roles involved in the performance management process for the eCIRTS Project are briefly described below. Further details on the responsibilities are elaborated in the subsequent sections.

| Role | Responsibility |
|-------------------------|--|
| Project Manager(s) | The Project Manager is responsible for identifying, referring, and providing recommended information/data regarding performance metrics. |
| Workstream Leads | The Workstream Leads are responsible for the planning, analysis, development, implementation, execution, and maintenance of process quality activities as required. |
| Schedule Coordinator(s) | <ul style="list-style-type: none"> ▪ Establish and socialize schedule management standards and best practices; Recommend exceptions to standards on a case-by-case basis ▪ Coordinate the continuous, recurring process that represents the appropriate rigor for schedule management based on the phase or stage of the Project including <ul style="list-style-type: none"> ○ Collect team schedules from vendor teams to incorporate in the Master Project Schedule. ○ Collect progress updates from all the project workstreams ○ Incorporate the updates and changes into the Master Project Schedule ○ Facilitate analysis of progress updates and changes ○ Provide the schedule and related analysis to the whole project team and identified stakeholders ○ Facilitate time management discussions to resolve any schedule conflicts and issues ○ Maintain the schedule management process documentation in the Schedule Management Plan as needed ▪ Maintain the Project Work Breakdown Structure chart |
| Budget Coordinator | <ul style="list-style-type: none"> ▪ The planning, analysis, development, implementation, execution, and maintenance of cost activities as required. |

Table 30: Project Roles and Responsibilities

12.4 DATA INTEGRITY AND VALIDATION

The data submitted to support the Performance Measurement process must be of high integrity. The quality of the analysis and the ability for decision makers to trust the analysis is dependent on the quality of the data. It is important that the data collected, analyzed, reported, and submitted is accurate. The analysis of the data on the project level can only be beneficial if the data are “clean.”

The Project PMO Team will review the information being submitted to verify there is no missing data. The DOE Project Manager will review data submitted per the following guidelines:

- No missing data;
- Accurate data;
- Use of correct units of measure;
- Includes correct categories and types of data; and

- Consistently applies definitions of requested data.

12.5 ANALYSIS AND CORRECTIVE ACTION

Corrective actions are used to identify how the project will remedy a problem in the performance of a project process. Corrective actions are required for key project processes associated to project metrics with organizational baseline limits. The following rules are used to determine if the process is not performing within acceptable tolerances and requires further analysis.

The first rule applies to all metrics.

- **Beyond Limits** – The current metric result is outside expected variance (from baselines, specifications, or thresholds), going by whichever set of limits is most strict.

The following rule applies only to time-based data (such as SPI), not to event-based data (such as peer reviews).

- **Trending in One Direction** – The metric result has been trending in one direction for at least five times in a row for weekly items (with lower tolerance employed for longer reporting periods).

If any metric results break of the applicable rules, they are analyzed to determine the root cause and, where appropriate, documented in the project's Status Report.

The Project PMO will analyze and determine root causes for those metrics with results **Beyond Limits** or those with results **trending in One Direction**. The eCIRTS Project PM Team will discuss and develop an action plan to address those root causes and report that plan to the Project Manager and during the status meeting. Any identified corrective actions will be logged and tracked to completion. Possible corrective actions include:

- **Schedule, Budget, or Work Plan rework** – Reassess estimates and approximations, prioritize, rework sequences, and add experienced personnel or additional resources.
- **Process Change or Review** – The creation or modification of the process, or retraining process users to address results.
- **Renegotiate service delivery targets or service level agreements** – Reassess service targets if they are not realistic given project budget, schedule, or other external constraints.

The Project PMO will complete a Change Request for those corrective actions that will affect project scope, budget, or schedule.

SECTION 13 DOCUMENT MANAGEMENT PLAN

13.1 OVERVIEW

This document describes the document management practices for this Project. Document management includes Document Creation, Document Revision, Delivery Approach, and Version Control. A standard process will be used for all project related documents and applies to the creation and management of documentation including minutes, notes, deliverables, and other outputs for this phase of the project.

13.2 DOCUMENT CREATION AND DELIVERY APPROACH OBJECTIVES

This approach is designed to ensure:

- Defined objectives are met;
- Expectations of the major stakeholders of the project are fulfilled;
- Approved principles, measures, standards, and methods are applied uniformly; and
- Consistency and continuity is maintained for all project artifacts.

13.3 PURPOSE OF DOCUMENT MANAGEMENT PLAN

The purpose of the Document Management Plan is to define the process for how documents developed by the vendor will be managed and submitted to the DOEA Project Manager for approval.

This document identifies the steps in the document creation and update processes, from the initial creation of a document through approval by the DOEA Project Manager (if applicable), including any revisions or updates necessary throughout the document's useful life.

13.4 SCOPE OF DOCUMENT CREATION AND DELIVERY APPROACH

This document covers project documentation related activities including:

- Document Management Process
- Roles and Responsibilities
- Version Control

13.5 DOCUMENT MANAGEMENT STRATEGY

The project team (DOEA and Vendor) must work together to ensure quality in the documents submitted to the DOEA for review and approval. To support this goal, several tactical actions are planned or have already been performed:

- The project uses Microsoft SharePoint to organize large, complex information sources and manage documents with multiple authors and approvers. SharePoint provides for version tracking, check-in, and check-out to ensure that only one person works on a document at a time, controlled document access based on user roles, and automated routing of documents to reviewers.

- DOEA has created a eCIRTS Project SharePoint document repository to manage documents.
- The approach and the document naming standards defined in this plan will be adhered to for all documents submitted to the DOEA.
- Backup and retention of documents will be managed by established SharePoint vendor procedures.
- As relevant project documentation, including hard copy documents (i.e., charts, graphs, and other supporting documents) are gathered, to the extent practicable and as determined appropriate, documents will be scanned and stored in SharePoint following standards and processes defined in this plan.
- Each project document should have an owner who is responsible for the creation of and updates to the document throughout its useful life.

13.6 DELIVERY DOCUMENT LIFECYCLE MANAGEMENT

13.6.1 DOCUMENT NAMING STANDARDS

All artifacts use a standard naming convention to provide consistency in the way all project related artifacts are named. The file naming conventions used on this project include:

- yyyyymmdd-Artifact-Name-v#.## (Example: 20160721-Document-Management-Plan-v0.01) where:
 - yyyyymmdd – Replace this value with the 4-digit year, 2-digit month, 2-digit day;
 - Artifact Name – Replace this value with the deliverable name and always use hyphens instead of spaces. Additional text or details to the name of the file (No initials, change details, etc.) will not be added. The Revision History table included in each document template will be used to include the details of what was changed in each version; and
 - V#.## is the version tracking.

13.6.2 DOCUMENT REPOSITORY AND VERSION CONTROL

The Document Repository is established in Microsoft SharePoint and contains all current and previous versions of deliverable and work product documents. The project team will use Microsoft’s SharePoint software as the collaboration tool. This tool provides version control and many additional features that may be implemented to maximize project communications.

13.6.3 VERSION CONTROL

The project will standardize version control for all project artifacts. This will provide consistent document version control. The following steps will be followed for each project artifact:

- Each new document will start at version 0.01;
- Increment the version number by .01 until the DOEA has approved the document;
- Use 1.00 for deliverable submission; and
- If revisions are made, increment by .01 until another approval, which would be 2.00. Continue this pattern as necessary.

13.6.4 DELIVERABLE ACCEPTANCE FORM

The Deliverable Acceptance Form is to be used to accompany each deliverable during submittal. This form captures the signatures that signify acceptance of the deliverable document.

SECTION 14 PROJECT COMMUNICATION

14.1 OVERVIEW

Communications management is a broad area comprised of the processes necessary to ensure effective communication among project team members and project stakeholders. It includes the generation, collection, storage, dissemination, and disposition of project information.

14.2 PURPOSE

The purpose of this section is to document the formal communication process developed for the Project. This plan defines:

- What should be communicated on the project;
- Who is responsible for communicating with what audience;
- When the communication should take place; and
- How information will be communicated.

The communication process was developed to ensure project stakeholders and team members stay informed concerning the status of project initiatives. However, the existence of a defined process does not confirm effective communications. The project team's execution of the communication processes is the driver for the successful communication.

This plan provides a framework for project informational exchange within and outside the project. This plan focuses on formal communication elements, though other channels exist on informal levels, and enhance those discussed within this plan. This plan does not limit, but rather enhances communication practices. Open, honest, ongoing communication between stakeholders and team members is vital to the success of the project.

This communication plan is a key tool for promoting and enhancing organizational transformations toward new business processes. The plan will be updated as necessary throughout the project to reflect new or evolving communication needs (e.g., changes to stakeholders, scheduled meetings, or communication tools). Changes to this plan will be coordinated by the DOEA Project Manager and approved by the Project Sponsor.

14.3 SCOPE

This Project communication plan is for internal stakeholders. The scope of this plan includes identifying the stakeholder requirements for each communication type, the frequency of communication, the medium of communication, and the team member or members responsible for the communication.

The target audience for this plan includes:

- Project team members
- All project participants
- Project internal stakeholders

All other contractors and departmental staff are excluded. The communications strategies and procedures for external stakeholder communications are outside of the scope of this document.

14.4 ROLES AND RESPONSIBILITIES

Communication is an ongoing function within the project and are directed toward internal DOEA stakeholder groups and the project team. The project team will work closely with stakeholder groups to ensure communication needs are met and will adjust per feedback received. Roles and responsibilities for project communications are listed below.

| Role | Communication Responsibilities |
|---|---|
| DOEA Project Sponsor | Provide input and guidance about stakeholder communications to the Deputy Secretary <ul style="list-style-type: none"> ▪ Champion project within the Department |
| Business Functional Sponsor | Provide issue resolution and communications input and guidance to the Project Manager |
| DOEA Project Manager and Vendor Project Manager | Member of the project team, providing input and guidance to the team about project stakeholder communication needs and strategies <ul style="list-style-type: none"> ▪ Provide official communication to Team Leads for dissemination to the stakeholders |
| DOEA Project Team | Provide input to the Project Manager about project stakeholder communication needs and strategies |
| Vendor Project Team | Members of the project team, providing input and guidance to the team about stakeholder communications needs, strategies, and events <ul style="list-style-type: none"> ▪ Coordinate the collection and dissemination of project information to stakeholder audiences ▪ Create status report ▪ Provide written status report to status meeting attendees ▪ Deliver verbal report during status meetings |

Table 31: Project Communication Roles and Responsibilities

14.5 STAKEHOLDER CONTEXT

The successful outcome of any Project relies on effective communications to the broad stakeholder population. Elements of effective communication for the project are stakeholder-driven; therefore, the planning process must include identifying all stakeholders. The stakeholder identification and analysis determines the most effective types and frequency of information stakeholders require to perform their role and to meet their responsibilities within the project.

14.5.1 STAKEHOLDER ANALYSIS

The stakeholder analysis consists of a systematic assessment of each of the stakeholder groups to determine:

- Entities and individual participants;
- Contact information;
- Role in the project;
- Project communication needs;
- Project impact assessment; and
- Special considerations.

Stakeholder involvement throughout the project will provide greater assurance of project success. Effective and timely involvement enables people to understand and take part in change rather than feel it is being imposed on them. This increases speed to adoption of change.

Stakeholders of change, especially large-scale, systemic change, have a need for information about the change. They generally ask the following questions:

- Why is this change necessary?
- Why is this change happening now?
- What is wrong with what we are doing today?
- What will happen if we don't change?

DOEA will identify stakeholders and conduct a stakeholder analysis to determine communications needs and preferences for each stakeholder group. We will then engage stakeholders in a variety of ways, providing opportunities for them to express their ideas, opinions, and concerns.

| Stakeholder | Internal/ External | Stakeholder Description |
|-----------------------------------|-----------------------|---|
| DOEA Staff | Internal | Employees or subcontractors within DOEA |
| Providers | External | Individuals or organizations which provide home and community based programs and services. |
| Clients | External | Florida citizens who receive DOEA services. |
| Advocacy Groups | External | Those groups who advocates on behalf of DOEA clients and providers. |
| Agency for State Technology | External | State of Florida technology agency responsible for setting standards and providing oversight for IT projects. |
| Legislature and Governor's Office | External | State of Florida governing body who approves funding for IT initiatives |

| Stakeholder | Internal/ External | Stakeholder Description |
|-------------------|-----------------------|---|
| Impacted Agencies | External | External Agencies impacted by the eCIRTS project. |

Table 32: Stakeholder Management Matrix

14.6 REQUIRED COMMUNICATIONS

14.6.1 STATUS REPORTS

As part of the status meeting the Vendor will provide a published status report distributed to the project team members and stakeholders. The Vendor PM will create and DOEA Project Managers will review and distribute the Status Report. The frequency of status submission agreed to between the DOEA and Vendor PMs during project initiation meetings is.

14.6.2 STATUS MEETINGS

The status meetings will be held between the DOEA and Vendor Project Managers. The result of these meetings is a published Status Report distributed to the project team members and stakeholders. Meeting attendees will be notified of changes to the time or location of these meetings via email and/or phone as far in advance as possible.

14.6.3 MEETING AGENDAS

No less than 24-hours prior to a scheduled workshop or meeting, the facilitator of that meeting will provide the meeting agenda to the scheduled attendees. Circumstances will arise where a meeting is scheduled and held in less than 24-hours. In this case, the meeting facilitator is expected to distribute an agenda when practicably feasible. It is expected the attendees of the meeting will review the agenda and any other documentation distributed prior to the meeting. Each agenda will include an action item section that will be reviewed during the meeting. Action items assigned during the meeting will be documented and distributed to the team in the meeting minutes.

14.6.4 ADDITIONAL COMMUNICATION

In addition to the regularly scheduled meetings noted above, occasionally written communication will be sent out by the project management team on an as-needed basis. This communication will be specific in nature and may be broadcast to the general project population or to target audiences depending upon the circumstances involved.

14.7 COMMUNICATION DISTRIBUTION

The subject matter of this plan is primarily internal (DOEA, Vendor and oversight entities) communication. The general flow of the documents will be out-going from the Project Management Team to the target audience.

| Communication Type | Stakeholders | Medium | Frequency | Reporting Member |
|-------------------------------|--|------------------|------------------|--|
| ESC Status Meeting and Report | Executive Steering Committee | In-Person | Monthly | DOEA Director and DOEA Project Manager |
| Project Status Report | Project Sponsor, Business Sponsor, DOEA, Project Manager, Project Team | Email | Bi-Weekly | DOEA, Project Manager, Vendor Project Manager |
| Project Status Meeting | Project Director, Identified Project Team Members | In-Person/ Skype | Bi-Weekly | DOEA Project Manager, Vendor Project Manager, and IV&V |
| Meeting Agendas and Minutes | As needed | Email | As needed | Project Team |

Table 33: Project Communication Roles and Responsibilities

Department of Elder Affairs eCIRTS Project
Schedule IV-B Technology Planning
Current Information Technology Environment
Schedule IV-B, Section VI.A.1 (Current System)

| Entity | Description of Current System/Function | Systems/Tools |
|---|--|---|
| DOEA | DOEA provides direct services through its Division of Statewide Community-Based Services to deliver essential services to the elder population of Florida. | Adult Care Food Program Automated Contract Management System Adult Protective Services Referral Tracking Tool CIRTS DOEA Reporting Systems DOEA Tracking Systems ReferNET User Management System |
| AAAs/ADRCs | AAAs respond to the needs of Americans 60 and over in every local community by providing a range of options allowing older adults to choose home and community-based services and living arrangements. ADRCs provide information and referrals to elders, and adults age 18 and older who have a serious mental illness (such as bipolar disorder, schizophrenia, or clinical depression) or intellectual disability. | CIRTS Google Calendar ReferNET Square 9 SmartSearch TimeTap |
| Lead Agency | Lead Agencies assist functionally impaired elderly persons to live dignified and reasonably independent lives in their own homes, homes of relatives or caregiver's home. | CIRTS |
| Questions a.1-9 | | |
| 1) Total Number of Users | CIRTS 1,748 - External AAA network business users; 284 - DOEA CARES field offices business users; and 79 - DOEA headquarters business users. 2,111 - Total Users | ReferNET 4 users at DOEA Headquarters 30 users in PSA 1 58 users in PSA 2 32 users in PSA 3 29 users in PSA 4 27 users in PSA 5 33 users in PSA 6 27 users in PSA 7 29 users in PSA 8 86 users in PSA 9 32 users in PSA 10 56 users in PSA 11 443 Total Users |
| 2) Number and percent of transactions handled by the system | 1,100,000 transactions per month. Approximately 4.5% of these are done through a batch process. | 319,074 - Information 40,224 - Intake: <u>78,641 - Referral and Assistance</u> 437,939 - Total transactions during fiscal year 2015-2016 |

| | | |
|---|--|---|
| 3) Requirements for public access, security, privacy, and confidentiality | <ul style="list-style-type: none"> • Chapter 74-2, F.A.C. • Chapters 119, 400, 415, 429, 430, and 744, F.S. • Health Insurance Portability and Accountability Act (HIPAA) • Sections 282.318 and Sections 282.601-282.606, F.S. • 42 CFR Part 431, Subpart F • 45 CFR 205.50 | Chapter 74-2, F.A.C. |
| 4) Hardware Characteristics | <p>Built on a 3-tiered Oracle 10g and 11g database platform and hosted by the AST State Data Center.</p> <p>Consisting of:</p> <ul style="list-style-type: none"> 7 Physical Database Servers 4 Virtual Database Servers 5 Application Servers | ReferNET is system hosted by RTM Designs on their proprietary database platform. |
| 5) Software Characteristics | <p><u>Operating Systems:</u></p> <ul style="list-style-type: none"> Oracle Solaris SUSE Linux Microsoft Windows <p><u>Database Platform:</u></p> <ul style="list-style-type: none"> Oracle Applications Oracle Forms Oracle Reports <p><u>Stored procedures:</u></p> <ul style="list-style-type: none"> PL/SQL | ReferNET is system hosted by RTM Designs that is accessible via Remote Desktop Connection. |
| 6) Existing system or process documentation | <p>Existing system documentation:</p> <ul style="list-style-type: none"> Appendix K - CIRTS User Guide for CARES 2013.pdf Appendix O - CIRTS User Guide for Aging Networks 2007.pdf | <p>System and process documentation for ReferNET is available on the RTM Designs web site:</p> <p>http://refersoftware.com/ContactUs.aspx</p> |
| 7) Internal and External Interfaces | <p>Agency for Health Care Administration (Tri-Monthly, Inbound):</p> <ul style="list-style-type: none"> Active waiver enrollment information for Statewide Medicaid Managed Care Long Term Care (SMMC LTC) and Program of All-Inclusive Care for the Elderly (PACE) programs; terminated enrollment information; SMMC LTC Complaints. <p>Department of Children and Families (Quarterly, Inbound):</p> <ul style="list-style-type: none"> DCF's Aging Out Program (Individuals 60+). <p>Department of Health (Daily, Inbound):</p> <ul style="list-style-type: none"> Death certificate data of individuals 18+. <p>Enrollment Broker (Daily, Outbound):</p> <ul style="list-style-type: none"> Client information with the 701B/701T and LOC documentation for the SMMC LTC program and HCBS waiver. <p>Service Providers (Ad hoc, Inbound):</p> <ul style="list-style-type: none"> DOEA Electronic Data Interchange (EDI) file exchange system. | There are no internal or external interfaces for ReferNET. |

| | | |
|--|---|--|
| 8) Consistency with the agency's software standards and hardware platforms | <p><u>Consistent with DOEA's:</u> Microsoft Windows and Oracle database software standards</p> <p><u>AST State Data Center:</u> Hardware platform</p> | The only software needed to access ReferNET is the Remote Desktop Connection application built into Microsoft Windows which is the DOEA workstation operating system standard. |
| 9) Scalability to meet long-term system and network requirements | It is not scalable and thus does not meet long-term system requirements. | The ReferNET system is scalable to meet long-term system and network requirements as it is a hosted solution supporting Aging Resource Networks and Call Centers in multiple states. |
| | | |

Department of Elder Affairs eCIRTS Project

Schedule IV-B Technology Planning

Current Information Technology Environment

Schedule IV-B, Section VI.A.1.b (Current System Resource Requirements)

Schedule IV-B, Section VI.A.1.b.1 (Hardware and Software Requirements)

| Server Name | RAM | CPU | Cores | Operating System | Software |
|--------------------|------|---------|-------|------------------------|-------------------------------|
| ADHOC/Dev6 | 64GB | 2.0GHz | 16 | Oracle Linux 5.10 | Oracle Database 10g |
| CIRT | 64GB | 2.8GHz | 4 | SUSE Linux 10.3 | Oracle Database 10g |
| REPT | 32GB | 3.33GHz | 2 | SUSE Linux 10.3 | Oracle Database 10g |
| DOEATS1 | 16GB | 2.8GHz | 2 | Sun Solaris 10 | Oracle Database 11g |
| DEOAPR1 | 48GB | 2.9GHz | 4 | Oracle Solaris 11 | Oracle Database 11g |
| EAOL10 (EDI) | 10GB | 2.0GHz | 6 | Oracle VM Server 2.2.1 | N/A |
| EAOL16 (EDI) | 10GB | 2.0GHz | 1 | Oracle Linux 5.11 | Oracle Application Server 11g |
| FMW (VM cluster 1) | 40GB | 2.5GHz | 6 | Oracle Solaris 11 | Oracle Application Server 11g |
| FMW (VM cluster 2) | 48GB | 2.5GHz | 6 | Oracle Solaris 11 | Oracle Application Server 11g |
| FMW (VM cluster 3) | 8GB | 2.5GHz | 2 | Oracle Solaris 11 | Oracle Application Server 11g |
| FMWT (Test server) | 16GB | 2.4GHz | 8 | Oracle Solaris 11 | Oracle Application Server 11g |

Schedule IV-B, Section VI.A.1.b.2 (Cost/Availability of maintenance or service for existing system hardware or software)

The cost for maintaining the existing CIRTS system is referenced in Appendix A: Cost Benefit Analysis.

Schedule IV-B, Section VI.A.1.b.3 (Staffing requirements, identifying key roles)

| Key Role | FTEs | Comments |
|------------------------|-------------|--|
| Database Administrator | 0.9 | 1 Database Administrator spending 90% of their time on CIRTS |
| Systems Administrator | 0.75 | 1 System Administrator spending 75% of their time on CIRTS |
| Application Support | 5.3 | 6 Developers spending approximately 90% of their time on CIRTS |
| Total FTEs | 6.95 | |

Schedule IV-B, Section VI.A.1.b.4 (Summary of the cost to operate the system)

A summary of the cost to operate the CIRTS system is shown in Appendix A: Cost Benefit Analysis.

**Department of Elder Affairs eCIRTS Project
Schedule IV-B Technology Planning
Current Information Technology Environment
Schedule IV-B, Section VI.A.1.c (Current System Performance)**

Schedule IV-B, VI.A.1.c.1 (The ability of the system to meet current and projected workload requirements)

The current system is unable to meet current and projected workload expectations.

CIRTS is supported on DOEA's standard Oracle version 10g and 11g platform which surpassed end-of-life support in December 2010 and January 2015, respectively. Therefore, the system can no longer receive software updates, security patches, and the development of new functionality is limited. Frequent statute and rule changes require updates to be made to the system to accommodate new business rules. There are only 2 temporary (OPS) staff available to make system modifications. Given the limitations of the outdated database platform and DOEA having a small number of application developers familiar with CIRTS design, CIRTS is not scalable or extensible enough to adequately meet the current and future workload requirements of DOEA staff.

Schedule IV-B, Section VI.A.1.c.2 (Level of user and technical staff satisfaction with the system)

The user and technical staff have a low level of satisfaction with the current system.

Current CIRTS users are dissatisfied with several shortcomings of the system including lack of ability to make modifications, no automated workflow processing, no calendaring and scheduling functionality, frequent system downtime, and reliance on paper-based processes to work around business functions the legacy CIRTS system is not capable of handling. DOEA technical staff are dissatisfied with not being able to update the CIRTS database platform to include new features and functionality, being severely limited in the ability to make system modifications as a result of not having historical knowledge of how the system was originally designed, and not having sufficient staff to support the system.

Schedule IV-B, Section VI.A.1.c.3 (Current or anticipated failures of the current system to meet the objectives and functional requirements of an acceptable response to the problem or opportunity)

The CIRTS database platform has gone beyond end-of-life support, system updates and modifications are very limited if not impossible. Therefore, when the Legislature enacts statutory changes that affect DOEA or DOEA promulgates new Florida Administrative Code rule changes, modifications to the system are hindered by lack of functionality and understanding of the business logic which can significantly delay, prevent modifications or require manual workarounds, and may restrict the ability to meet organizational objectives and business functional requirements.

Schedule IV-B, Section VI.A.1.c.4 (Experienced or anticipated capacity or reliability problems associated with the technical infrastructure or system)

The current CIRTS system suffers from poor performance, frequent downtime and loss of connectivity which directly affects DOEA staff productivity and efficiency, often requiring rework or manual work arounds. Further, adding needed functionality for system enhancements is severely restricted as CIRTS is running on outdated platforms that are no longer supported, thus making updates to existing code difficult or impossible.

Department of Elder Affairs eCIRTS Project
Schedule IV-B Technology Planning
Current Information Technology Environment
Schedule IV-B, Section VI.A.2

Schedule IV-B, Section VI.A.2 (Information Technology Standards)

| | |
|-----------------------------|---|
| <p>State Law</p> | <ul style="list-style-type: none"> • Chapter 74-2, F.A.C. • Chapter 119, F.S. • Chapter 400, F.S. • Chapter 415, F.S. • Chapter 429, F.S. • Chapter 430, F.S. • Chapter 744, F.S. • Section 282.318, F.S. • Sections 282.601-282.606, F.S. |
| <p>Federal Law</p> | <ul style="list-style-type: none"> • Health Insurance Portability and Accountability Act (HIPAA) • 42 CFR Part 431, Subpart F • 45 CFR 205.50 |
| <p>DOEA Policies</p> | <ul style="list-style-type: none"> • DOEA 420.10 - Department of Elder Affairs Management Information Systems Policy and Procedures • 420.51 - DOEA Information Security Policy • 550.99 - DOEA Telework Alternative Work Locations |

**Department of Elder Affairs eCIRTS Project
Schedule IV-B Technology Planning
Current Information Technology Environment
Schedule IV-B, Section VI.B (Hardware and Software Inventory)**

| Hardware/Software Description | Hardware/Software Type | Purchase Date | Warranty Date | Annual Costs |
|--------------------------------------|-------------------------------|----------------------|----------------------|---------------------|
| ADHOC/Dev6 (adhoc.felder.org) | Physical Server | Hosted at AST SDC | Hosted at AST SDC | \$18,233.72 |
| CIRT (test) | Physical Server | Hosted at AST SDC | Hosted at AST SDC | \$1,321.74 |
| CIRTS (production) | Physical Server | Hosted at AST SDC | Hosted at AST SDC | \$11,657.69 |
| REPT | Physical Server | Hosted at AST SDC | Hosted at AST SDC | \$8,374.15 |
| DOEATS1 (sun125.dms.state.fl.us) | Physical Server | Hosted at AST SDC | Hosted at AST SDC | \$1,595.00 |
| DOEAPR1 (sun139.dms.state.fl.us) | Physical Server | Hosted at AST SDC | Hosted at AST SDC | \$445.60 |
| EAOL10 (EDI) (eaol10.felder.org) | Virtual Server | Hosted at AST SDC | Hosted at AST SDC | \$6,575.52 |
| EAOL16 (EDI) (eaol16.felder.org) | Virtual Server | Hosted at AST SDC | Hosted at AST SDC | \$6,454.25 |
| FMW | Cluster of 3 Virtual Servers | Hosted at AST SDC | Hosted at AST SDC | |
| FMWT (Test Server) | Physical Server | Hosted at AST SDC | Hosted at AST SDC | |
| sunvm16.dms.state.fl.us | Hypervisor | Hosted at AST SDC | Hosted at AST SDC | \$1,824.87 |
| SUSE Linux 10.3 | Operating System | Hosted at AST SDC | Hosted at AST SDC | \$12,862.52 |
| Oracle Database 10g | Database Software | Hosted at AST SDC | Hosted at AST SDC | \$381,445.47 |
| Oracle Database 11g | Database Software | Hosted at AST SDC | Hosted at AST SDC | \$63,574.24 |
| Oracle Application Server 11g | Database Software | Hosted at AST SDC | Hosted at AST SDC | |
| Total Annual Costs | | | | \$514,364.77 |

Two servers in the AST State Data Center (SDC) will be decommissioned upon implementation of the new eCIRTS system. Because the virtual servers that run the current CIRTS system are provided and hosted by the AST SDC, DOEA did not purchase the servers thus there is no applicable warranty expiration date. CIRTS currently runs in conjunction with eleven other Oracle applications. Some existing Oracle applications are being modified to work in APEX (an Oracle development platform that can be migrated to a Cloud based solution).



CIRTS

*(Client Information & Registration
Tracking System)*

User Guide for CARES

**Florida Department of Elder Affairs
December 2013**

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ACCESSING CIRTS

There are several ways to access CIRTS. If working in the office you can double-click on the **CIRTS** icon on the desktop. If working in a remote setting you can access CIRTS by double-clicking on the **DOEA Portal** icon on the desktop.



If you do not have the above icons on your desktop, you can access CIRTS at <https://199.250.26.136> or the DOEA Portal at <https://e2.felder.org/nidp/app>.

You can select the **CIRTS** link from the Department of Elder Affairs Intranet site.

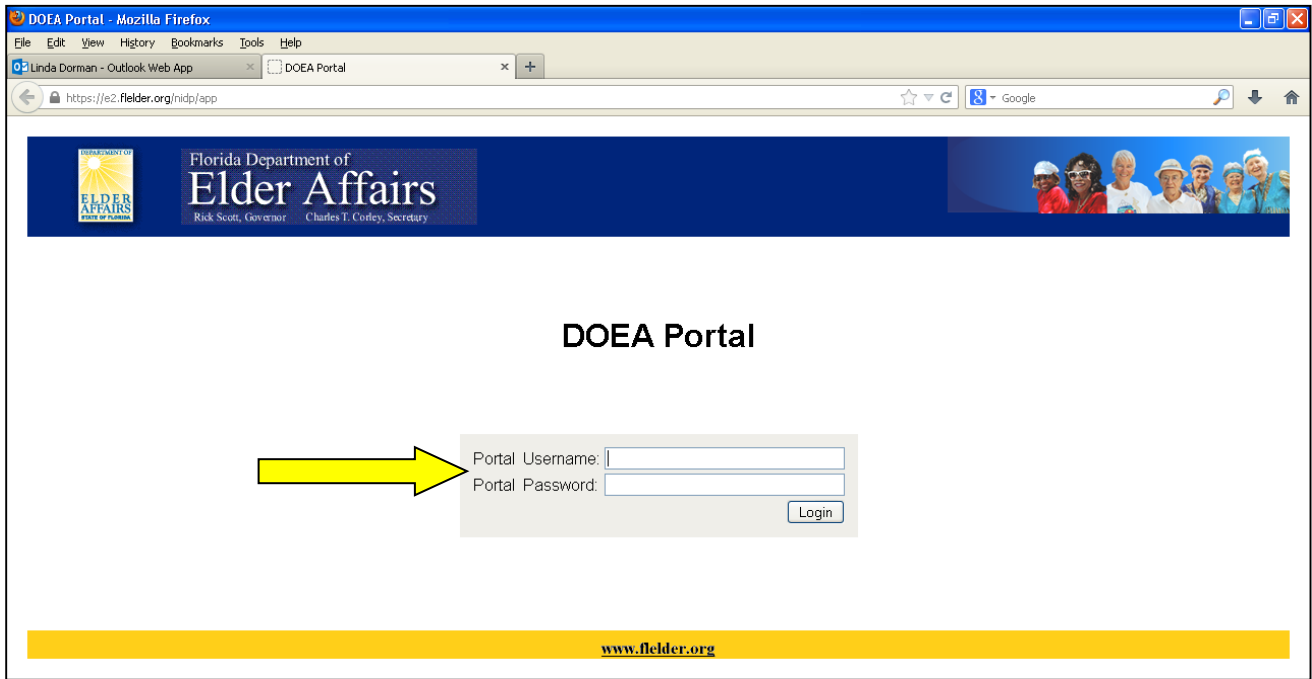
The screenshot shows the Department of Elder Affairs website with a navigation menu on the left. The 'Other' section includes links for 'Aging Network Links', 'Enterprise Applications Login (CIRTS)', and 'Other'. A yellow arrow points to the 'Enterprise Applications Login (CIRTS)' link.

Or you can access CIRTS from the DOEA Internet Home Page at <http://elderaffairs.state.fl.us/index.php>. Go to the Employee Corner (lower left side) then select DOEA Portal.

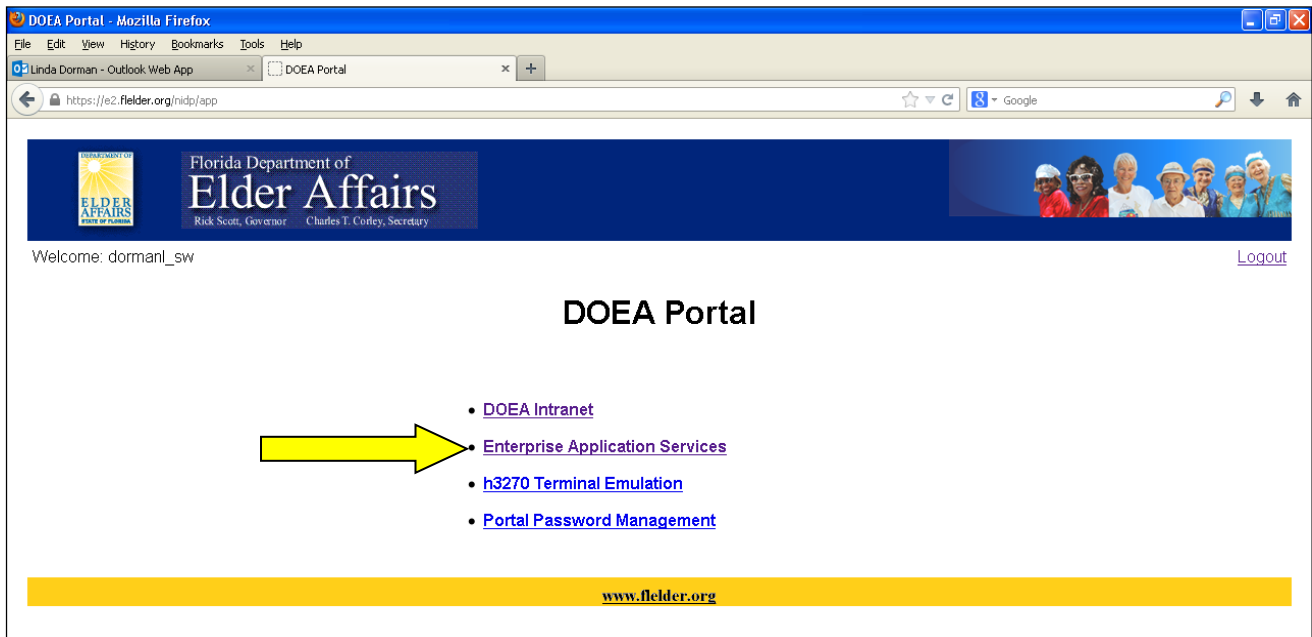
The screenshot shows the Department of Elder Affairs website home page. The left-hand navigation menu includes links for 'Department Home', 'Aging Resource Centers', 'Background Screening', 'Disaster Preparedness', 'Elder Helpline', 'Elder Update Newspaper', 'Employment for Seniors', 'Health Insurance for Seniors', 'Press Releases', 'Public Meeting Notices', 'Report Elder Abuse', 'Rulemaking', 'Senior Centers in Florida', 'Senior Legal Services', 'Services in My Area', 'Volunteering', 'Site Map', and 'Employee Corner'. A yellow arrow points to the 'Employee Corner' link.

USING THE DOEA PORTAL

If you are working remotely and accessing CIRTSS via the DOEA Portal, you will first have to access the **VZ Access Manager**. Once connected to your wireless service, you can double-click the DOEA Portal icon. The DOEA Portal screen below will appear. Enter your portal username and password.



Once your portal user name and password have been accepted, another DOEA Portal screen will appear. From this screen you can access the DOEA Intranet, Enterprise Application Services, the Florida System (h3270 Terminal Emulation), and Portal Password Management. To access CIRTSS, select **Enterprise Application Services**.



OPENING CIRTS

The **Enterprise Application Services** screen below will appear once you have double-clicked the CIRTS icon, completed the steps to access CIRTS via the DOE Portal (icon or DOE Internet Home Page), or selected the link on the DOE Intranet site.


DOEA Oracle Single Sign-On - Mozilla Firefox

File Edit View History Bookmarks Tools Help

hfelder.org https://e4.felder.org/sso/jsp/login.jsp?site2pstoretoken=v1.2~6DC2A7D3~1177F8EA91FD51BF80EA88F20ED16A696203A7A89056337BF0CDD696F28887B3

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DOEA Oracle Single Sign-On

 **Enterprise Application Services**

DOEA Mission: To foster an environment that promotes well-being for Florida's elders and enables them to remain in their homes and communities.

DOEA Vision: All Floridians aging with dignity, purpose, and independence.

Single Sign-On

[Click here](#) to add this site to Bookmarks!

[Click here](#) for PC Setup Instructions.

User Name

Password

Login

* The Single Sign-On (SSO) password is case-sensitive.

Done

start DOE Portal - Mozilla ... DOE Oracle Single Si...

9:39 AM

- 1) Enter your **CIRTS** user name.
- 2) Enter your **CIRTS** password. This password is case-sensitive. If an error occurs, check to see if the Caps Lock is on.
- 3) Click the **Login** button or press the **Enter** key.

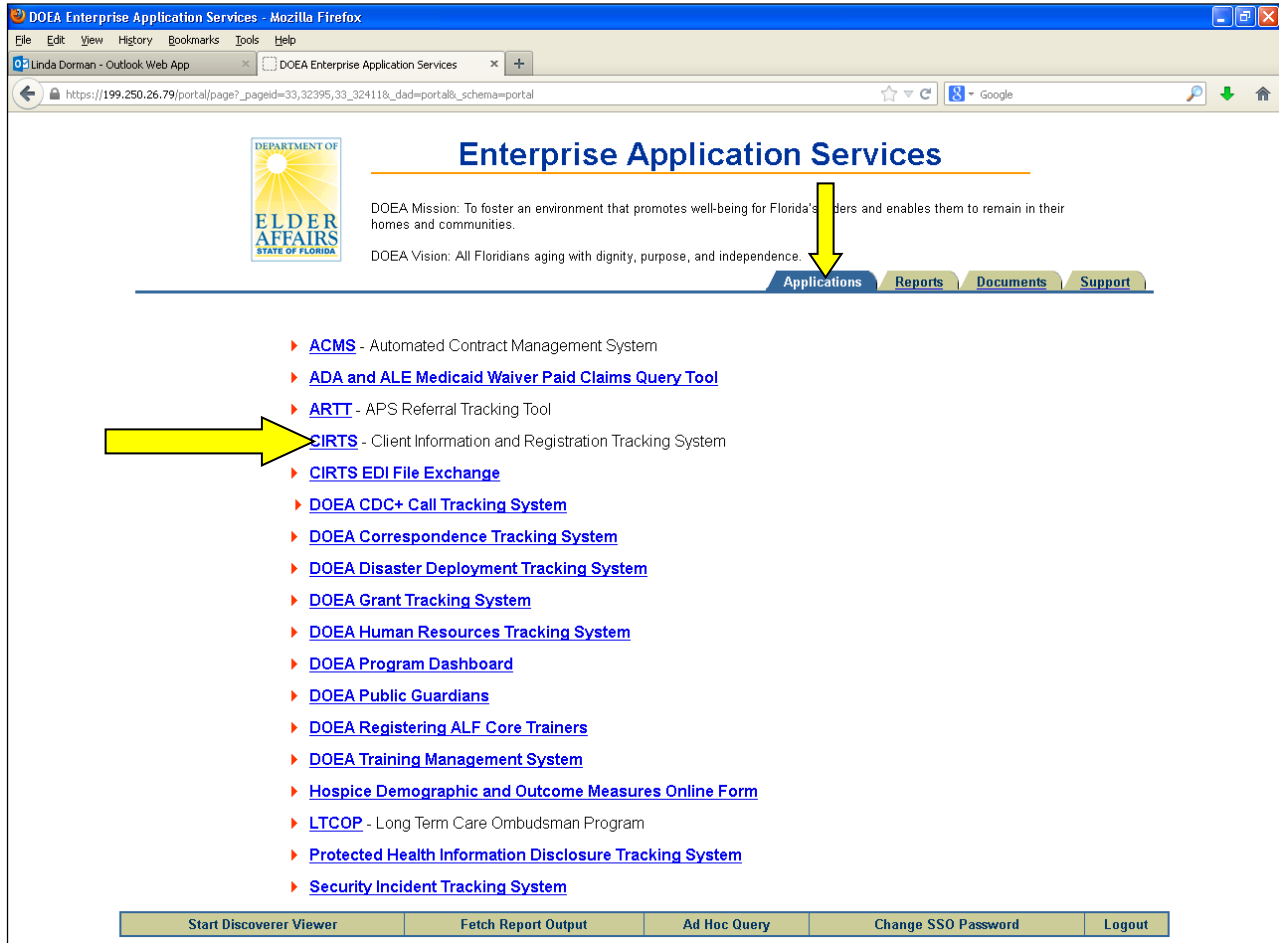
Once you have completed the above steps, the **Applications** screen will appear.

REMINDER:

The first “**Click here**” provides steps to add the CIRTS login screen to your Favorites (Internet Explorer) or Bookmarks (Mozilla Firefox).

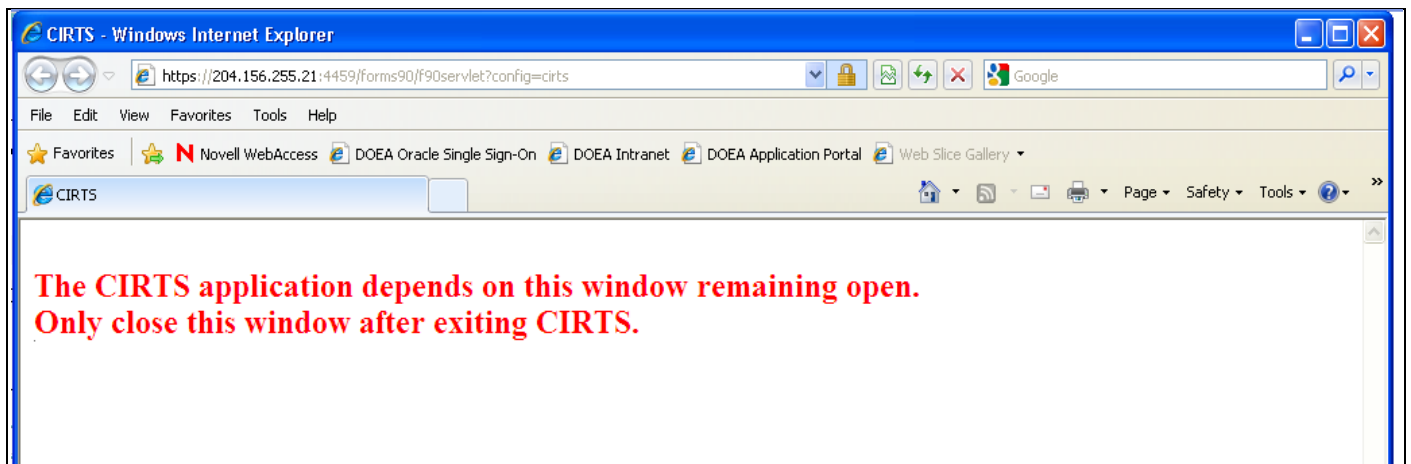
The second “**Click here**” provides steps to prepare a PC for the DOE Enterprise Application Services website.

APPLICATIONS SCREEN



Click the **CIRTS** link. *Note: The Caseworker Role will only see the first four items.*
A window will appear with **RED** writing.

WINDOW WITH RED WRITING



This window must remain open while you are using CIRTS. If this window is closed, CIRTS will close.

CIRTS MENU SCREEN OR CARES ASSIGNMENTS SCREEN

Once you are logged into CIRTS, either the CARES Assignments screen or the CIRTS Menu screen will appear. The screen that will appear depends on the assigned role of the user.

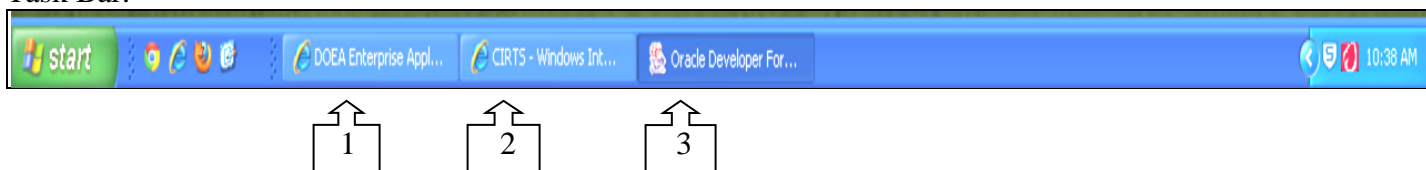
Headquarters View-All Role: The CIRTS Menu screen will appear for this user role. This user can select the CARES Assignments screen from the menu. Once on the assignment screen, any PSA/office and any employee/caseworker can be selected.

Supervisor Role: The CARES Assignments screen will appear for this user role. The supervisor can only select employees/caseworkers in their own PSA/office.

Caseworker Role: The CARES Assignments screen will appear for this user role. Only the user's assignments will be listed. Other employees/caseworkers cannot be selected.

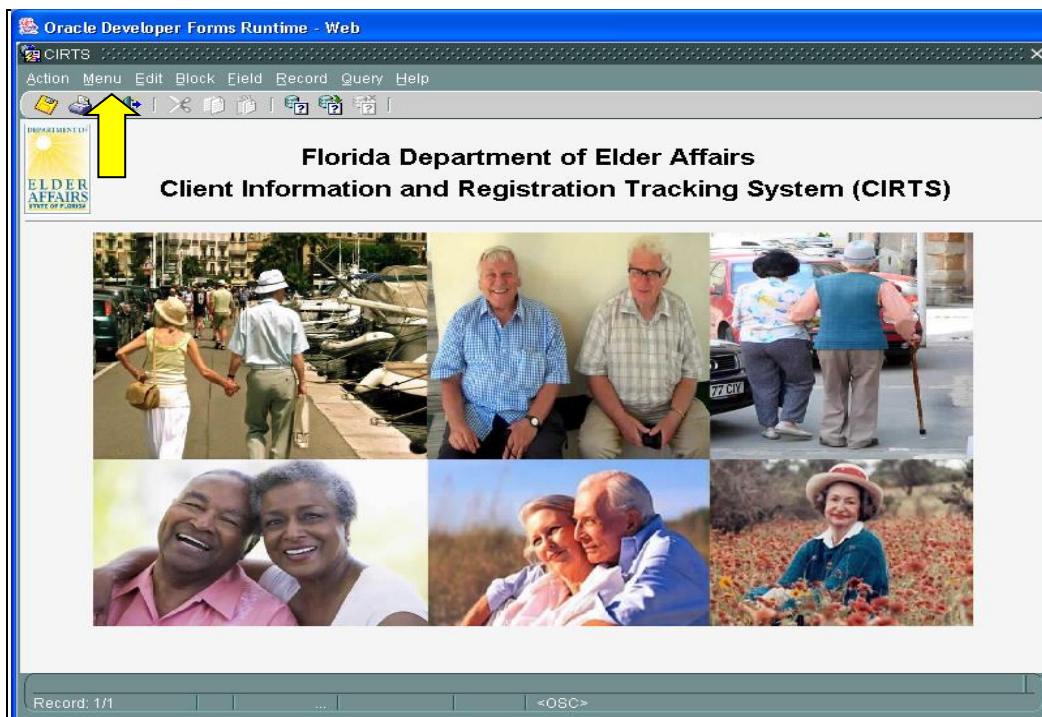
TASK BAR

When the CIRTS Menu screen or the CARES Assignments screen appears, you should see three items in the Task Bar.

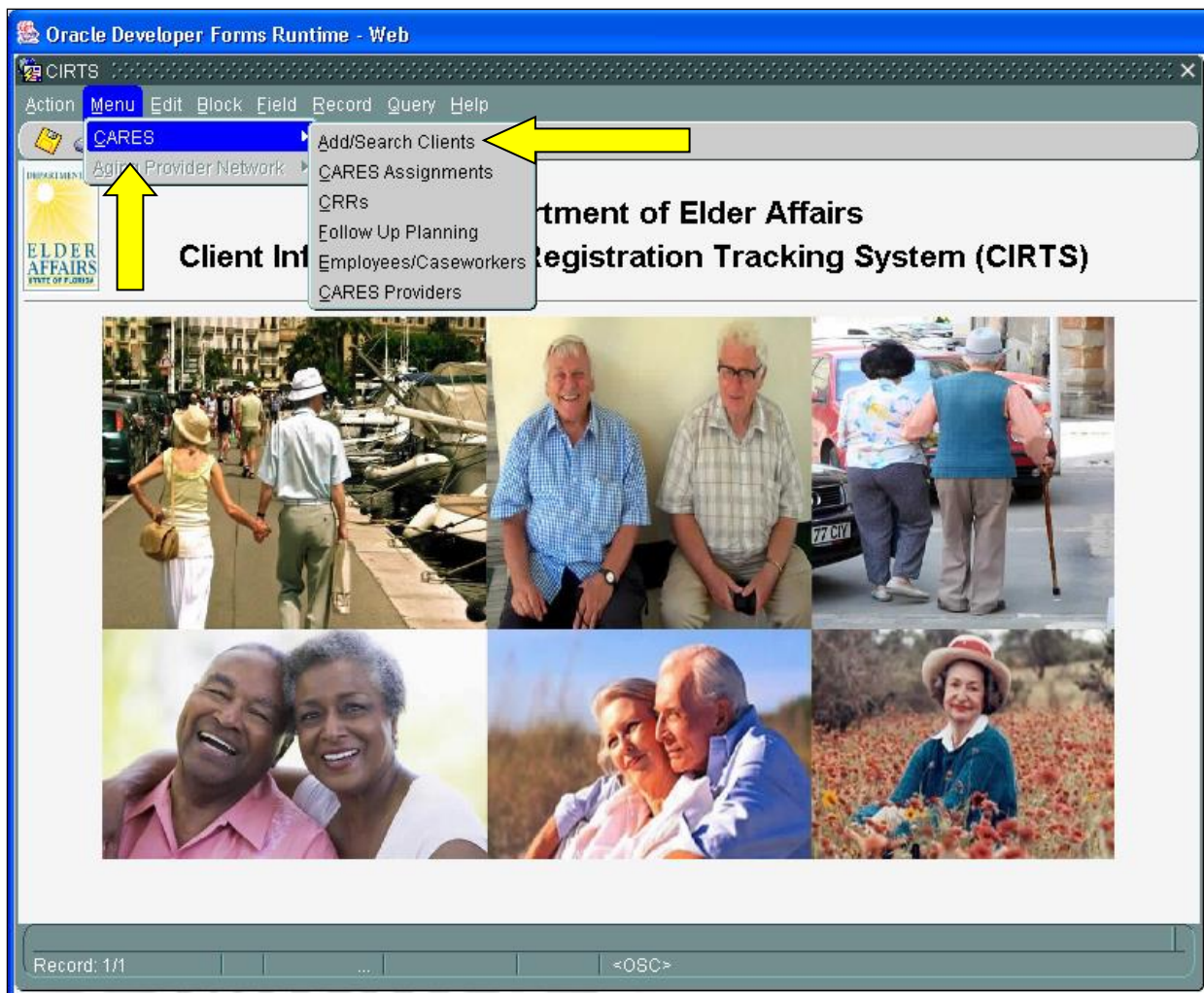


- 1) This item will take you back to the Applications screen.
- 2) This item will take you to the window with **RED** writing.
- 3) This item will take you to the CIRTS screen.

CIRTS MENU SCREEN



To access CARES information, click **Menu** in the top left-hand corner of the screen.



Select **CARES** from the Menu.

From CARES the Supervisor Role and Headquarters View-All Role can select all options. The Caseworker Role can select all options except Employees/Caseworkers and CARES Providers.

Add/Search Clients: Select this option if you want to search for an existing client, add a new client, or access various screens to display client data.

CARES Assignments: Select this option if you want to view the assignments for a particular employee/caseworker. The screen lists incomplete assessments, staffings needed, follow-ups due in the next 14 days, follow-ups overdue, and assessments needed.

CRRs: Select this option if you want to add, delete, edit, or view Continued Residency Reviews for your PSA.

Note: *CARES is currently not completing CRRs. The information is in the guide for reference only due to prior data that has been entered.*

Follow Up Planning: Select this option if you want to print a follow-up list or view scheduled or completed follow-ups.

Employees/Caseworkers: Select this option if you want to add, delete, edit, or view employees or caseworkers for your PSA.

CARES Providers: Select this option if you want to add or edit a provider, or to view all providers within your PSA.

CARES ASSIGNMENTS SCREEN

| Client | Client ID | Assignments | Due Date |
|--------|-----------|-------------|----------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

The purpose of this screen is to show all tasks that have been assigned to an employee/caseworker. The screen will be blank if the employee/caseworker has no tasks assigned. This screen will remain open as you navigate through the CIRT screens. When you close the Demographic or Add/Search screen, the CARES Assignments screen will display. The information refreshes each time you return to this screen or click a button. If this screen is left open when you are away from your work station and a new assignment is added, the information will not refresh until you click a radio button or go to another screen and come back.

The radio buttons (Show All, Show Incomplete Assessments Only, Show Staffings Needed Only, Show Follow-ups Only, Show Assessments Needed Only, and Show Overdue Only) allow you to limit the assignments listed by clicking the circle.

This screen behaves differently for different user types. For users with the Caseworker Role, the screen only shows assignments for the person logged in. Users with the Supervisor Role can select any CARES employee/caseworker in the office. Users with the Headquarters View-All Role can select any CARES office (PSA will be an option for this role only) and any employee/caseworker.

CARES ASSIGNMENTS SCREEN DEFINITIONS

For Employee: Allows the user to select a particular employee/caseworker's assignments. Remember, for users with the Caseworker Role, the screen only shows assignments for the person logged in.

Show All: Select this radio button if you want to view all assignments for an employee/caseworker. This includes incomplete assessments, staffings needed, follow-ups due or overdue, assessments needed, and overdue assignments.

Show Incomplete Assessments Only: Select this radio button if you want to view all assessments that have been partially saved by an employee/caseworker. The due date is the Initial Date at the Assignment tab plus ten days if it is the first assessment for an open case. If it is a reassessment for an open case, the due date is the Reassessment Request Date plus ten days. *Note: The user is the caseworker from the incomplete assessment.*

Show Staffings Needed Only: Select this radio button if you want to view all open cases that have a completed assessment but no staffing for an employee/caseworker. The due date is the Assessment Date plus two days. If the 3008 is not shown as received on the Assignment tab, it will be listed as “Staffing Needed-no 3008.” If the 3008 is shown as received on the Assignment tab and it is incomplete, it will be listed as “Staffing Needed-3008 incomplete.” *Note: The user is the caseworker from the Assignment tab.*

Show Follow-ups Only: Select this radio button if you want to view all follow-ups scheduled for an employee/caseworker. If the follow-up is due within the next fourteen days it will be listed as a follow-up due. If the follow-up due date is in the past, it will be listed as a follow-up overdue. The scheduled date is the date the follow-up is due. *Note: The user is the caseworker scheduled.*

Show Assessments Needed Only: Select this radio button if you want to view all open cases that do not have an assessment for an employee/caseworker. This does not include incomplete/partially saved assessments. The due date is the Initial Date at the Assignment tab plus ten days. *Note: The user is the caseworker from the Assignment tab.*

Show Overdue Only: Select this radio button if you want to view all assignments that are overdue for an employee/caseworker. The assignments will show as overdue if the due date is prior to the current date.

Demographics: Select this button if you want to go to the Demographic screen for a particular client. Click on a client to highlight it and select Demographics to go to that client’s Demographic screen. If you do not click on a client and select Demographics, it will take you to the first listed client’s Demographic screen.

Add/Search Clients: Select this button if you want to go to the Search for a Client screen.

Assignment Report: Select this button if you want to view or print a report that lists the assignments based on the particular radio button and employee/caseworker selected. *Note: This button will be disabled until an employee and radio button are selected.*

Exit: Select this button if you want to exit out of the CARES Assignments screen. This will take you to the CIRT Menu screen. *Note: “Exit” closes CIRT if you have the Caseworker Role.*

The screen below shows what happens when you click the “Show All” radio button.

| Client | Client ID | Assignments | Due Date |
|--------------------------|------------|---------------------------|------------|
| FIRST M LAST | 2001744875 | 180 day Follow-up Overdue | 10/07/2009 |
| TEST ACTVOA3E AND CCEAPC | 2001744478 | Staffing Needed- No 3008 | 04/06/2011 |
| T T | 2001744492 | Staffing Needed | 05/07/2011 |
| T T | 2001744492 | 30 day Follow-up Overdue | 06/30/2011 |
| TEST CARESMINI | 2001744457 | Staffing Needed- No 3008 | 09/03/2011 |
| TEST CARESMINI | 2001744457 | 30 day Follow-up Overdue | 09/09/2011 |
| TESTING3008 3008 | 2001744646 | 30 day Follow-up Overdue | 05/11/2012 |
| TEST TEST | 2001744357 | Assessment Needed | 08/18/2012 |
| TEST J FOX | 2001744462 | 30 day Follow-up Overdue | 09/09/2012 |
| SAMUEL SAMUELS | 1000865667 | Assessment Needed | 09/19/2012 |
| TEST ADDCLIENT | 2001744602 | 30 day Follow-up Overdue | 01/01/2013 |
| SUETEST TESTSUE | 2001744727 | Assessment Needed | 04/14/2013 |
| KINIE J REEDER | 1000002486 | 30 day Follow-up Overdue | 05/06/2013 |
| TESTING A GAIN | 2001744827 | Staffing Needed- No 3008 | 05/07/2013 |
| | | | |
| | | | |
| | | | |

Assignments are listed with the oldest due date first.

Please note that the same client may be listed more than once if they have a scheduled follow-up due or overdue and an unscheduled follow-up or a staffing needed.

Remember, CIRTS users who have no casework assigned will see a blank screen.

REMINDER:

CIRTS gives an error and kicks you out if you do not have your CIRTS user name on the CARES Employee screen. The supervisor must add the login name to the CARES Employee screen. The error message says, “Your CIRTS User Name does not have cases assigned. If you are a caseworker, please contact your supervisor to request an update to your CARES employee information in CIRTS.”

To search for a client, select the **Add/Search Clients** option at the CIRTS Menu screen or the CARES Assignments screen. The **Search For A Client** screen will appear.

SEARCH SCREEN

SEARCH FOR A CLIENT

Action Menu Edit Block Field Record Query Help

ADD_CLIENT_INFO 20130723 Date 08/22/2013 User SUPERVISOR02B

Search for a Client

SSN | Enter all or part of any of these fields and search will return all clients who match everything entered.

Last Name

First Name

Medicaid Id

Date of Birth MM/DD/YYYY

Press the <F8> function key or click on the <Search> button to complete the search.

Search

OR

Client Id Enter a Client Id

Results of Search

| PSA | SSN | Owner Id | Client Name | Date of Birth | Street Address | Zip |
|-----|-----|----------|-------------|---------------|----------------|-----|
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Add New Client Details Clear Close

Record: 1/1 <OSC>

It is very important for users to perform a thorough search (alphabetical and numerical) before adding a new client. Another office could have added the same client with a different Social Security Number, or a different variation of the client's name. After searching on the known information, try searching on partial Social Security Numbers or partial names to make sure the client does not exist. If a search on the client's Social Security Number reveals that it currently belongs to another client in CIRT, notify the CARES Supervisor or your LAN (Local Area Network) Administrator, and steps will be taken to verify and/or correct the Social Security Number.

You can also search by Client Id. This is a unique, random number assigned by the system that is associated with each client in CIRT. **If you need to email another CIRT user about a client, please use the Client Id instead of the SSN.** The Client Id displays on the Demographic screen at the top, between the SSN and the client's first name.

SEARCH SCREEN SHOWING EXISTING CLIENT IN CIRTS

SEARCH FOR A CLIENT

Action Menu Edit Block Field Record Query Help

ADD_CLIENT_INFO 20130827 Date 08/27/2013 User REGIONALCARES

Search for a Client

SSN Enter all or part of any of these fields and search will return all clients who match everything entered.

Last Name BELL

First Name TINKER

Medicaid Id

Date of Birth MM/DD/YYYY

Press the <F8> function key or click on the <Search> button to complete the search.

Search

OR

Client Id Enter a Client Id

Results of Search

| PSA | SSN | Owner Id | Client Name | Date of Birth | Street Address | Zip |
|-----|-----------|----------|--------------|---------------|------------------------|-------|
| 02A | 218218218 | | BELL, TINKER | 01/01/1947 | 123 SOUTH TEXAS AVENUE | 34228 |
| 02A | 663663663 | | BELL, TINKER | 01/01/1923 | 45 SOUTH AVENUE | 32399 |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

Add New Client Details Clear Close

Record: 1/2 <OSC>

Enter your search criteria. You can search by the client's Social Security Number (SSN), client id, last name, first name, Medicaid ID, date of birth, or any combination of these. Click on the **Search** button or select the **F8** function key to complete the search.

If there is more than one client with the same name, a list will appear in the **Results of Search** panel. To select your client, click on the appropriate line to highlight the client and select **Details**. This will take you to the client's Demographic screen. You can also double-click on the appropriate client to go to the client's Demographic screen.

If the result of the search reveals only one client that meets the search criteria, once you select **Search**, it will automatically go to the Demographic screen for that client.

Note: There are other ways to search for a client. They are:

- Enter 5 underscores and the last four digits of the SSN. For example enter, “_____1234.” CIRTS will only return clients with SSNs ending in 1234. Adding a few letters from the client's first and last name will help narrow the search.
- Enter 7 underscores and the last two digits of the SSN. For example enter, “_____47.” CIRTS will only return clients with SSNs ending in 47. Adding a few letters from the client's first and last name will help narrow the search.
- Enter a percent symbol (%) and a partial SSN that may be the first, middle, or last part of the SSN. For example, enter, “% 457.” CIRTS will return SSNs with those numbers (457) regardless of whether they are in the first, middle, or last part of the SSN. Adding a few letters from the client's first and last name will help narrow the search.

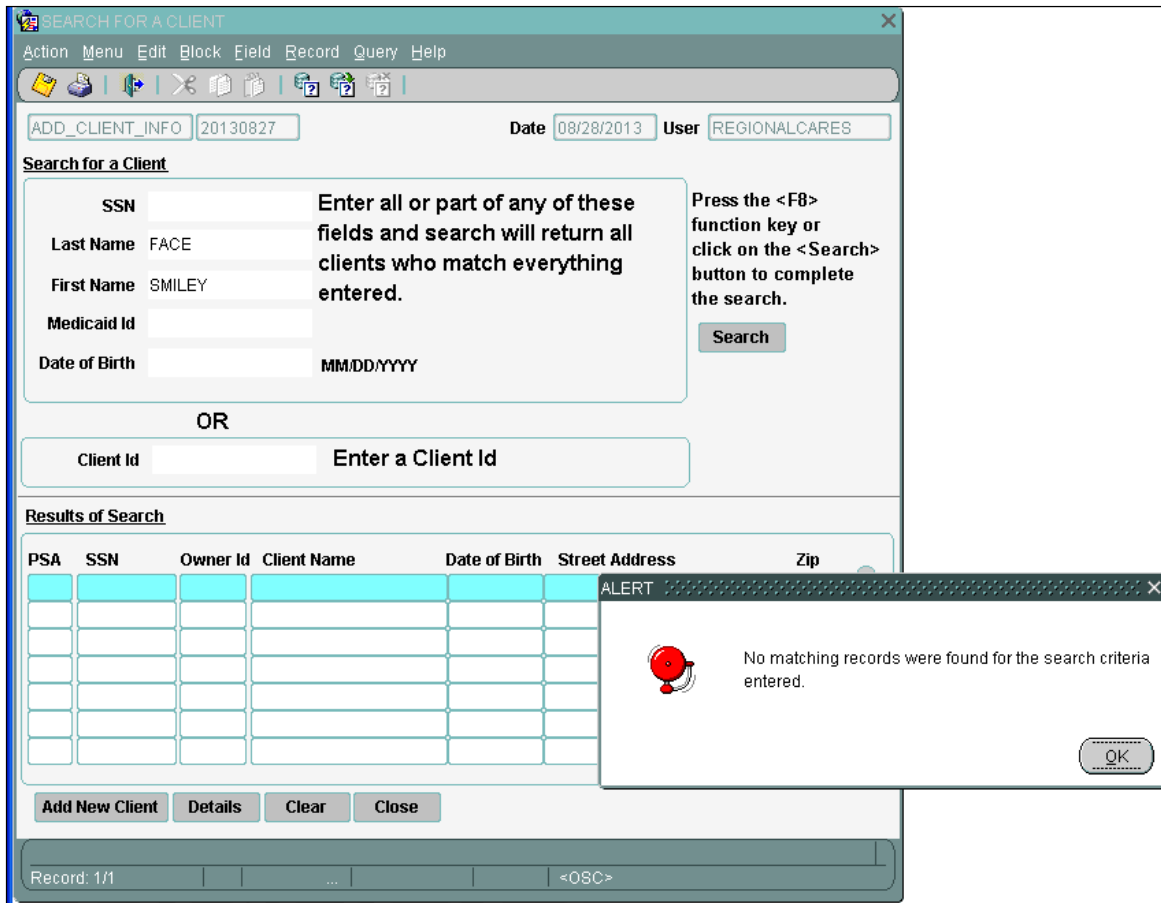
Add New Client: Select this option if your search does not reveal your client and you want to add the person in CIRTS.

Details: Select this option after you have highlighted a client and want to go to their Demographic screen.

Clear: Select this option if you want to clear the Search screen to perform another search.

Close: Select this option if you want to exit the Search screen and return to the CIRTS Menu screen or CARES Assignments screen.

SEARCH SCREEN SHOWING CLIENT NOT EXISTING IN CIRTS



Enter your search criteria. The above example shows the client's last name and first name. Click on the **Search** button.

If the client does not exist, a message will appear indicating no matching records were found. Select the **OK** button by using the mouse, pressing the space bar, or typing the letter "O" on the keyboard.

You can now click the **Clear** button and search for the client again, or click the **Add New Client** button. Selecting the **Add New Client** button will take you to a blank Demographic screen.

REMINDER:

If the search criteria is not specific enough, you will receive a message saying, "Results return more than 300 records. Please specify additional search criteria." You will need to enter additional search criteria such as the SSN, Medicaid ID, or date of birth. You can enter all or part of any of these fields.

DEMOGRAPHIC SCREEN

Once you select **Add New Client**, the system will automatically go to a blank Demographic screen. The system will also automatically go to Demographic when you perform a search and select a client using **Details** or if the search reveals only one client matching the search criteria.

Fields with a pink background are required. CIRT S will generate an error message when the user tries to save a blank pink field. The client's SSN, county of service, first name, last name, and date of birth are required to save the demographic information.

Pseudo SSN: If you do not have a Social Security Number when adding a new client, skip the SSN field. When you save, the pseudo SSN fills in automatically. *Note: You will have to change the pseudo SSN prior to entering an assessment.*

You can enter just the required items to save the information or you can enter all demographic information at one time and save. Once all demographic information is entered and saved, the Demographic Complete box will be checked. **The Demographic Complete box must be checked to enter an assessment.**

If you only save the required information you can select **Edit** to add additional information for the new client or to edit information for any existing client.

Use the **Tab** or **Enter** key to move to the next field. Codes for the fields County of Service, Sex, Ethnicity, Primary Language, and Marital Status can be accessed with the mouse, arrow keys, or by typing the first letter

of the desired value. For example, to enter a Marital Status of Single, you can use the mouse to access the list and select Single, or use the “up” or “down” arrow key to find Single in the list, or type the letter “S.”

You can select multiple races for the client. You can use the mouse or the space bar to select a race.

Edit Button: Allows you to add information to the screen or edit existing information.

Save Button: Allows you to save the information entered on the screen.

Cancel Button: Allows you to cancel out of the screen without saving or editing the information.

Add Client Button: Takes you to a blank Demographic screen.

Search Button: Takes you to the Search screen.

Close Button: Takes you to the CARES Assignments screen or CIRTS Menu screen. This depends on your user role.

Assessments: Takes you to a list of all assessments for the client. This list includes assessments by CARES or other agencies.

Care Plan: Takes you to a list of the services needed and planned for a client.

Enrollments: Takes you to a list of programs serving the client.

Services: Takes you to a list of services received by the client.

MW Timeline: Takes you to information regarding the status of the client’s Medicaid waiver eligibility.

CARES Assignments: Takes you to a screen showing assignments for a CARES employee/caseworker.

Cases: Takes you to CARES case information.

Information: Takes you to information not related to a case for a client.

PAS: Takes you to the Pre-Admission Screening Resident Review (PASRR) information for the client.

Client Info: Takes you to a summary of information on the client.

NHD Button: Takes you to the Nursing Home Diversion History screen.

Change DOD: Allows you to correct a date of death previously entered or to enter a date of death. Only the Supervisor Role can Change DOD.

Change SSN: Takes you to a screen where the SSN can be changed. Only the Supervisor Role can change a SSN. *Note: The Caseworker Role can change a pseudo SSN inside the case at the Assessment tab.*

Delete Client: Allows you to delete the client and all information related to the client. Only the Supervisor Role can delete a client.

Change PSA: Allows you to change the PSA so that you can have access to the client’s case. The Supervisor Role and some approved Caseworker Roles can change the PSA.

DEMOGRAPHIC SCREEN DEFINITIONS

PSA: Indicates the CARES PSA or the ADRC/lead agency PSA. This item is automatically populated.

Owner ID: If the client is being processed by the Aging Network, the case management provider number will display. This number is assigned by the ADRC or lead agency when the client is added. It is display only.

SSN: This is the nine-digit SSN or pseudo number, if assigned. This item is automatically populated.

Client ID: This is a unique, random number assigned by the system that is associated with each client in CIRTS. This item is automatically populated.

First Name: The system will automatically enter the client’s first name based on the information entered on the Demographic screen.

Last Name: The system will automatically enter the client’s last name based on the information entered on the Demographic screen.

Demographic Complete: This box will be checked if all demographic information is complete. This item is automatically populated.

PAS Complete: This box will be checked if the PAS information is complete. This item is automatically populated.

Open Case: This box will be checked if the client has an open CARES case. This item is automatically populated.

Open Enrollment: This box will be checked whenever an enrollment exists with no end date. It could be active, applicant, or waitlist status. This item is automatically populated.

SSN: Enter the client's nine-digit SSN. *This is a required item.* If you do not have a SSN when adding a client, skip this item and the system will automatically assign a pseudo number. *Note: When you move from the SSN field, two pop-ups will appear regarding the collection of the client's SSN. At each box you can select "OK" by clicking with the mouse, pressing the space bar, or pressing the letter "O."*

Owner ID: If the client is being processed by the Aging Network, the case management provider number will display. This number is assigned by the ADRC or lead agency when the client is added. It is display only.

County of Service: This indicates the county in which the client is receiving services. Counties are PSA specific. *This is a required item.*

First Name: Enter the client's first name. *This is a required item.*

M.I. (Middle Initial): Enter the client's middle initial. Leave blank if the client does not have a middle initial. This is an optional item.

Last Name: Enter the client's last name. *This is a required item.*

Medicaid Number: Enter the client's ten-digit Medicaid number, if known. This is an optional item.

Best Contact Telephone Number: Enter the best telephone number for the client to be reached. The phone number includes the area code, the seven-digit phone number, and extension, if there is one. This is an optional item.

Date of Birth: Enter the month, day, and year of the client's birth. This will be a two-digit month and day and a four-digit calendar year. *This is a required item.*

Date of Death: When a case is terminated due to the client's death, the system will automatically enter the date of death. The **Change DOD** button can be used to correct an error or to enter a date of death. *Note: Only a Supervisor Role may enter or change the date of death.*

Sex: Enter the client's sex. *An entry in this item is required in order to enter assessment information.* The codes are:

- F=Female
- M=Male

Race: A client can have multiple races. Check the appropriate box or boxes by using the mouse or space bar. *An entry in this item is required in order to enter assessment information.* The options are:

- *White*
- *Black/African American*
- *Asian*
- *American Indian/Alaska Native*
- *Native Hawaiian/Pacific Islander*
- *Other*

Other Race Description: This item is disabled and is no longer used due to a change in race codes. You may see a client with “Other” checked and “Asian or Pacific Islander” or “Native American” in this field. If you edit the information it will no longer be shown on the screen.

Ethnicity: Enter the client’s ethnicity. *An entry in this item is required in order to enter assessment information.* The codes are:

- *H=Hispanic/Latino*
- *O=Other*

Primary Language: Enter the primary language spoken by the client. *An entry in this item is required in order to enter assessment information.* The codes are:

- *EN=English*
- *IT=Italian*
- *KO=Korean*
- *OT=Other Language*
- *PO=Polish*
- *RU=Russian*
- *SP=Spanish*
- *TG=Tagalog*
- *VI=Vietnamese*
- *YI=Yiddish*

Other Primary Language Description: Enter a description of the language spoken by the client that is not in the list of codes for Primary Language. *This is a required item if “Other” is the Primary Language and will be required to enter assessment information.*

Does client have limited ability reading, writing, speaking, or understanding English?: The code choices for this item are Y=Yes or N=No. *Note: This is a required item in order to enter assessment types 701B, 701S, and 701T.*

Marital Status: Enter the client’s marital status. *An entry in this item is required in order to enter assessment information.* The codes are:

- *D=Divorced:* Marriage has been legally dissolved.
- *M=Married:* Has a legal husband or wife.
- *O=Partnered:* In a relationship with person other than a legal spouse.
- *P=Separated:* Legally married but living apart from spouse.
- *S=Single:* Never been married.
- *W=Widowed:* Spouse died while still married.

Physical Location Tab:

The screenshot shows a software interface with four tabs: 'Physical Location', 'Home Address', 'Mailing Address', and 'Contact Person(s)'. The 'Physical Location' tab is active. Below the tabs is a header: 'ASSESSOR/CM: Current Physical Location Address (If type is a facility, enter a facility name.)'. A 'Copy Home Address' button is on the left, and a 'Date of Last Change' field shows '09/04/2013 12:08:01 PM'. The form fields are: 'Street' (34 SOUTH STREET), 'Street con't.' (empty), 'ZIP' (32401), 'ZIP 4' (empty), 'City' (PANAMA CITY), 'County' (BAY), 'Type' (HOSPITAL), 'Telephone Number' (850 478 7878 1234), and 'Facility Name' (BAY MEDICAL CENTER). An 'Address History' button is at the bottom right.

This tab allows you to enter the address information for the client’s current physical location at the time of the referral or request for assessment. This address is needed because the client may be in a temporary location such as a nursing facility, hospital, or rehabilitation facility. This address may be the same as or different from the client’s home address. **Note: The current physical location address is a required item for all assessment types (701B, 701S, 701T, NONE, and OTHER).**

Copy Home Address: If the client’s current physical location is the same as the home address you can select this button. Selecting this button allows you to copy the information entered at the Home Address tab to the Physical Location tab without having to enter it again.

Date of Last Change: This field is automatically populated by CIRTS. It tracks when changes are made to the physical location address.

Street, Zip, City, County: Enter the street and zip code for the address of the client’s current physical location. **The city and county will automatically be populated based on the zip code entered.** In most situations the client will be physically located in the state of Florida. However, there may be situations where the client is located out-of-state. If you enter an out-of-state zip code, you will receive a pop-up saying, “*Zip code is not a valid Florida zip code. Is this correct?*” When you select “OK” the out-of-state zip code will be displayed. The County will be Out of State. If this was an error, you can correct the zip code. You can enter a zip code outside of your PSA under this tab. **These are required items.**

Street Con’t: Enter the building number or suite number. Leave blank if there is no building number or suite number. This item is optional.

Zip 4: The last four digits that determine a more specific location within a given zip code. This is an optional item.

Type: Enter the type of physical location of the client. **This is a required item.** The codes are:

- **ADC=Adult Day Care:** A facility which provides less than 24-hour care for eligible adults.
- **ALF=Assisted Living Facility:** Any state licensed assisted living facility.
- **H=Hospital:** An institution that provides care for acute illnesses.
- **NF=Nursing Facility:** A freestanding facility certified by AHCA to provide skilled nursing services.
- **OT=Other:** Any other facility not listed in these codes.
- **PR=Private Residence:** The client’s home or the home of another person; not a facility.

Telephone Number: Enter the telephone number for the client’s current physical location. The phone number includes the area code, the seven-digit phone number, and extension, if applicable. This is an optional item.

Facility Name: *This item is required if the “Type” is Adult Day Care, Assisted Living Facility, Hospital, Nursing Facility, or Other. If the “Type” is Private Residence this field will be disabled.* Enter the name of the facility in which the client is currently located, if applicable.

Address History: Selecting this button will allow you to view a history of the client’s current physical location. You can sort the order by which the data will be displayed.

Home Address Tab:

The screenshot shows a software interface with four tabs: Physical Location, Home Address, Mailing Address, and Contact Person(s). The Home Address tab is active. It contains a 'Copy Physical Location' button and a 'Date of Last Change' field with the value '06/25/2013 08:17:12 AM'. Below these are several input fields: 'Street' with '924 W 13TH STREET', 'Street cont.' with 'PANAMA CITY NURSING FACILITY', 'ZIP' with '32401', 'ZIP 4' (empty), 'City' with 'PANAMA CITY', 'State' with 'FL', and 'Telephone Number' with '850 763 1911'. At the bottom, there is a checkbox 'Is client's home address public housing?' with 'N' selected, and an 'Address History' button.

This tab allows you to enter the address information for the client’s home. This address is where the client maintains their belongings or a home they would return to if they were temporarily in a facility and could be discharged. This address may be the same as or different from the current physical location address.

Copy Physical Location: If the client’s home address is the same as the current physical location address you can select this button. Selecting this button allows you to copy the information entered at the Physical Location tab to the Home Address tab without having to enter it again. **Copying of the current physical location address is only allowed if the “Type” is Private Residence, Nursing Facility, or Assisted Living Facility.**

Date of Last Change: This field is automatically populated by CIRTS. It tracks when changes are made to the home address.

Street, Zip, City, State: Enter the street and zip code for the home address of the client. **The city and state will automatically be populated based on the zip code entered.** You can enter any Florida zip code or an out-of-state zip code here. *These are required items.*

Street Con’t: Enter the building number or suite number. Leave blank if there is no building number or suite number. This item is optional.

Zip 4: The last four digits that determine a more specific location within a given zip code. This is an optional item.

Telephone Number: Enter the telephone number for the client’s home address. The phone number includes the area code, the seven-digit phone number, and extension, if applicable. This is an optional item.

Is client’s home address public housing? Enter Y=Yes or N=No as to whether the client’s home address is public housing. *Note: This item is required in order to enter assessment type 701B.*

Address History: Selecting this button will allow you to view a history of the client’s Home Address. You can sort the order by which the data will be displayed.

Mailing Address Tab:

The screenshot shows a web-based form with four tabs: Physical Location, Home Address, Mailing Address (selected), and Contact Person(s). The Mailing Address tab is active and contains the following fields: 'Mailing Address ~ (if different from current physical location)' with a 'Date of Last Change' dropdown set to '09/04/2013 01:08:13 PM'; 'Street' with the value '34 W TEXAS AVENUE'; 'Street con't.' which is empty; 'ZIP' with '32426', 'ZIP 4' which is empty, 'City' with 'CAMPBELLTON', and 'State' with 'FL'. At the bottom right of the form are two buttons: 'Remove' and 'Address History'.

This tab allows you to enter the address information where the client receives their mail if it is different from their current physical location address. If the client does not have a mailing address that is different from their current location, you may leave this information blank.

Date of Last Change: This field is automatically populated by CIRTSS. It tracks when changes are made to the mailing address.

Street: Enter the street name for the mailing address if different from the address of the client’s current physical location. This is an optional item.

Street Con’t: Enter the building number or suite number. Leave blank if there is no building number or suite number. This item is optional.

Zip, City, State: Enter the zip code for the mailing address of the client. **The city and state will automatically be populated based on the zip code entered.** You can enter any Florida zip code or an out-of-state zip code here. These items are optional.

Zip 4: The last four digits that determine a more specific location within a given zip code. This is an optional item.

Remove: Select this button if you want to remove the mailing address information. All data will be removed.

Address History: Selecting this button will allow you to view a history of the client’s Mailing Address. You can sort the order by which the data will be displayed.

Contact Person(s) Tab:

The screenshot shows a software interface with four tabs: Physical Location, Home Address, Mailing Address, and Contact Person(s). The Contact Person(s) tab is active. It contains a form with the following fields and values:

| PSA | Type | Relationship | First Name | Last Name |
|-----|-------------------|--------------|------------|-----------|
| 02A | PRIMARY CAREGL... | WIFE | MARY | SMITH |

Below the table are fields for Street (34 SOUTH WAY), Street cont., Telephone Number (850 123 4567), City (TALLAHASSEE), State (FL), ZIP (32399), and ZIP 4. At the bottom right, there is a page indicator '1 of 1' and buttons for 'Previous' and 'Next'. At the bottom left, there are buttons for 'Add New' and 'Remove'.

This tab allows you to enter information for the client's contact person. This could be the person who called in the referral or request for assessment. It could also be the person designated by the client as someone who could be contacted in the event the client was not available. More than one contact person may be entered. The first entry will be displayed on the screen. You can view all contacts by selecting **Previous** or **Next**. These buttons will move you through the different contacts. The screen shows how many contacts have been entered; for example, 1 of 1, 2 of 3, etc.

PSA: This field is disabled and will automatically be populated when you save the information.

Type: Enter the type of contact for the client. This item is optional. The codes are:

- *CALLER=Caller:* The person calling in the referral or request for assessment.
- *DOCTOR=Doctor:* The client's personal physician or doctor calling in the referral or request for an assessment.
- *EMRGNCY=Emergency Contact:* The person who is to be called in the event of an emergency.
- *LEGU=Legal Guardian:* The client's legal representative.
- *NEKI=Next of Kin:* A relative of the client.
- *CG=Primary Caregiver:* The person providing or arranging help with Activities of Daily Living and Instrumental Activities of Daily Living for the client on a regular basis.

Relationship: Enter the relationship of the contact type to the client. This item is optional. The codes are:

- *CH=Child*
- *CA=Community Agency Worker*
- *DA=Daughter/In-Law*
- *FR=Friend/Neighbor*
- *GC=Grandchild*
- *HW=Hospital Worker*
- *HU=Husband*
- *NE=Neighbor*
- *OT=Other Non-Relative*
- *OR=Other Relative*
- *PA=Parent*
- *PT=Partner*
- *SE=Self*
- *SC=Social/Case Worker*
- *SO=Son/In-Law*
- *SP=Spouse*

- UN=Unknown
- WF=Wife

First Name: Enter the first name of the contact person. This item is optional.

Last Name: Enter the last name of the contact person. *This item is required to save the contact information.*

Street: Enter the street name for the address of the contact person. This is an optional item.

Street Con't: Enter the building number or suite number. Leave blank if there is no building number or suite number. This item is optional.

Telephone Number: Enter the telephone number for the client's contact person. The phone number includes the area code and the seven-digit phone number. This is an optional item.

City: Enter the city for the address of the client's contact person. This is an optional item.

State: Enter the state for the address of the client's contact person. This is an optional item.

Zip: Enter the five digit zip code for the address of the client's contact person. This is an optional item.

Zip 4: The last four digits that determine a more specific location within a given zip code. This is an optional item.

Add New: Select this button if you want to add a new contact person.

Remove: Select this button if you want to remove the contact person. All data will be removed.

Previous: Select this button if you want to see the contact person that was entered prior to the one shown on the screen.

Next: Select this button if you want to see the contact person that was entered after the one shown on the screen.

REMINDER:

In order to enter assessment information, all required demographic information must be entered. If Demographic is not complete, an error message will appear saying, "*The client's demographics must be complete before an assessment can be added.*" **Note: This message will appear when the Add Assessment button at Assessment is selected.** Refer to the box labeled "Demographic Complete" at the top right of the screen. A check mark in the box indicates that all required demographic information has been entered.

You will receive a pop-up when selecting the assessment type if all required information is not entered for that assessment type. For example, the 701B requires a response to the question about the client's ability to read, write, speak, and understand English, the client's current physical location address, and the question about public housing.

Each time you save the demographic information you will receive an alert saying your transaction is complete and how many records were applied and saved.

CASES SCREEN

The screenshot shows the 'CARES Cases' application window. At the top, there is a menu bar with 'Action', 'Menu', 'Edit', 'Block', 'Field', 'Record', 'Query', and 'Help'. Below the menu bar is a toolbar with various icons. The main area is titled 'CARES Cases Information' and contains several input fields: 'CARES CASE' (20130827), 'CIRTS', 'Date' (09/04/2013), 'User' (REGIONALCARES), 'CARES Cases for:' (ARTY SMARTY), and 'SSN:' (846846846). There are also checkboxes for 'Demographic Complete' and 'PAS Complete'. Below this is a table with the following columns: 'Opened on', 'Reason', 'Referral Source', 'Payment Type', 'Status', 'Closed on', 'Reason', and 'PSA'. The first row of the table is highlighted in blue and contains the following data: '08/15/2013', 'INITIAL CASE', 'NURSING FACILITY', 'MEDICAID PENDING', 'OPEN', an empty field, an empty field, and '05'. A yellow arrow points to the 'PSA' cell in the first row. At the bottom of the screen, there are several buttons: 'Add Case', 'Close Case', 'Delete Case', 'Print CIF', 'Print Blank CIF', 'Search Client', 'CARES Assignments', and 'Close'.

| Opened on | Reason | Referral Source | Payment Type | Status | Closed on | Reason | PSA |
|------------|--------------|------------------|------------------|--------|-----------|--------|-----|
| 08/15/2013 | INITIAL CASE | NURSING FACILITY | MEDICAID PENDING | OPEN | | | 05 |
| | | | | | | | |
| | | | | | | | |

The **Cases** screen is a summary screen that displays all cases related to that client. The screen displays the date the case was opened, open reason, referral source, payment type, status (Closed or Open), date closed, reason closed, and the PSA for each case. If the case is new, no information will be displayed in the summary categories.

From the Cases screen you can add a new case, close a case, delete a case, print a CIF or blank CIF, go to Search Client, go to CARES Assignments, or close the Cases screen. You can view previous cases and access all cases, open and closed for a client. If there are existing cases, highlight the case you want to select and click on the Assignment, Assessments, Staffings, Referrals, Followups or Case Notes tab to view the information (these tabs will appear at the Assignment screen). This screen also shows if Demographic and PAS are complete. You can edit or view an open case. Only a Supervisor Role can edit a closed case. **A client can have multiple cases; however, only one open case can exist for a client.**

Add Case: Select this option to add a new case for the client. This button will be grayed out if there is already an open case. Remember, only one case can be opened at a time.

Close Case: Select this option to close an open case.

Delete Case: Select this option to delete a case. This will not delete the client, only the case selected. *Note: Be very careful when deleting cases. Only a Supervisor Role is able to delete a case.*

Print CIF: Select this option to print a CIF with information populated related to the client.

Print Blank CIF: Select this option to print a CIF with only Demographic and Case Assignment information populated.

Search Client: Select this option to go to Search.

CARES Assignments: Select this option to go to the CARES Assignments screen.

Close: Select this option to close out of the screen and return to Demographic.

When you select **Add Case** the **Assignment** screen will appear.

ASSIGNMENT SCREEN

The purpose of this screen is to assign a case to a particular caseworker. **This screen will not be completed if the client, or someone on behalf of the client, is requesting information only.** The client's first and last name and Social Security Number, or pseudo number, will be displayed at the top of the screen. If the prior case is closed and a reassessment is requested, enter all new assignment information, to include the new Initial Date. **If a reassessment is requested for an open case, do not change anything in Assignment except Assigned To and 3008 Received. The 3008 information must be updated each time a 3008 is received.** If incorrect information was entered in Assignment it can be edited; however, the Initial Date cannot be edited. You will have to delete the case to correct the Initial Date. The CARES Cases Information will still be displayed on the screen and you can select the same options described under Cases (Add Case, Close Case, Delete Case, Print CIF, Print Blank CIF, Search Client, CARES Assignments, and Close).

CASE ASSIGNMENT SCREEN DEFINITIONS

Initial Date: This date represents the date of the telephone call, office visit, or written notification requesting a CARES assessment. **This is a required item.** This date must be a current or past date. It cannot be a future date. This will be a two-digit month and day and a four-digit calendar year.

Assigned To: This is the name of the caseworker that has been assigned the case. *This is a required item.* All scheduled follow-ups will be scheduled to the caseworker shown in this field.

Referral Source: This identifies the party that is contacting CARES for an assessment. *This is a required item.* The referral sources are:

- *A = Abuse/Neglect:* Protective Services of the Department of Children and Families.
- *ADM=Alcohol, Drug Abuse, Mental Health:* A state agency providing services to people who meet eligibility for alcohol or drug abuse, or mental illness. *Note: Now called Substance Abuse and Mental Health (SAMH).*
- *ARC=ARC or ADRC:* Aging Resource Center or Aging and Disability Resource Center.
- *C = CARES:* State program of the Department of Elder Affairs.
- *CRR=Continued Residency Review:* Process related to CARES. *Note: Currently not being completed.*
- *DCF=Department of Children and Families:* A state agency that provides various services to include ACCESS Florida, Adult Services, Developmental Disabilities, and Child Care.
- *DES = Developmental Services:* Agency for Persons with Disabilities.
- *DOH=Department of Health:* A state agency that works to protect, promote, and improve the health of individuals through state, county, and community efforts.
- *FAM = Family:* A relative of the client.
- *H = Hospital:* An institution that provides care for acute illnesses. Use this code for hospital psychiatric units.
- *L = Lead Agency:* State contracted agency providing community services.
- *MCO=Managed Care Organization:* An agency contracted to provide health care needs of individuals.
- *NH = Nursing Home:* State certified nursing facility.
- *O= Other:* All other referral sources exclusive of the ones listed.
- *PAC = Project Aids Care Waiver:* Medicaid waiver program.
- *PACE=Program All-Inclusive Care for Elderly:* PACE model program with capitated rate.
- *PRIS = Prison/Jail:* A duly authorized and supervised facility like a jail or a prison.
- *PSYF = Psychiatric Facility:* A freestanding facility that provides psychiatric or mental health care.
- *SELF = Self:* Self referral.
- *SMHO = State Mental Hospital:* A state sponsored or operated facility that provides psychiatric care.
- *SNUH = Skilled Nursing Unit/Hospital:* A section within a hospital which is certified under Medicare/Medicaid to provide skilled nursing facility services.
- *VOC=Vocational Rehabilitation:* State program of the Department of Education.

Payment Type: This identifies the case by potential financial eligibility, not actual Medicaid eligibility. *This is a required item.* The three payment types and definitions are:

- *MEDI=Medicaid:* This payment type is used for any case that is referred to CARES by DCF. This means the individual has applied for Medicaid.
- *MEDP=Medicaid Pending:* This payment type is used for any case that is referred to CARES by anyone other than DCF. This means the individual has not applied for Medicaid, but the intent to apply is imminent.
- *PRPA=Private Pay:* This payment type is used for any case where the client has income and/or assets which exceed the limits for Medicaid eligibility for the Institutional Care Program (ICP).

Living Arrangement: Enter the appropriate code that reflects the living arrangement of the client at the time of the request for an assessment. This is an optional item. The codes are:

- *AFCH=Adult Family Care Home:* Any state licensed adult family care home.
- *ALFE=ALF with Ext Cong Care:* Any state licensed ALF which is also licensed to provide extended congregate care.
- *ALFM=ALF with Ltd Ment Hlth Svcs:* Any state licensed ALF which is also licensed to provide limited mental health services.
- *ALFN=ALF with Ltd Nurs Svcs:* Any state licensed ALF which is also licensed to provide limited nursing services.
- *ALFS=Assisted Living Facility:* Any state licensed assisted living facility.
- *ARTS=Adult/Geriatric Residential Treatment Facility:* A residential facility that provides mental health treatment.

- *GRHO=Group Home*: A small residential home sponsored by a state or community entity.
- *HOSP=Hospital*: An institution that provides care for acute illnesses (excluding a state mental hospital). Use this code for all units located within a hospital (swing bed, psychiatric unit, skilled nursing unit, etc.).
- *MRDD=MR/DD Facility*: A facility that provides treatment for people suffering from developmental disabilities (ICF/DD, cluster facility, Sunland, etc.).
- *NUHO=Nursing Home*: A free standing facility that is certified under Medicare/Medicaid to provide nursing services.
- *OTHR=Other*: All other living arrangements exclusive of the ones listed.
- *PRIS=Prison/Jail*: A duly authorized and supervised facility like a jail or a prison.
- *PRRE=Private Residence*: Any unlicensed non-institutional residence.
- *PSYF=Psychiatric Facility*: A free standing facility that provides psychiatric or mental health care.
- *REHB=Rehab Hospital*: Any free standing facility which provides rehabilitation services including drug and alcohol.
- *SAPT=Supervised Apartment*: A complex where supervision is available on a daily basis.
- *SHNH=State Mental Hospital/Nursing Home Unit*: A nursing home unit within a state sponsored or operated mental hospital.
- *SMHO=State Mental Hospital*: A state sponsored or operated facility that provides psychiatric care.
- *TRAN=Transient*: No fixed place of abode, or lives on the road.

Living Situation: AL=Alone should be entered for all living arrangements except for HOSP, OTHR, PRRE, PSYF, REHB, SAPT, and TRAN. If the living arrangement is any of the seven mentioned, all code choices will be available. If the client is in a hospital and is expected to be discharged to a nursing facility, assisted living facility, or adult family care home, the living situation will be AL=Alone. This is an optional item. The codes are:

- *AL=Alone*: Client lives alone.
- *WC=With Primary Caregiver*: Client lives with the primary caregiver.
- *WO=With Other*: Client lives with someone other than a caregiver.
- *WOC=With Other Caregiver*: Client lives with a caregiver that is not the primary caregiver.

Special Project Case: This item will identify those clients who are participating in any special project that has been assigned to CARES. ***This item is required.*** The codes are:

- *A=Alzheimer's Waiver*: Alzheimer's Medicaid Waiver Program.
- *L=Long Term Care Community Diversion Pilot Program*: Special project of the Department of Elder Affairs.
Note: This code becomes obsolete March 1, 2014, due to SMMC LTC.
- *M=Nursing Home Diversion Modernization Grant*: Funding for clients transitioning from a nursing facility to the community.
- *N=None*: No special project indicated.
- *R=New Admission Review*: Indicates New Admission Review.
- *TN=Transition from NH Special Funding*: Funding for waiver for those transitioning from a nursing facility to the community.
- *TU=Transition from Hospital Special Funding*: Funding for waiver for those transitioning from a hospital to the community.
- *U=Upstreaming Project*: Special project of the Department of Elder Affairs.

Provider Name: This is a list of individual Planning and Service Area (PSA) providers. Each PSA determines the providers that are listed. This list can include the names of all hospitals, lead agencies, nursing facilities, etc. within the PSA. This item is optional.

Primary Caregiver: A primary caregiver is any person who regularly can be depended on to provide or arrange help as needed with Activities of Daily Living and Instrumental Activities of Daily Living. The primary caregiver may or may not be related by birth or marriage; may or may not live with the client or live nearby; and does not include operators of assisted living facilities, nursing facilities, adult family care homes,

home health agencies, service provider staff or other paid care providers. Enter the code that reflects the primary caregiver status of the client. This is an optional item. The codes are:

- *N=No*: Client does not have a primary caregiver.
- *U=Unknown*: Client's primary caregiver status is not known.
- *Y=Yes*: Client has a primary caregiver.

Open Reason: This code indicates the reason the case is being opened. The first time a case is opened the reason code will be IN; IN is the only option in the list. IN can only be used the first time a case is opened.

This is a required item. The codes for this field are:

- *AR=Annual Waiver Recertification*: Indicates the case is to be opened as an annual waiver recertification.
- *IN=Initial Case*: Indicates the first case opened on a client.
- *OT=Other*: Indicates the case is to be opened for a reason exclusive of the ones listed.
- *RE=Reassessment*: Indicates the case is to be opened for a reassessment.
- *TR=Transferred*: Indicates the case was transferred. **Note: Only use this code when the case was assigned in another PSA but was not assessed and staffed. The case is closed in the "old" PSA and forwarded to the new PSA where the client is residing. The new PSA will open, assess, and staff the case. This code is not to be used in any way for the transfer of an open/active case. Refer to the section of this guide regarding transferring open/active cases.**

3008 Received: This field requires a response of Y=Yes or N=No as to whether a 3008 is received by CARES at the time of every request for an assessment (Initial or Reassessment). ***This is a required item.*** The response to this question would be Yes if you are using a 3008 from a previous staffing that is less than one year old. If no 3008 is received at intake (3008 Received = N) but is received later, you would update this field to Yes. For annual waiver re-certifications enter Yes if the referral is received timely. If the referral is not received timely and no 3008 is received, enter No in this field. Change to Yes once the 3008 is received.

3008 Completed: This field requires a response of Y=Yes or N=No as to whether the 3008 is complete upon receipt. Answer Yes if the 3008 was completely filled out upon receipt. Answer No if the 3008 was not completed correctly upon receipt. ***This item is required only if the answer to 3008 Received is Yes.*** If a 3008 is not received this field will be disabled. The response to this question would be Yes if you are using a 3008 from a previous staffing that is less than one year old. For annual waiver recertifications enter Yes if the referral was received timely. If the referral is not timely and a current 3008 is received, enter Yes or No as appropriate in this field.

Date Incomplete 3008 Received by CARES: This field represents the date that CARES receives the incomplete 3008. This date will be a two-digit month and day and a four-digit calendar year. This date cannot be a future date and cannot be prior to the Initial Date. ***This field is required if the answer to 3008 Completed is No.***

Date Incomplete 3008 Returned by CARES: This field represents the date that CARES returns the incomplete 3008 to the sending source to be completed properly. This date will be a two-digit month and day and a four-digit calendar year. ***This field is required if the answer to 3008 Completed is No.***

OK to Transfer The Case?: This field will be pre-populated with N=No. **When an open/active case is being transferred to another PSA, you would enter Y=Yes.** See Transferring Open Cases for details.

Edit: Select this option if you want to change any previously saved information.

Save: Select this option to save the information entered or edited.

Cancel: Select this option to cancel without saving the information.

REMINDER:

All dates can be entered as mmddyy and the system will automatically change it to mm/dd/yyyy.

If the Open Reason is AR, the case will automatically close at Staffing. AR should be used for all annual waiver re-certifications.

ASSESSMENT SCREEN

When you click on the **Assessments** tab, a summary screen displays all assessments related to that case. An open case can have multiple assessments. The screen displays for each assessment the assessment date, assessment site, assessment instrument, risk score, caseworker, and PSA. If the case is open, you will be able to edit the assessment(s). If the case is closed, only a Supervisor Role can edit the assessment.

The CARES Cases Information will still be displayed on the screen and you can select the same options described under Cases (Add Case, Close Case, Delete Case, Print CIF, Print Blank CIF, Search Client, CARES Assignments, and Close).

This screen also has a panel that lists the assessment date and staffing date for the assessment. This is where you highlight the assessment to be viewed.

Add Assessment: Select this option if you want to add an assessment. Remember, Demographic must be complete to add an assessment. Also, if the prior assessment has not been staffed for an open case you will not be able to add a new assessment. You cannot add a new assessment if a partial assessment has been saved.

Note: *“INCOMPLETE” will be shown beside the assessment date for a partially saved assessment.*

Change Pseudo SSN: Select this option if you want to change a pseudo SSN to the actual SSN. **Remember, you cannot add an assessment with a pseudo SSN.** The Caseworker Role and Supervisor Role can change the pseudo SSN inside the case at the Assessment tab.

View Selected Assessment: Select this option if you want to view the highlighted assessment. Click on the assessment in the Assessment and Staffing Dates panel to highlight the assessment.

Print Assessment Info: Select this option if you want to print a highlighted assessment.

View All Assessments: Select this option if you want to go to the screen that lists all assessments for the client. This screen will show assessments by CARES and other agencies.

ADDING AN ASSESSMENT

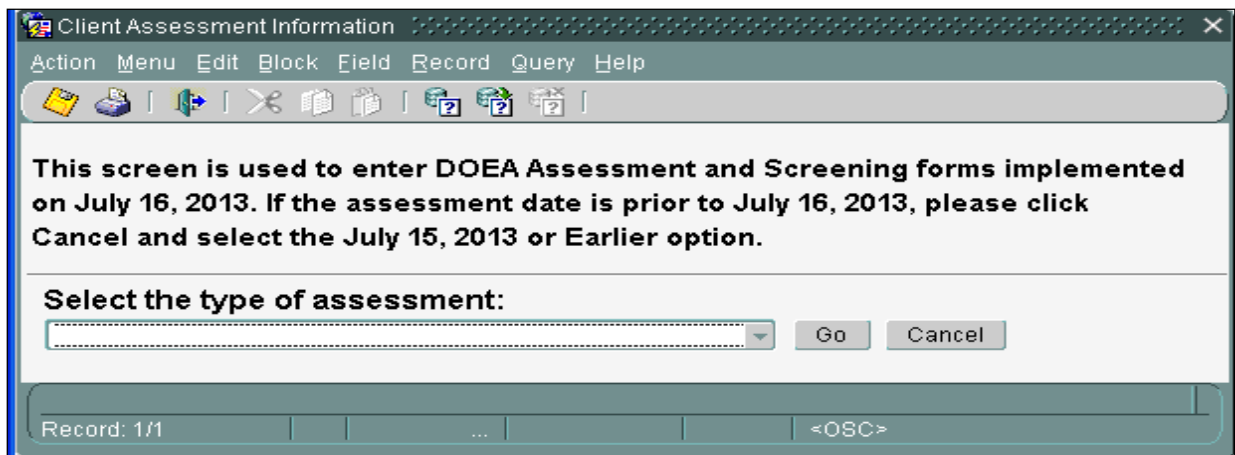


When you click on the **Add Assessment** button, the above screen will appear. You will be asked the date of the assessment. The options are:

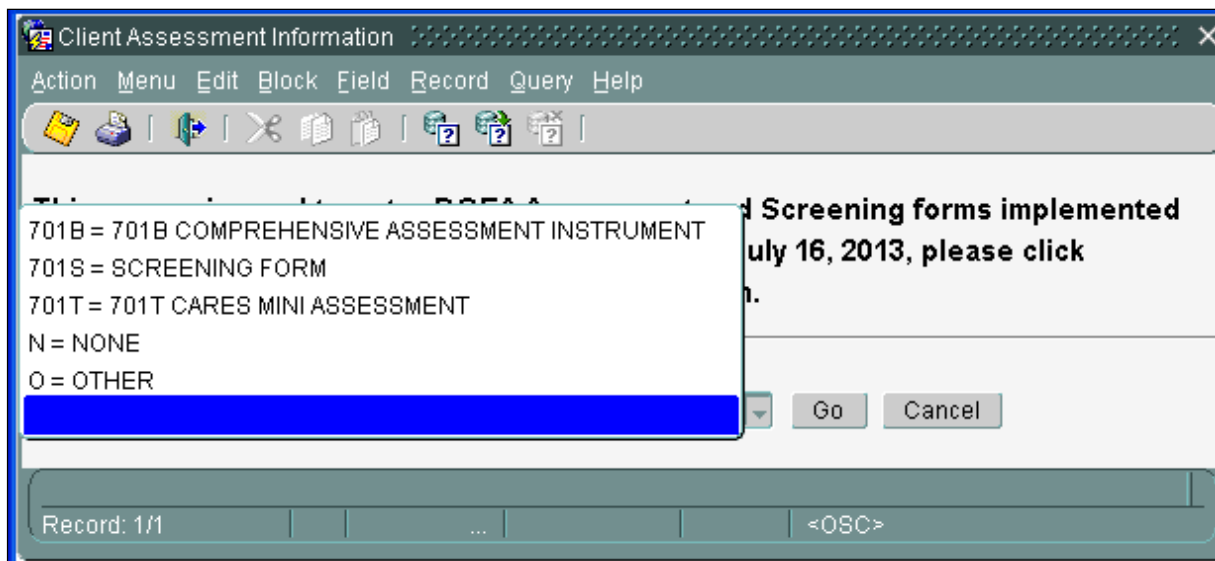
July 16, 2013 or Later: If the date of the assessment is July 16, 2013 or later, select this button. Instructions for entering assessments completed on July 16, 2013 or later will be contained in this document. This document can be found under the DOEA Enterprise Application Services tab under Documents.

July 15, 2013 or Earlier: If the date of the assessment is prior to July 16, 2013, select this button. Instructions for entering assessments completed on July 15, 2013 or earlier will be contained in the CIRTS User Guide for CARES January 2009. This document can be found under the DOEA Enterprise Application Services tab under Documents.

Cancel: If you do not want to add an assessment select this button and you will return to the Assessment screen.



The above screen will appear when you select an assessment date of July 16, 2013 or later. This screen allows you to select the type of assessment you want to enter. If you have selected the wrong date for the assessment or do not want to enter an assessment, you can select Cancel and return to the Assessment screen.



When you click on “Select the type of assessment.” the above drop-down box will appear. This box contains the type of assessments that can be entered. The assessment types are:

- **701B:** This is the Comprehensive Assessment Instrument used by CARES for on-site assessments for clients having community potential.
- **701S:** This instrument is a subset of the 701B and is used for telephone screening of clients.
- **701T:** This instrument is a subset of the 701B and is used for on-site assessments for clients with no community potential.
- **NONE:** This indicates that no assessment instrument was used. Limited assessment data will be entered for this type of assessment. “NONE” is used for medical case file reviews.
- **OTHER:** This indicates that an assessment instrument other than the ones listed was used for the assessment. Limited assessment data will be entered for this type of assessment. “OTHER” is used for medical case file reviews.

Click on the type of assessment that you want to enter and select the “Go” button. This will take you to the first Assessment tab for the selected assessment type.

Select the “Cancel” button if you do not want to enter an assessment. This will take you back to the Assessment screen.

REMINDER:

The current physical location address is a required item for all assessment types (701B, 701S, 701T, NONE, and OTHER).

“Does client have limited ability reading, writing, speaking, or understanding English?” is a required item in order to enter assessment types 701B, 701S and 701T.

“Is client’s home address public housing?” is a required item in order to enter assessment type 701B.

701B COMPREHENSIVE ASSESSMENT TYPE

The 701B Comprehensive Assessment type is used by CARES for on-site assessments for clients having community potential. This assessment is administered in a face-to-face setting to assess a client's health, function, needs, and resources. **The 701B is completed by the assessor/case manager with information provided by the client, observed directly, or verified by records.**

The 701B Comprehensive Assessment type screens are divided into tabs. Each tab corresponds to the sections on the 701B form. The "A" tabs are for the Demographic Section; the "B" tab is for the Memory Section; the "C" tabs are for the General Health, Sensory & Communication Section; the "D" tab is for the Activities Of Daily Living Section; the "E" tab is for the Instrumental Activities Of Daily Living Section; the "F" tabs are for the Health Conditions & Therapies Section; the "G" tabs are for the Mental Health Section; the "H" tabs are for the Residential Living Environment Section; the "I" tabs are for the Nutrition Section; the "J" tabs are for the Medications & Substance Use Section; the "K" tab is for the Social Resources Section. **The "L" tabs are for the Caregiver Section. These tabs will appear only if the response to Primary Caregiver is Y=Yes. This question is under the second "A" tab.**

Press the **Tab** or **Enter** key to move from field to field, or you may use your mouse to access the field and code table. There are times you can press the space bar to make a selection; these situations are noted in this guide. You can partially save an assessment or save the complete assessment. All required information is needed to save the complete assessment. The system will identify any required fields that were left blank once **Save** is selected.

The following items will appear at the top of each assessment tab:

Priority Score: Once the assessment is saved, the system will automatically generate and populate a Priority Score for assessment types 701A, 701B, and 701S. This item cannot be edited.

Rank: Once the assessment is saved, the system will automatically generate and populate a Rank for assessment types 701A, 701B, and 701S. This item cannot be edited.

PSA: Indicates the CARES PSA or the ADRC/lead agency PSA. This item is automatically populated and cannot be edited.

Owner ID: If the client is being processed by the Aging Network, the case management provider number will display. This number is assigned by the ADRC or lead agency when the client is added. It is display only.

Client ID: This is a unique, random number assigned by the system that is associated with each client in CIRTS. This item is automatically populated and cannot be edited.

Client Name: The system will automatically enter the client's last and first name based on the information entered on the Demographic screen. This item cannot be edited.

Risk Score: Once the assessment is saved, the system will automatically generate and populate the Risk Score. This item cannot be edited. **The Risk Score will be added at a later date and may not show on the screen or printed assessment. It is used by Planning and Evaluation and Office of Strategic Planning only.**

Edit: Select this option to change any previously saved information.

Save: Select this option to save the information entered or edited.

Cancel: Select this option to cancel without saving the information entered or edited.

Close: Select this option to close the assessment.

Print: Select this option to print the assessment.

TAB A / DEMOGRAPHIC SECTION SCREEN DEFINITIONS

PSA: This field will automatically be populated and cannot be edited.

County: Enter the county where the assessment is being conducted. The codes choices are PSA specific. *This is a required item.*

Assessor: This identifies the agency that actually performed the assessment. *This is a required item.* The codes are:

- *AAS=Adult Services:* Adult Services staff of the Department of Children and Families.
- *AHC=Agency for Health Care Adm:* Staff of the Agency for Health Care Administration.
- *ALZ=Alzheimer’s Disease Waiver:* Staff of an agency providing services under the Alzheimer’s Disease Medicaid Waiver Program.
- *BHP=Broward Homebound Case Mgr:* Staff of the Broward Homebound program.
- *CAR=CARES:* CARES staff of the Department of Elder Affairs.
- *CDA=Community Care for Dis Adults Case Manager:* Adult Services staff of the Department of Children and Families **or** staff of an agency providing services under the Community Care for Disabled Adults Program.
- *CFW=Adult Cystic Fibrosis Waiver:* Staff of the Department of Health.
- *CHA=Channeling Case Manager:* Staff of an agency providing services under the Channeling Medicaid Waiver Program. **Obsolete 3/1/14.**
- *DOH=Department of Health:* Staff of the Department of Health.
- *ELD=Evercare at Home Case Manager:* Staff of an agency providing services under the Ever Care at Home Program. **Obsolete 3/1/14.**
- *HMO=Health Maintenance Organization:* Staff of a Health Maintenance Organization.
- *HOS=Hospital:* Staff of a hospital.
- *LEA=Lead Agency Case Manager:* Staff of the local lead agency which provide case management for any program.
- *MCO=Managed Care Org:* Staff of a Managed Care Organization.

- *MHC=Massada Home Care Case Manager*: Staff of the Massada Home Care program.
- *NON=None*: Indicates there is no assessor. **This code should no longer be used.**
- *OTH=Other*: All other assessors exclusive of the ones listed.
- *PAC=Project Aids Care Case Manager*: Staff of an agency providing services under the Project Aids Care Medicaid Waiver Program.
- *PACE=Program Of All-Inclusive Care For The Elderly*: PACE model program with capitated rate.
- *UHC=United Home Care Case Manager*: Staff of United Home Care.
- *VOC=Vocational Rehabilitation*: Staff of a state program under the Department of Education.

Living Arrangement: Enter the appropriate code that reflects the living arrangement of the client at the time of the assessment. **This is a required item.** The codes are:

- *AFCH=Adult Family Care Home*: Any state licensed adult family care home.
- *ALFE=ALF with Ext Cong Care*: Any state licensed ALF which is also licensed to provide extended congregate care.
- *ALFM=ALF with Ltd Ment Hlth Svcs*: Any state licensed ALF which is also licensed to provide limited mental health services.
- *ALFN=ALF with Ltd Nurs Svcs*: Any state licensed ALF which is also licensed to provide limited nursing services.
- *ALFS=Assisted Living Facility*: Any state licensed assisted living facility.
- *ARTS=Adult/Geriatric Residential Treatment Facility*: A residential facility that provides mental health treatment.
- *GRHO=Group Home*: A small residential home sponsored by a state or community entity.
- *HOSP=Hospital*: An institution that provides care for acute illnesses (excluding a state mental hospital). Use this code for all units located within a hospital (swing bed, psychiatric unit, skilled nursing unit, etc.).
- *MRDD=MR/DD Facility*: A facility that provides treatment for people suffering from developmental disabilities (ICF/DD, cluster facility, Sunland, etc.).
- *NUHO=Nursing Home*: A free standing facility that is certified under Medicare/Medicaid to provide nursing services.
- *OTHR=Other*: All other living arrangements exclusive of the ones listed.
- *PRIS=Prison/Jail*: A duly authorized and supervised facility like a jail or a prison.
- *PRRE=Private Residence*: Any unlicensed non-institutional residence.
- *PSYF=Psychiatric Facility*: A free standing facility that provides psychiatric or mental health care.
- *REHB=Rehab Hospital*: Any free standing facility which provides rehabilitation services including drug and alcohol.
- *SAPT=Supervised Apartment*: A complex where supervision is available on a daily basis.
- *SHNH=State Mental Hospital/Nursing Home Unit*: A nursing home unit within a state sponsored or operated mental hospital.
- *SMHO=State Mental Hospital*: A state sponsored or operated facility that provides psychiatric care.
- *TRAN=Transient*: No fixed place of abode, or lives on the road.

Note: *If the Living Arrangement is Nursing Home (NUHO), the fields in the Nursing Home panel will become visible and will require entry. A nursing home panel from a previous case will show if a new case is opened and the discharge date is not populated. If the Living Arrangement is not NUHO, the system will force entry of the discharge date.*

| Admit Date | Nursing Home Name | Living Arrangement Prior | Discharge Date | Diversion Barrier |
|----------------------|----------------------|--------------------------|----------------------|----------------------|
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |

Admit Date: This is the date the client entered the nursing facility. This date must be a current or past date. It cannot be a future date. This will be a two-digit month and day and a four-digit calendar year. *This item is required.*

Nursing Home Name: Enter the name of the nursing home where the client is residing. The name will be selected from a list of individual PSA nursing homes. Each PSA will determine the nursing homes that are listed. *This item is required.*

Living Arrangement Prior: Enter the appropriate code that reflects the living arrangement of the client prior to entering a nursing home. For example, if the client was residing in an assisted living facility prior to entering a nursing home, the code would be ALFS. If the client was in the hospital prior to nursing home admission, the code would be HOSP. The codes are the same as the **Living Arrangement** codes previously listed. *This item is required.*

Discharge Date: This date represents the date the client was discharged from the nursing facility. This will be a two-digit month and day and a four-digit calendar year. This date cannot be prior to the Admit Date. This item is optional if the living arrangement continues to be NUHO=Nursing Home. If the living arrangement at Assessment was NUHO but at Staffing is not NUHO, then this field becomes required. There are times the system will automatically populate a date in this field. You will receive a message notifying you of this.

Diversion Barrier: This identifies the barrier that prevents an initial or subsequent alternative placement recommendation. If there is no barrier enter NONE. *This item is required.* The codes are:

- ACNA=Assistive Care Services/Optional State Supplementation Not Available
- ADWL=Aged Disabled Adults Waiver Waiting List (**Obsolete 3/1/14 due to SMMC LTC**)
- AENA=Assisted Living Facility with Extended Congregate Care Not Available
- AFNA=Assisted Living Facility Not Available
- ALWL=Assisted Living Waiver Waiting List (**Obsolete 3/1/14 due to SMMC LTC**)
- AMNA=Assisted Living Facility with Limited Mental Health Services Not Available
- ANNA=Assisted Living Facility with Limited Nursing Services Not Available
- ARAP=Assisted Living Facility Provider Required Additional Payment
- BSWL=Brain and Spinal Cord Injury Waiver Waiting List
- CDWL=Consumer Directed Care Waiver Waiting List (**Obsolete 3/1/14 due to SMMC LTC**)
- CGEX=Caregiver Expired
- CGHP=Caregiver In Hospital
- CGNH=Caregiver In Nursing Home
- CHWL=Channeling Waiver Waiting List (**Obsolete 3/1/14 due to SMMC LTC**)
- ELWL=Everbare at Home Waiver Waiting List (**Obsolete 3/1/14 due to SMMC LTC**)
- FENT=Financial Eligibility Determination Not Timely
- IACA=Ineligible For Assistive Care/Optional State Supplementation Due To Assets
- IACI=Ineligible For Assistive Care/Optional State Supplementation Due To Income
- ICMA=Ineligible for Community Medicaid due to Assets
- ICMI=Ineligible for Community Medicaid due to Income
- INAG=Ineligible Due To Age Requirement
- INCS=Ineligible For Community Services For Other Reasons
- INHD=Ineligible For Nursing Home Transition Due To Health/Functional Decline
- LFPA=Lacks Financial Resources to Private Pay an Assisted Living Facility
- LPWL=Long Term Care Community Diversion Pilot Waiver Waiting List (**Obsolete 3/1/14 due to SMMC LTC**)
- NONE=No Barrier

- PAWL=Project Aids Care Waiting List
- REAF=Assisted Living Facility Refused To Accept Client
- RECM=Case Manager Service Provider Refused To Accept Referral
- REFF=CARES Placement Recommendation Refused By Family Due To Financial Concerns
- REFH=CARES Placement Recommendation Refused By Family Due To Health Concerns
- REOT=CARES Placement Recommendation Refused By Family For Other Reasons
- REPH=CARES Placement Recommendation Refused By Physician
- RERB=Client Or Family Refused To Relinquish NH Bed
- RESP=Client Or Family Refused CARES Placement Recommendation To Stay In NH With Spouse
- RRNT=Referral Response From Provider Not Timely
- SANA=Secure Assisted Living Facility Not Available
- SPIM=Spousal Impoverishment Situation Likely If Placed
- WLAC=Waitlist For Assistive Care Services/Optional State Supplementation
- WLIA=Waiting List For Assisted Living Facility or Adult Family Care Home
- WLIC=Waiting List For Community Services

Special Project Case: This item will identify those clients who are participating in any special project that has been assigned to CARES. The information entered at Case Assignment will automatically be populated in this field. **Note: You may need to change this code for a reassessment for an open case. This item is required.**

The codes are:

- A=Alzheimer's Waiver: Alzheimer's Medicaid Waiver Program.
- L=Long Term Care Community Diversion Pilot Program: Special project of the Department of Elder Affairs. **Note: This code becomes obsolete March 1, 2014, due to SMMC LTC.**
- M=Nursing Home Diversion Modernization Grant: Funding for clients transitioning from a nursing facility to the community.
- N=None: No special project indicated.
- R=New Admission Review: Indicates New Admission Review.
- TN=Transition from NH Special Funding: Funding for waiver for those transitioning from a nursing facility to the community.
- TU=Transition from Hospital Special Funding: Funding for waiver for those transitioning from a hospital to the community.
- U=Upstreaming Project: Special project of the Department of Elder Affairs.

Payment Type: This identifies the case by potential financial eligibility, not actual Medicaid eligibility. **This is a required item.** The information entered at Case Assignment will automatically be populated in this field.

You may need to change this code for a reassessment for an open case. The three payment types and definitions are:

- MEDI=Medicaid: This payment type is used for any case that is referred to CARES by DCF. This means the individual has applied for Medicaid.
- MEDP=Medicaid Pending: This payment type is used for any case that is referred to CARES by anyone other than DCF. This means the individual has not applied for Medicaid, but the intent to apply is imminent.
- PRPA=Private Pay: This payment type is used for any case where the client has income and/or assets which exceed the limits for Medicaid eligibility for the Institutional Care Program (ICP).

Waiver Recertification: This field will default to N=No if the Case Open Reason is IN=Initial Case, OT=Other, RE=Reassessment, or TR=Transferred. If the case is an annual waiver recertification for an open case, you will need to change the N=No to Y=Yes and manually close the case. If the Case Open Reason is AR=Annual Waiver Recertification, the field will default to Y=Yes. An open reason of AR will cause the case

to close automatically at staffing. AR should be used as the open reason for all annual waiver re-certifications. ***This is a required item.***

Initial Contact Date: This date represents the date CARES first contacts the client, family, etc. to schedule an on-site assessment. ***This is a required item.*** This date will be entered only one time per open case. This date will be a two-digit month and day and a four-digit calendar year. ***Note: This field is disabled if the Assessor is not CARES.***

Assessment Delay: This field requires a response of Y=Yes or N=No. The answer would be “Yes” if CARES is unable to schedule the on-site assessment within 10 calendar days of the Initial Date or Date Reassessment Requested. The answer would be “No” if the on-site assessment is conducted within 10 calendar days of the Initial Date or Date Reassessment Requested. ***This is a required item. Note: This item will be disabled if the assessor is not CARES.***

Assessment Delay Reason: ***Note: This item will be disabled if the assessor is not CARES.*** The on-site assessment can be delayed due to CARES or the client. The delay for CARES could be due to worker on vacation, out sick, etc. The delay due to the client could be out of town, doctor appointment, etc. ***This is a required item if the answer is Y=Yes for Assessment Delay.*** The codes are:

- CLU=Client unavailable
- CRU=CARES unavailable

Reassessment: The system will put a check mark in this box if this is a reassessment for an open case. No entry can be made in this field and it cannot be edited.

Date Requested: ***This is a required item if there is a check mark in the Reassessment box.*** This field represents the date the request for a reassessment was received by CARES. It will be a two-digit month and day and a four-digit calendar year. This cannot be a future date.

| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|--|---|--|---|--|--|--|---|--|---|--|---|--|---|--|--|--|---|--|---|--|---|--|---|--|---|--|---|--|---|--|---|--|---|--|---|--|---|--|---|--|---|--|---|--|---|--|---|--|---|--|
| A | | A | | A | | A | | B | | C | | C | | D | | E | | F | | F | | F | | F | | G | | G | | H | | H | | I | | I | | J | | J | | J | | K | | L | | L | | L | |
| Caseworker OTHER - OTHER OTHER | | | | | | | | | | | | Assessor / Case Manager Name OTHER OTHER | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| ASSESSOR/CM: What is the purpose of this assessment? | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input checked="" type="checkbox"/> Initial <input type="checkbox"/> Annual <input type="checkbox"/> Health <input type="checkbox"/> Living Situation <input type="checkbox"/> Caregiver <input type="checkbox"/> Environment <input type="checkbox"/> Income | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Assessment Date 07/16/2013 | | | | | | Assessment Site CH=CLIENT/RELATIVE'S HOME | | | | | | Assessment Type 701B = 701B COMPREHENSIVE ASSESSMENT IN... | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Referral Date 07/16/2013 | | | | | | Referral Source SEFA = SELF/FAMILY | | | | | | Risk Level | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| ASSESSOR/CM: Transitioning out of a nursing facility? <input type="checkbox"/> N | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| ASSESSOR/CM: Imminent risk of nursing home placement? <input type="checkbox"/> N | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Do you need outside assistance to evacuate? <input type="checkbox"/> N | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Are you enrolled on a special needs registry? <input type="checkbox"/> N | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Is there a primary caregiver? <input checked="" type="checkbox"/> Y | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Living Situation ALONE | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Individual monthly income \$789.00 Refused <input type="checkbox"/> N | | | | | | | | Estimated total individual assets \$1,200.00 | | | | | | | | Individual Assets M = \$0 - \$2000 Refused <input type="checkbox"/> N | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Couple monthly income Refused <input type="checkbox"/> N | | | | | | | | Estimated total couple assets | | | | | | | | Couple Assets Refused <input type="checkbox"/> N | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Date Assessment Changed | | | | | | | | | | | | Assessment Changed By | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Caseworker: This field will be populated with the caseworker shown at Case Assignment. If someone other than the assigned worker conducted or is conducting the assessment, the caseworker will need to be changed. ***This is a required item.***

Assessor/Case Manager Name: This item is disabled and cannot be edited. This field will be populated with the caseworker shown at Case Assignment. If the Caseworker is changed, this field will be populated with the new caseworker. ***Note: The new caseworker will not be populated in this field until you exit the screen and then return.***

ASSESSOR/CM: What is the purpose of this assessment?: ***This is a required item.*** You can use the space bar or mouse to enter a check mark in the appropriate box or boxes. If you select “Initial” or “Annual” all other options will become disabled. If neither of these two items is checked, all options are available and more than one of the options may be checked.

Assessment Date: This is the date the assessment is actually conducted by the assessor/case manager. Enter the month, day, and year of the assessment. This will be a two-digit month and day and a four-digit calendar year. This date must be a current or past date. It cannot be a future date. ***This is a required item.*** If the assessment date is over 6 months old, the system will generate a pop-up box asking you to verify the date. You can use the mouse to click on “OK” or you can press the space bar. You will also receive an error message if the assessment date is prior to the Initial Date. **The Assessment Date cannot be edited.**

Assessment Site. This identifies where the assessment actually took place. ***This is a required item.*** The codes are:

- *ADC=Adult Day Care:* A facility which provides less than 24-hour care for certain eligible adults.
- *AFCH=Adult Family Care Home:* Any state licensed adult family care home.
- *ALF=Assisted Living Facility:* Any state licensed assisted living facility.
- *CH=Client/Relative’s Home:* The client or relative’s private residence.
- *GRHO=Group Home:* A small residential home sponsored by a state or community entity.
- *H=Hospital:* An institution that provides care for acute illnesses (excluding a state mental hospital or a swing bed hospital).
- *MRDD=MR/DD Facility:* A facility that provides treatment for people suffering from developmental disabilities (ICF/DD, cluster facility, Sunland, etc.).
- *NH=Nursing Home:* A freestanding facility that is certified under Medicare and/or Medicaid to provide nursing services.
- *OFFC=Office/Medical Case File Review:* Indicates the assessment was a medical case file review completed in the CARES office.
- *OT=Other:* All other assessment sites exclusive of the ones listed.
- *PRIS=Prison/Jail:* A duly authorized and supervised facility like a jail or a prison.
- *PSYF=Psychiatric Facility:* A freestanding facility that provides psychiatric or mental health care.
- *SBHO=Swing Bed Hospital:* A rural hospital that is certified under Medicare/Medicaid to provide nursing services.
- *SMHO=State Mental Hospital:* A state sponsored or operated facility that provides psychiatric care.

REMINDER:

Assessment Site code *CARE=Onsite in CARES Office* is no longer being used. If the client comes to the CARES office for the on-site assessment, the site will be *OT=Other*. ***OFFC is used only for medical case file reviews.***

Assessment Type: This field will automatically be populated by the system based on the type of assessment previously selected. This field cannot be edited.

Referral Date: This is the date that the referral was received at the receiving agency from the referral source. There may be an earlier date on a referral form, but the responsibility begins when the information is actually received. The referral may be received in a format other than written, such as a telephone call or office visit. ***This is a required item.*** This date must be a current or past date. It cannot be a future date. This will be a two-digit month and day and a four-digit calendar year. This field will be populated automatically by the system based on the Initial Date at Case Assignment. **This date can be changed if this is a reassessment for an open case.**

Referral Source: This identifies the party that is contacting CARES for an assessment. ***This is a required item.*** The referral sources are:

- *A = Abuse/Neglect:* Protective Services of the Department of Children and Families.
- *ADM=Alcohol, Drug Abuse, Mental Health:* A state agency providing services to people who meet eligibility for alcohol or drug abuse, or mental illness. **Note: Now called Substance Abuse and Mental Health (SAMH).**
- *ARC=ARC or ADRC:* Aging Resource Center or Aging Disability Resource Center.
- *C = CARES:* State program of the Department of Elder Affairs.
- *CRR=Continued Residency Review:* Process related to CARES. **Note: Currently not being completed.**
- *DCF=Department of Children and Families:* A state agency that provides various services to include ACCESS Florida, Adult Services, Developmental Disabilities and Child Care.
- *DES = Developmental Services:* **Now called Agency for Persons with Disabilities.**
- *DOH=Department of Health:* A state agency that works to protect, promote, and improve the health of individuals through state, county, and community efforts.
- *FAM = Family:* A relative of the client.
- *H = Hospital:* An institution that provides care for acute illnesses. Use this code for hospital psychiatric units.
- *L = Lead Agency:* State contracted agency providing community services.
- *MCO=Managed Care Organization:* An agency contracted to provide health care needs of individuals.
- *NH = Nursing Home:* State certified nursing facility.
- *O= Other:* All other referral sources exclusive of the ones listed.
- *PAC = Project Aids Care Waiver:* Medicaid waiver program.
- *PACE=Program All-Inclusive Care for Elderly:* PACE model program with capitated rate.
- *PRIS = Prison/Jail:* A duly authorized and supervised facility like a jail or a prison.
- *PSYF = Psychiatric Facility:* A freestanding facility that provides psychiatric or mental health care.
- *SELF = Self:* Self referral.
- *SMHO = State Mental Hospital:* A state sponsored or operated facility that provides psychiatric care.
- *SNUH = Skilled Nursing Unit/Hospital:* A section within a hospital which is certified under Medicare/Medicaid to provide skilled nursing facility services.
- *VOC=Vocational Rehabilitation:* State program of the Department of Education.

Risk Level: ***If the referral source is A=APS (Adult Protective Services), the level of APS risk will be required.*** The codes are High, Intermediate, or Low.

ASSESSOR/CM: Transitioning out of a nursing facility?: Enter Y=Yes or N=No as to whether the client has a desire to transition out of a nursing facility. “Nursing home transition” is the voluntary transfer of an individual from a nursing facility to a community setting. If the client is not residing in a nursing facility, the response would be N=No. ***This is a required item.***

ASSESSOR/CM: Imminent risk of nursing home placement?: Enter Y=Yes or N=No as to whether the client is at imminent risk of nursing home placement. If the client is already residing in a nursing facility the response would be N=No. ***This is a required item.***

Do you need outside assistance to evacuate?: Enter Y=Yes or N=No as to whether the client needs outside assistance to evacuate during emergencies. If the client is able to evacuate the home or has arrangements with a caregiver or other person, then outside assistance is not needed. For clients in a nursing facility, assisted living facility, or adult family care home, the response will be N=No. This question determines if there is a need for assistance to be set up by the assessor/case manager. ***This is a required item.***

Are you enrolled on a special needs registry?: Enter Y=Yes or N=No as to whether the client is registered with the County Special Needs Registry. For clients in any type of facility (nursing facility, assisted living facility, adult family care home, hospital, etc.) the response will be N=No. ***This is a required item.***

Is there a primary caregiver?: ***This is a required item.*** A primary caregiver is any person who regularly can be depended on to provide or arrange help as needed with Activities of Daily Living and Instrumental Activities of Daily Living. The primary caregiver may or may not be related by birth or marriage; may or may not live with the client or live nearby; and does not include operators of assisted living facilities, nursing facilities, adult family care homes, home health agencies, service provider staff, or other paid care providers. Enter the code that reflects the primary caregiver status of the client. The codes are:

- *N=No:* Client does not have a primary caregiver.
- *U=Unknown:* Client's primary caregiver status is not known.
- *Y=Yes:* Client has a primary caregiver.

Living Situation: AL=Alone should be entered for all living arrangements except for HOSP, OTHR, PRRE, PSYF, REHB, SAPT, and TRAN. If the living arrangement is any of the seven mentioned, all code choices will be available. If the client is in a hospital and is expected to be discharged to a nursing facility, assisted living facility, or adult family care home, the living situation will be AL=Alone. ***This is a required item.*** The codes are:

- *AL=Alone:* Client lives alone.
- *WC=With Primary Caregiver:* Client lives with the primary caregiver.
- *WO=With Other:* Client lives with someone other than a caregiver.
- *WOC=With Other Caregiver:* Client lives with a caregiver that is not the primary caregiver.

Individual monthly income: This information may be obtained from Department of Children and Families, the client, or the client's family. Enter the **gross individual** income. Include income from Social Security, SSI, money from family on a regular basis, pension, retirement, savings, disability, VA benefits, welfare/TCA, earnings from employment, rental income, etc. Enter the amount of the client's income. For example, if the client receives \$560.20 Social Security, enter "560.20." If you are unable to obtain the income amount then enter "0." ***This is a required item.***

Refused: This field will automatically populate with N=No. If the client provides the income amount this field will continue to show N=No. If the client refuses to provide the income amount, change this field to Y=Yes. ***This is a required item.***

Estimated total individual assets: This information may be obtained from Department of Children and Families, the client, or the client's family. Examples of assets are savings accounts, checking accounts, stocks and bonds, certificates of deposit, etc. Enter the estimated amount of the client's assets. For example, if the client states their assets are \$1234.52, enter "1234.52." This is an optional item.

Individual Assets: This field represents the assets range for the individual. ***This is a required item.*** The codes are:

- *M=\$0 - \$2000*
- *N=\$2001 - \$5000*

➤ *P=Over \$5000*

Refused: This field will automatically populate with N=No. If the client provides the asset range amount, this field will continue to show N=No. If the client refuses to provide the asset range amount, change this field to Y=Yes. ***This is a required item.***

Couple monthly income: ***This is a required item if the client's marital status at Demographic is married.*** Enter the amount of the client's gross income combined with the spouse's gross income. For example, if the client receives \$560.00 Social Security and the spouse receives \$1200.00 Social Security, enter "1760."

Refused: This field will automatically populate with N=No. If the client provides the couple income amount this field will continue to show N=No. If the client refuses to provide the couple income amount, change this field to Y=Yes. ***This is a required item.***

Estimated total couple assets: This information may be obtained from Department of Children and Families, the client, or the client's family. Examples of assets are savings accounts, checking accounts, stocks and bonds, certificates of deposit, etc. Enter the estimated amount of the couple's assets. For example, if the client states their assets are \$1234.52, enter "1234.52." This is an optional item.

Couple Assets: This field represents the assets range for the couple. ***This is a required item if the client's marital status is married.*** The codes are:

- *M=\$0 - \$3000*
- *N=\$3001 - \$6000*
- *P=Over \$6000*

Refused: This field will automatically populate with N=No. If the client provides the couple asset range amount, this field will continue to show N=No. If the client refuses to provide the couple asset range amount, change this field to Y=Yes. ***This is a required item.***

Date Assessment Changed: This field is automatically populated by the system when someone makes a change to the saved assessment information.

Assessment Changed By: This field is automatically populated by the system and identifies the name of the person making the change to the saved assessment information.

Are you receiving S/NAP (food stamps)?: Enter Y=Yes or N=No as to whether the client is receiving S/NAP (Supplemental Nutritional Assistance Program), also known as Food Stamps. *This is a required item.*

Do you need other assistance for food?: Enter Y=Yes or N=No as to whether the client needs other assistance for food. *This is a required item.*

ASSESSOR/CM: Is someone besides the client providing answers to questions?: *This is a required item.* Enter Y=Yes or N=No as to whether someone besides the client is answering the assessment questions. **This question refers to the entire assessment. There are skip patterns in the Memory and Mental Health Sections in case the client is not the one providing answers.**

Name: *This is a required item if the response is Y=Yes to, “Is someone besides the client providing answers to questions?”* Enter the name of the person who is answering the assessment questions for the client.

Relationship: *This is a required item if the response is Y=Yes to “Is someone besides the client providing answers to questions?”* Enter the relationship to the client of the person who is answering the assessment questions. The codes are:

- DA=Daughter/In-Law
- HU=Husband
- OR=Other Relative
- OT=Other Non-Relative
- PA=Parent
- PT=Partner
- SO=Son/In-Law
- WF=Wife

Besides your own children, how many children under age 19 do you live with and provide care for?: Enter the number of children (excluding the client’s own children) living with and cared for by the client. Enter “0” if the client does not live with or provide care for other children. *This is a required item.*

How many are grandchildren?: *This is a required item if a number other than zero was entered for the question “Besides your own children, how many children under age 19 do you live with and provide care for?”* Enter the number of grandchildren living with and cared for by the client. Enter a zero if the response is none.

Name(s): This item is optional. You can enter the name(s) of the grandchildren, if provided.

How many are other related children?: *This is a required item if a number other than zero was entered for the question “Besides your own children, how many children under age 19 do you live with and provide care for?”* Enter the number of other related children living with and cared for by the client. Enter a zero if the response is none.

Name(s): This item is optional. You can enter the name(s) of the other related children, if provided.

How many are other non-related children?: *This is a required item if a number other than zero was entered for the question “Besides your own children, how many children under age 19 do you live with and provide care for?”* Enter the number of other non-related children living with and cared for by the client. Enter a zero if the response is none.

Name(s): This item is optional. You can enter the name(s) of the other non-related children, if provided.

How many disabled adults age 19 to 59 do you live with and provide care for?: Enter the number of disabled adults age 19 to 59 living with and cared for by the client. Enter “0” if the client does not live with or provide care for any disabled adults. *This is a required item.*

How many are grandchildren?: *This is a required item if a number other than zero was entered for the question “How many disabled adults age 19 to 59 do you live with and provide care for?”* Enter the number of disabled adult grandchildren living with and cared for by the client. Enter a zero if the response is none.

Name(s): This item is optional. You can enter the name(s) of the grandchildren, if provided.

How many are other relatives?: *This is a required item if a number other than zero was entered for the question “How many disabled adults age 19 to 59 do you live with and provide care for?”* Enter the number of other related disabled adults living with and cared for by the client. Enter a zero if the response is none.

Name(s): This item is optional. You can enter the name(s) of the other related adults, if provided.

The screenshot shows a software interface with a top navigation bar containing letters A through L. Below the bar is a form with two main sections. The first section is titled 'How many are other non-relatives?' and contains a small input box. To its right is a larger input box labeled 'Name(s):'. Below these is a section titled 'Notes & Summary' with a larger text area for notes. The interface has a light blue and white color scheme.

How many are other non-relatives?: *This is a required item if a number other than zero was entered for the question “How many disabled adults age 19 to 59 do you live with and provide care for?”* Enter the number of other related disabled adults living with and cared for by the client. Enter a zero if the response is none.

Name(s): This item is optional. You can enter the name(s) of the other non-related adults, if provided.

Notes & Summary: This section is provided for the assessor/case manager to record information related to the assessment. An entry in this section is optional. Press **Tab** to move to the next screen.

TAB B / MEMORY SECTION SCREEN DEFINITIONS

Has a doctor or other health care professional told you that you suffer from memory loss, cognitive impairment, any type of dementia, or Alzheimer’s disease?: Enter Y=Yes or N=No as to whether the client has been diagnosed with any type of memory problem. *This is a required item.*

ASSESSOR/CM: If the client is not answering questions, check: If the client is not answering the Memory Section questions, use the mouse or space bar to enter a check mark in the box provided. Once the box is checked, all questions will become disabled except for the last question on this screen (“ASSESSOR/CM: *In your opinion, are cognitive problems present?*”). *Note: This item is optional but must be checked if the client is not answering the Memory Section questions.*

ASSESSOR/CM: Select the number of words correctly repeated after the first attempt: Read the phrase in quotation marks to the client and then record the client’s first attempt to repeat the items. Use the mouse or space bar to enter a check mark in the appropriate box or boxes. The choices are *Sock, Blue, Bed, and None*. *This is a required item. Note: If Sock, Blue, and/or Bed are checked, “None” will be disabled. If “None” is checked, Sock, Blue, and Bed will be disabled.*

Total number of correct words: The system will automatically populate this field based on the box or boxes checked (Sock, Blue, Bed, None). For example: 0=None; 1=One; 2=Two; 3=Three.

Please tell me what year it is: *This is a required item if the client is answering the Memory Section questions.* The codes are:

- C=Correct: Client provides a correct response.
- 1=Missed by one year: Client's response is within one year of the current year.
- 2=Missed by two to five years: Client's response is within two to five years from the current year.
- 5=Missed by five or more years: Client's response is more than five years from the current year.
- N=No answer: Client cannot or chooses not to answer the item.

Please tell me what month it is: *This is a required item if the client is answering the Memory Section questions.* The codes are:

- C=Correct: Client provides a correct response.
- 1=Missed by one month: Client's response is within one month of the current month.
- 2=Missed by two to five months: Client's response is within two to five months of the current month.
- 5=Missed by five or more months: Client's response is more than five months from the current month.
- N=No answer: Client cannot or chooses not to answer the item.

Please tell me what day (of the week) it is: *This is a required item if the client is answering the Memory Section questions.* The codes are:

- C=Correct: Client provides a correct response.
- I=Incorrect: Client provides an incorrect response.
- N=No Answer: Client cannot or chooses not to answer the item.

ASSESSOR/CM: Number of words correctly recalled without prompting: Read the phrase in quotation marks to the client and then record the client's attempt to recall the items. Use the mouse or space bar to enter a check mark in the appropriate box or boxes. The choices are *Sock, Blue, Bed, and None*. **Note: If Sock, Blue, and/or Bed are checked, "None" will be disabled. If "None" is checked, Sock, Blue and Bed will be disabled.** This field will be automatically populated based on the box or boxes checked. This item is optional.

Have any friends or family members expressed concern about your memory?: Enter Y=Yes or N=No as to whether friends or family have expressed concern about the client's memory. *This is a required item if the client is answering the Memory Section questions.*

Have you become concerned about your memory or had problems remembering important things?: Enter Y=Yes or N=No as to whether the client is concerned about memory problems. *This is a required item if the client is answering the Memory Section questions.*

How often do you have problems remembering things?: This question will be disabled if the response is N=No to "Have you become concerned about your memory or had problems remembering important things?" *If the response is Y=Yes, this question will be required.* The codes are:

- A=Always: Client continually has problems.
- O=Often: Client frequently, but not continually, has problems.
- S=Sometimes: Client occasionally has problems.
- R=Rarely: Client seldom has problems.
- D=Don't know: Client doesn't know the frequency of problems.

ASSESSOR/CM: In your opinion, are cognitive problems present?: Based on the client’s responses to the Memory Section questions, the assessor/case manager is to provide her/his opinion of whether cognitive problems are present. *This is a required item.* The codes are:

- *Y=Yes:* Client has demonstrated, been diagnosed, or has disclosed problems with memory, thinking, judgment, or orientation to time/place/people.
- *N=No:* Client answered questions appropriately and accurately.
- *D=Don’t know:* The assessor/case manager could not determine if cognitive problems were present.

Score: The system will automatically generate and populate a score for the Memory Section of the assessment.

Notes & Summary: This section is provided for the assessor/case manager to record information related to the assessment. An entry in this section is optional. Press **Tab** to move to the next screen.

TAB C / GENERAL HEALTH, SENSORY & COMMUNICATION IMPAIRMENT SECTION
SCREEN DEFINITIONS

How would you rate your overall health at this time?: *This is a required item.* The codes are:

- *E=Excellent*
- *V=Very Good*
- *G=Good*
- *F=Fair*
- *P=Poor*

Compared to a year ago, how would you rate your health?: *This is a required item.* The codes are:

- *M=Much Better*
- *B=Better*
- *A=About the same*
- *W=Worse*
- *O=Much Worse*

How often do you change or limit your activities out of fear of falling?: *This is a required item.* The codes are:

- *N=Never*
- *O=Occasionally*
- *F=Often*
- *A=All of the time*

How many times have you fallen in the last six months?: *This is a required item.* Enter a numeric value in this field.

How often are there things you want to do but cannot because of physical problems? *This is a required item.* The codes are:

- *N=Never*
- *O=Occasionally*
- *F=Often*
- *A=All of the time*

When you need medical care, how often do you get it?: *This is a required item.* The codes are:

- *A=Always*
- *M=Most of the time*
- *R=Rarely*
- *O=Only in an emergency*
- *N=Never*

When you need transportation to medical care, how often do you get it?: *This is a required item.* The codes are:

- *A=Always*
- *M=Most of the time*
- *R=Rarely*
- *O=Only in an emergency*
- *N=Never*

Do you drive a car or other motor vehicle?: *This is a required item.* Enter Y=Yes or N=No.

How often do finances/insurance allow you to obtain health care and medications when you need them?: *This is a required item.* The codes are:

- *A=Always*
- *M=Most of the time*
- *R=Rarely*
- *O=Only in an emergency*
- *N=Never*

Have you visited the ER or been admitted to the hospital within the last year?: *This is a required item.* Enter Y=Yes or N=No. *If the response is Y=Yes, a numeric value is required for the fields ER and Hospital.* If the response is N=No, these fields will be disabled.

In the last year were you in a nursing or rehabilitation facility?: *This is a required item.* Enter Y=Yes or N=No.

Are you usually able to climb two or three stair steps?: *This is a required item.* The codes are:

- Y=Yes
- N=No
- D=Don't know

ASSESSOR/CM: Are there any stairs within the dwelling or leading into/out of the dwelling?: *This is a required item.* Enter Y=Yes or N=No.

A A A A B C C D E F F F G G H H I I J J J K L L L

GENERAL HEALTH, SENSORY & COMMUNICATION IMPAIRMENT SECTION -- continued --

Are you usually able to carry a full glass of water across a room without spilling it? N = No

Has a doctor told you that you currently have vision problems? Y = Yes

Have you had an eye exam in the past year? Y

Do you bump into objects (people, doorways) because you don't see them? N

Is your vision getting worse than it was last year? S = Slightly Worse

Has a doctor told you that you currently have hearing problems? N = No

Have you had a hearing exam in the past year? N

Can you understand words clearly over the telephone? Y

Is your hearing worse than it was last year? N = No

ASSESSOR/CM: Does client rely on writing, gestures, or signs to communicate? N

ASSESSOR/CM: Are the client's words formed properly, not slurred or clipped? Y

ASSESSOR/CM: Are any sensory aids or assistive devices currently used? Y

If yes, please list the type(s) used:
EYE GLASSES

ASSESSOR/CM: Is there an unmet need for a sensory aid or assistive device? N

If yes, please list the type(s) needed:

Notes & Summary

Are you usually able to carry a full glass of water across a room without spilling it?: *This is a required item.* The codes are:

- N=No
- Y=Yes
- D=Don't know

Has a doctor told you that you currently have vision problems?: *This is a required item.* The codes are:

- N=No
- Y=Yes
- B=Blind

Have you had an eye exam in the past year?: *This is a required item.* Enter Y=Yes or N=No. *Note: If the response is B=Blind to "Has a doctor told you that you currently have vision problems?" this field will be disabled.*

Do you bump into objects (people, doorways) because you don't see them?: *This is a required item.* Enter Y=Yes or N=No. *Note: If the response is B=Blind to "Has a doctor told you that you currently have vision problems?" this field will be disabled.*

Is your vision getting worse than it was last year?: *This is a required item. Note: If the response is B=Blind to “Has a doctor told you that you currently have vision problems?” this field will be disabled.*

The codes are:

- N=No
- I=In one eye
- S=Slightly Worse
- M=Much Worse

Has a doctor told you that you currently have hearing problems?: *This is a required item.* The codes are:

- N=No
- Y=Yes
- D=Deaf

Have you had a hearing exam in the past year?: *This is a required item.* Enter Y=Yes or N=No. *Note: This field will be disabled if the response is D=Deaf to “Has a doctor told you that you currently have a hearing problem?”*

Can you understand words clearly over the telephone?: *This is a required item.* Enter Y=Yes or N=No. *Note: This field will be disabled if the response is D=Deaf to “Has a doctor told you that you currently have a hearing problem?”*

Is your hearing worse than it was last year?: *This is a required item.* Enter Y=Yes or N=No. *Note: This field will be disabled if the response is D=Deaf to “Has a doctor told you that you currently have a hearing problem?”* The codes are:

- N=No
- I=In one ear
- S=Slightly Worse
- M=Much Worse

ASSESSOR/CM: Does client rely on writing, gestures, or signs to communicate?: *This is a required item.* Enter Y=Yes or N=No.

ASSESSOR/CM: Are the client’s words formed properly, not slurred or clipped?: *This is a required item.* Enter Y=Yes or N=No.

ASSESSOR/CM: Are any sensory aids or assistive devices currently used?: *This is a required item.* Enter Y=Yes or N=No.

If yes, please list the type(s) used: *This field will be required if the response is Y=Yes to “Are any sensory aids or assistive devices currently used?”* If the response is N=No, this field will be disabled.

ASSESSOR/CM: Is there an unmet need for a sensory aid or assistive device?: *This is a required item.* Enter Y=Yes or N=No.

If yes, please list the type(s) needed: *This field will be required if the response is Y=Yes to “Is there an unmet need for a sensory aid or assistive device?”* If the response is N=No, this field will be disabled.

Notes & Summary: This section is provided for the assessor/case manager to record information related to the assessment. An entry in this section is optional. Press **Tab** to move to the next screen.

TAB D / ACTIVITIES OF DAILY LIVING SECTION SCREEN DEFINITIONS

ACTIVITIES OF DAILY LIVING SECTION

How much assistance do you need with the following tasks?

0 = No assistance needed 1 = Uses assistive device
 2 = Needs supervision or prompt
 3 = Needs assistance (but not total help)
 4 = Needs total assistance (cannot do at all)

| Activity | Assistance Level | Assistive Device Used |
|--------------------|------------------------|-------------------------------------|
| Bathing | 1 = Uses assistive ... | <input checked="" type="checkbox"/> |
| Dressing | 2 = Needs supervis... | <input checked="" type="checkbox"/> |
| Eating | 1 = Uses assistive ... | <input checked="" type="checkbox"/> |
| Using the bathroom | 1 = Uses assistive ... | <input checked="" type="checkbox"/> |
| Transferring | 0 = No assistance ... | <input type="checkbox"/> |
| Walking/Mobility | 1 = Uses assistive ... | <input checked="" type="checkbox"/> |

ASSESSOR/CM:
 Is there an unmet need for an ADL assistive device?

Type(s) needed:
 SHOWER CHAIR

How much assistance do you have with the following tasks?

3 = Always has assistance 2 = Has assistance most of the time 1 = Rarely has assistance 0 = No assistance needed 0 = Never has assistance

| Activity | Assistance Level |
|--------------------|-----------------------|
| Bathing | 2 = Has assistance... |
| Dressing | 2 = Has assistance... |
| Eating | 2 = Has assistance... |
| Using the bathroom | 2 = Has assistance... |
| Transferring | 0 = No assistance ... |
| Walking/Mobility | 2 = Has assistance... |

Notes & Summary

Count Score

How much assistance do you need with the following tasks?: Activities of Daily Living (ADL) are essential personal care tasks. Ask the client or informant what kind of help is needed with each of the activities. ***These are required items.*** If the response is “1=Uses assistive device” the system will automatically populate a check mark in the “Assistive Device Used” box. For all other options the “Assistive Device Used” box must be manually checked by clicking on the field with the mouse or by pressing the space bar. The help needed codes are:

- *0=No assistance needed:* Client needs no help to perform any part of the activity.
- *1=Uses assistive device:* Client needs an assistive device or technology to complete the activity.
- *2=Needs supervision or prompt:* Client needs reminders or supervision during the activity. No physical help needed to perform the activity.
- *3=Needs assistance (but not total help):* Client needs hands-on physical help during part of the activity.
- *4=Needs total assistance (cannot do at all):* Client cannot complete activity without total physical assistance.

ASSESSOR/CM: Is there an unmet need for an ADL assistive device?: ***This is a required item.*** Enter Y=Yes or N=No.

Type(s) needed: ***This field will be required if the response is Y=Yes to “Is there an unmet need for an ADL assistive device?”*** If the response is N=No, this field will be disabled.

How much assistance do you have with the following tasks?: This refers to the amount of help the client receives with each of the activities. Ask the client or informant what kind of help is received with each ADL activity. ***These are required items.*** The codes are:

- *3=Always has assistance:* Client always has an adequate level of help to meet their need in performing the activity.
- *2=Has assistance most of the time:* Client usually has the help they need to perform the activity, or more often than not they have an adequate level of help for the activity.

- *1=Rarely has assistance:* Client has unpredictable, unreliable or seldom has the amount of assistance they need to complete the activity.
- *0=No assistance needed/Never has assistance:* Client receives no help from others because they do not need any help to perform any part of the activity. Client has absolutely no assistance to complete the activity.

Notes & Summary: This section is provided for the assessor/case manager to record information related to the assessment. An entry in this section is optional. Press **Tab** to move to the next screen.

Count/Score: The system will automatically generate and populate a count and score based on the data entered on the Activities of Daily Living Section.

TAB E/ INSTRUMENTAL ACTIVITIES OF DAILY LIVING SECTION SCREEN DEFINITIONS

How much assistance do you need with the following tasks?: Instrumental Activities of Daily Living (IADL) are household and community tasks. Ask the client or informant what kind of help is needed with each of the activities. *These are required items.* If the response is “1=Uses assistive device” the system will automatically populate a check mark in the “Assistive Device Used” box. For all other options the “Assistive Device Used” box must be manually checked by clicking on the field with the mouse or by pressing the space bar. The help needed codes are:

- *0=No assistance needed:* Client needs no help to perform any part of the activity.
- *1=Uses assistive device:* Client needs an assistive device or technology to complete the activity.
- *2=Needs supervision or prompt:* Client needs reminders or supervision during the activity. No physical help needed to perform the activity.
- *3=Needs assistance (but not total help):* Client needs hands-on physical help during part of the activity.
- *4=Needs total assistance (cannot do at all):* Client cannot complete the activity without total physical assistance.

ASSESSOR/CM: Is there an unmet need for an IADL assistive device?: *This is a required item.* Enter Y=Yes or N=No.

Type(s) needed: *This field will be required if the response is Y=Yes to “Is there an unmet need for an IADL assistive device?”* If the response is N=No, this field will be disabled.

How much assistance do you have with the following tasks?: This refers to the amount of help the client receives with each of the activities. Ask the client or informant what kind of help is received with each IADL activity. **These are required items.** The codes are:

- 3=Always has assistance: Client always has an adequate level of help to meet their need in performing the activity.
- 2=Has assistance most of the time: Client usually has the help they need to perform the activity, or more often than not they have an adequate level of help for the activity.
- 1=Rarely has assistance: Client has unpredictable, unreliable or seldom has the amount of assistance they need to complete the activity.
- 0=No assistance needed/Never has assistance: Client receives no help from others because they do not need any help to perform any part of the activity. Client has absolutely no assistance to complete the activity.

Notes & Summary: This section is provided for the assessor/case manager to record information related to the assessment. An entry in this section is optional. Press **Tab** to move to the next screen.

Count/Score: The system will automatically generate and populate a count and score based on the data entered on the Instrumental Activities of Daily Living Section.

TAB F / HEALTH CONDITIONS & THERAPIES SECTION SCREEN DEFINITIONS

| Past | Current | Health Conditions | |
|-------------------------------------|-------------------------------------|-------------------------|------------------------------|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Acid reflux/GERD | |
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Allergies | list: POLLEN, INSECTS, GRASS |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Amputation | site: LEFT THUMB |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Anemia | L = Mild |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Arthritis | type: OSTEO |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Bed sore(s) (Decubitus) | location: RIGHT HIP |
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Blood pressure | H = High |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Broken bones/fractures | location: LEFT HIP |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Cancer | site: SKIN CANCER ON FACE |
| <input type="checkbox"/> | <input type="checkbox"/> | Chlamydia | |
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Cholesterol | H = High |
| <input type="checkbox"/> | <input type="checkbox"/> | Dehydration | |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Diabetes | N = NIDDM |
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Dizziness | O = Occasional |
| <input type="checkbox"/> | <input type="checkbox"/> | Fibromyalgia | |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Gallbladder | R = Removal |

ASSESSOR/CM: Indicate whether a problem occurred in the past by marking the first box and when a problem is current by marking the second box. Please mark all that apply.: Ask the client the question

“Have you been told by a physician that you have any of the following health conditions?” and check the appropriate health conditions boxes. Remember to mark past and current as appropriate. **Note: These items are optional, but each reported condition must be checked. The assessor/case manager can obtain this information from sources other than the client.**

The following health conditions, if checked past and/or current, will have an additional required field:

- **Allergies:** Enter the allergies in the text box provided.
- **Amputation:** Enter the site(s) of the amputation(s) in the text box provided.
- **Anemia:** Select the type of anemia. The codes are: *S=Severe; M=Moderate; L=Mild.*
- **Arthritis:** Enter the type(s) of arthritis in the text box provided.
- **Bed sore(s) (Decubitus):** Enter the location(s) in the text box provided.
- **Blood pressure:** Select the type of blood pressure. The codes are: *H=High; L=Low.*
- **Broken bones/fractures:** Enter the location(s) in the text box provided.
- **Cancer:** Enter the site(s) of cancer in the text box provided.
- **Cholesterol:** Select the type of cholesterol problem. The codes are: *H=High; L=Low.*
- **Diabetes:** Select the type of diabetes. The codes are: *I=IDDM; N=NIDDM.*
- **Dizziness:** Select the frequency of dizziness. The codes are: *C=Constant; F=Frequent; O=Occasional; R=Rare.*
- **Gallbladder:** Select the status of the gallbladder condition. The codes are: *R=Removal; P=Problems.*

| HEALTH CONDITIONS & THERAPIES SECTION ~ continued ~ | | |
|---|-------------------------------------|--|
| Past | Current | Health Conditions |
| <input type="checkbox"/> | <input type="checkbox"/> | Gonorrhea |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Heart problems C = CHF |
| <input type="checkbox"/> | <input type="checkbox"/> | Head, brain, or spinal cord trauma |
| <input type="checkbox"/> | <input type="checkbox"/> | Herpes |
| <input type="checkbox"/> | <input type="checkbox"/> | Human Immunodeficiency Virus (HIV) |
| <input type="checkbox"/> | <input type="checkbox"/> | Human Papillomavirus (HPV)/Genital warts |
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Incontinence, Bladder O = Occasional |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Incontinence, Bowel R = Rare |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Kidney problems or renal disease End Stage N |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Liver problems C = Cirrhosis |
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Lung problems C = COPD |
| <input type="checkbox"/> | <input type="checkbox"/> | Lupus |
| <input type="checkbox"/> | <input type="checkbox"/> | Multiple Sclerosis |
| <input type="checkbox"/> | <input type="checkbox"/> | Muscular Dystrophy |
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Osteoporosis |
| <input type="checkbox"/> | <input type="checkbox"/> | Parkinson's disease |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Paralysis L = Local Site LEFT ARM |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Seizure disorder, type & frequency GRAND-MAL/ONCE A YEAR |

- **Heart problems:** Select the heart problem. The codes are: *P=Pacemaker; C=CHF; M=MI; O=Other.*
- **Incontinence, Bladder:** Select the frequency of the bladder incontinence. The codes are: *C=Constant; F=Frequent; O=Occasional; R=Rare.*
- **Incontinence, Bowel:** Select the frequency of the bowel incontinence. The codes are: *C=Constant; F=Frequent; O=Occasional; R=Rare.*
- **Kidney problems or renal disease:** Enter Y=Yes or N=No in the box labeled “End Stage.”
- **Liver problems:** Select the type of liver problem. The codes are: *C=Cirrhosis; H=Hepatitis.*

- **Lung problems:** Select the type of lung problem. The codes are: *A=Asthma; E=Emphysema; P=Pneumonia; C=COPD.*
- **Paralysis:** Select the type of paralysis. The codes are: *F=Full; P=Partial; L=Local.* **Note: If the paralysis type is “L=Local” an entry is required for Site.** Enter the site of the local paralysis in the text box provided.
- **Seizure disorder, type & frequency:** Enter the seizure disorder type and frequency in the text box provided.

- **Thyroid problems/Graves/Myxedema:** Select the type of thyroid problem. The codes are: *E=Hyper; O=Hypo.*
- **Tumor(s), site:** Enter the site of the tumor(s) in the text box provided.
- **Ulcer(s), site:** Enter the site of the ulcer(s) in the text box provided.
- **Other:** Enter a **Description** of the other health condition in the text box provided.

In addition to the past/current health conditions of the client, this screen also captures the frequency of current therapies or specialty care provided to the client. **These are required items.** The frequency codes are:

- *N=N/A or None*
- *M=Monthly*
- *W=Weekly*
- *S=Several times a week*
- *D=Daily*
- *T=Several times a day*

The following current therapies or specialty care types will have an additional required field if the frequency is not N=N/A or None:

- **Catheter:** Enter the catheter **type** in the text box provided.
- **Ostomy:** Enter the ostomy **site** in the text box provided.

This screen is a continuation of the frequency of current therapies or specialty care provided to the client. **These are required items.** The frequency codes are the same as the ones previously listed.

The current therapy/specialty care listed below will have an additional required field if the response is not N=NA or None:

- **Other therapy:** Enter the **type** of other therapy in the text box provided.

Notes & Summary: This section is provided for the assessor/case manager to record information related to the assessment. An entry in this section is optional. Press **Tab** to move to the next screen.

TAB G / MENTAL HEALTH SECTION SCREEN DEFINITIONS

ASSESSOR/CM: If the client is not answering questions, check: If the client is not answering the questions on this screen, use the mouse or space bar to enter a check mark in the box provided. Once the box is checked,

all questions on this screen will become disabled. **Note:** *This item is optional but must be checked if the client is not answering the questions on this screen.*

How satisfied are you with your overall quality of life?: *This item is required if the client is answering the questions.* The codes are:

- V=Very Satisfied
- S=Satisfied
- N=Neither satisfied nor dissatisfied
- D=Dissatisfied
- P=Very Dissatisfied

Thinking about how you were this time last year, how do you feel about the way things are now?: *This item is required if the client is answering the questions.* The codes are:

- M=Much Better
- B=Better
- A=About the same
- W=Worse
- U=Much Worse

Over the past two weeks, how often have you been bothered by any of the following problems?: *These items are required if the client is answering the questions.* Ask the client about the presence and frequency of each of the nine symptoms of depression listed on the screen (“Little interest or pleasure in doing things” to “Thoughts that you would be better off dead or of hurting yourself in some way”). The codes are:

- N=Not at all
- S=Several days
- M=More than half the days
- E=Nearly every day

How difficult have these problems made it for you in your daily life activities and interactions with others?: This item will be disabled if all responses to the nine symptoms of depression are “N=Not at all.” ***This item will be required if any response is anything other than “N=Not at all.”*** The codes are:

- N=Not difficult at all
- S=Somewhat difficult
- V=Very difficult
- E=Extremely difficult

Are you currently working with a professional to help with this condition?: This question refers to the presence and frequency of the nine symptoms of depression. This item will be disabled if all responses to the nine symptoms of depression are “N=Not at all.” ***This item will be required if any response is anything other than “N=Not at all.”*** Enter Y=Yes or N=No. If the response is Y=Yes, skip to the question “Have you been diagnosed with a mental condition or psychiatric disorder by a health professional?”

Have you or do you plan to discuss these issues with a professional?: This item will be disabled if all responses to the nine symptoms of depression are “N=Not at all” or if the response to “Are you currently working with a professional to help with this condition?” is Y=Yes. ***This item will be required if any response to the nine symptoms of depression is anything other than “N=Not at all” or if the response to “Are you currently working with a professional to help with this condition?” is N=No.*** Enter Y=Yes or N=No. If the response is Y=Yes, skip to the question “Have you been diagnosed with a mental condition or psychiatric disorder by a health professional?”

Do you talk about any of these issues with anyone else you know?: This item will be disabled if all responses to the nine symptoms of depression are “N=Not at all” or if the response to “Are you currently working with a professional to help with this condition?” is Y=Yes. **This item will be required if any response to the nine symptoms of depression is anything other than “N=Not at all” or if the response to “Have you or do you plan to discuss these issues with a professional?” is N=No.** Enter Y=Yes or N=No. **Note:** “Anyone else” refers to another person, such as a family member, friend, clergy, neighbor, etc.

Have you been diagnosed with a mental condition or psychiatric disorder by a health professional?: *This is a required item.* Enter Y=Yes or N=No.

List conditions: *This item will be required if the response is Y=Yes to “Have you been diagnosed with a mental condition or psychiatric disorder by a health professional?”* Enter the conditions in the text box provided. This item will be disabled if the response is N=No.

ASSESSOR/CM: Indicate whether you noticed problem behaviors or any recurring problems have been reported to you by the client, caregiver, in-home worker, family, or staff, and note the frequency of occurrence in the last month. Please provide details in the Notes & Summary section, below: There are ten problem behaviors listed on the screen. Record the reported or observed frequency of each behavior. **These items are required.** The frequency codes are:

- N=Not at all
- O=Once
- S=Several days
- M=More than half the days
- E=Nearly every day

If the response to the problem behavior of “Other” is not “N=Not at all,” the **Description** is required in the text box provided.

ASSESSOR/CM: Does client need supervision?: *This is a required item.* Enter Y=Yes or N=No as to whether the client needs supervision for any reason.

Notes & Summary: This section is provided for the assessor/case manager to record information related to the assessment. An entry in this section is optional. Press **Tab** to move to the next screen.

TAB H / RESIDENTIAL LIVING ENVIRONMENT SECTION SCREEN DEFINITIONS

RESIDENTIAL LIVING ENVIRONMENT SECTION
ASSESSOR/CM: If information about the client's residence is reported to you, without your observation, check here and all that apply below. If residence issues are directly observed by you, use the list below to observe and check off the specific issue(s) with the potential for safety or accessibility problems.

Check all that apply:

| | | | | | | |
|-------------------------|--|---|--|--|----------------------------------|---------------------------------|
| Exterior issues(s) | <input type="checkbox"/> Road | <input checked="" type="checkbox"/> Driveway | <input checked="" type="checkbox"/> Yard | <input checked="" type="checkbox"/> Ramp | <input type="checkbox"/> Windows | <input type="checkbox"/> Roof |
| Interior issues(s) | <input type="checkbox"/> Doors | <input type="checkbox"/> Stairs | <input checked="" type="checkbox"/> Floor | <input type="checkbox"/> Walls | <input type="checkbox"/> Ceiling | <input type="checkbox"/> Lights |
| Restroom issues(s) | <input type="checkbox"/> Door | <input checked="" type="checkbox"/> Handrails | <input type="checkbox"/> Tub | <input type="checkbox"/> Shower | <input type="checkbox"/> Toilet | |
| Utility issues(s) | | <input type="checkbox"/> Plumbing | <input checked="" type="checkbox"/> Water | <input type="checkbox"/> Electric | <input type="checkbox"/> Gas | |
| Furniture issues(s) | | <input type="checkbox"/> Chair | <input checked="" type="checkbox"/> Couch | <input type="checkbox"/> Bed | <input type="checkbox"/> Table | |
| Telephone issues(s) | <input type="checkbox"/> Broken | <input type="checkbox"/> No Phone | <input type="checkbox"/> Disconnected/No service | | | |
| Temperature issues(s) | <input checked="" type="checkbox"/> Heat | <input checked="" type="checkbox"/> Smoke detector | <input type="checkbox"/> Air conditioning | | | |
| Unsanitary condition(s) | <input checked="" type="checkbox"/> Odors | <input checked="" type="checkbox"/> Insects | <input type="checkbox"/> Rodents | | | |
| | <input type="checkbox"/> Accumulating items or garbage | <input type="checkbox"/> Floors or pathways cluttered | | | | |

Other hazards

ASSESSOR/CM: If information about the client's residence is reported to you, without your observation, check here and all that apply below. If residence issues are directly observed by you, use the list below to observe and check off the specific issue(s) with the potential for safety or accessibility problems: Use the mouse to enter a check mark in the box if information about the client's residence is not directly observed by the assessor/case manager.

Check all that apply: Tab through the items listed and use the mouse or space bar to enter a check mark in the appropriate boxes. **These are optional items but should be checked when appropriate.**

Other hazards: If there are hazards other than the ones listed, enter the information in the text box provided. **This is an optional item, but information should be entered when appropriate.** Press **Tab** to move to the next screen.

Is there a pet in your home or yard?: *This is a required item.* Ask the client if they have a pet. Enter Y=Yes or N=No.

Please specify the type and size: *If the response is Y=Yes to “Is there a pet in your home or yard?” this item will be required.* Enter the information in the text box provided. If the response is N=No, this item will be disabled.

ASSESSOR/CM: Pet comments/concerns: This is an optional item. However, if there are any concerns about the pet, they should be noted in this text box.

ASSESSOR/CM: Please rate the level of risk in the client’s residential living environment: *This is a required item.* Based on the information gathered under Tabs H, select the level of risk. The codes are:

- 0=No or low risk: Client’s residential living environment appears to be safe and accessible.
- 5=Minor risk: One or more aspects are substandard and should be addressed in the following year to avoid potential injury.
- 15=Moderate risk: Major aspects are substandard and must be addressed in the next few months to remain in home safely.
- 25=High risk: Serious hazards are present. Client must change dwellings or immediate corrective action must be taken to correct the issues noted.

Notes & Summary: This section is provided for the assessor/case manager to record information related to the assessment. An entry in this section is optional. Press **Tab** to move to the next screen.

TAB I / NUTRITION SECTION SCREEN DEFINITIONS

The screenshot shows a software interface for a nutrition assessment. At the top, there is a row of letters from A to L, with 'I' highlighted. Below this is the 'NUTRITION SECTION' header. The first question is 'Do you usually eat at least two meals a day?' with a 'Y' in a box. Below this is a prompt: 'On a typical day, what types of food do you eat for:'. There are four text boxes for 'Breakfast', 'Lunch', 'Dinner', and 'Snacks'. The responses are: 'EGGS, BACON, TOAST, CEREAL', 'SANDWICH, SALAD, FRUIT', 'MEAT, 2 VEGETABLES, BREAD, DESSERT', and 'COOKIES, ICE CREAM, POPCORN, PEANUTS'. Each text box has navigation arrows on the right. The next question is 'Do you eat alone most of the time?' with a 'Y' in a box. This is followed by 'How many cups of water, juice, or other liquid do you drink daily?' with '8' in a box. Then 'Do you ever limit the amount of fluids you drink?' with a 'Y' in a box. Below that is 'Why and when do you limit the fluids you intake?' with 'SOMETIMES JUST NOT THIRSTY' in a box. The final two questions are 'On average, how many servings of fruits and vegetables do you eat every day?' with '3' in a box, and 'On average, how many servings of dairy products do you have every day?' with '3' in a box.

Do you usually eat at least two meals a day?: *This is a required item.* Enter Y=Yes or N=No.

Breakfast, Lunch, Dinner, Snacks: *These items are required.* Ask the client what foods they eat on a typical day. Record the responses in the appropriate text box. Use **Tab** to move from text box to text box. **Enter** will move the cursor down within the text box. You can use the arrows on the right side of the text box to scroll up and down within the text box once data has been entered.

Do you eat alone most of the time?: *This is a required item.* Enter Y=Yes or N=No.

How many cups of water, juice, or other liquid do you drink daily?: *This is a required item.* Enter a numeric response in the box provided.

Do you ever limit the amount of fluids you drink?: This item will be disabled if the response to “*How many cups of water, juice, or other liquid do you drink daily?*” is more than eight. *This item will be required if the response is eight or less.* Enter Y=Yes or N=No. If the response is N=No, skip to the question “*On average, how many servings of fruits and vegetables do you eat every day?*”

Why and when do you limit the fluids you intake?: This item will be disabled if the response to “*How many cups of water, juice, or other liquid do you drink daily?*” is more than eight or if the response is N=No to “*Do you ever limit the amount of fluids you drink?*” *This item is required if the response is Y=Yes to “Do you ever limit the amount of fluids you drink?”* Enter the client’s response in the text box provided.

On average, how many servings of fruits and vegetables do you eat every day?: *This is a required item.* Enter a numeric response in the box provided.

On average, how many servings of dairy products do you have every day?: *This is a required item.* Enter a numeric response in the box provided.

NUTRITION SECTION ~ continued ~

Estimate your current height and weight: Height Feet Inches Weight

Have you lost or gained weight in the last few months?

How much? Was the weight loss/gain on purpose (i.e. dieting or trying to lose/gain weight)?

Are you on a special diet(s) for medical reasons? Check all that apply:

Calorie supplement Low fat/cholesterol Low salt/sodium Low sugar/carb Other

How long have you been on this diet?

Why are you on this diet?

Do you have any problems that make it hard for you to chew or swallow? Check all that apply:

Mouth/tooth/dentures Pain or difficulty swallowing Taste Nausea

Saliva production Other, describe

What working appliances do you have for storing/preparing food?

None Refrigerator Microwave Toaster/Oven Stove

Other

Notes & Summary

Nutrition Score

Estimate your current height and weight: Enter the client’s estimated height in the boxes labeled **Feet** and **Inches**. Enter the client’s estimated weight in the box labeled **Weight**. *These are required items and require a numeric entry.*

Have you lost or gained weight in the last few months?: *This is a required item.* The codes are:

- Y=Yes
- N=No
- U=Unsure

How much?: *This is a required item if the response is Y=Yes to “Have you lost or gained weight in the last few months?”* If the response to the referenced question is N=No or U=Unsure, this item will be disabled. The codes are:

- L=Less than five pounds
- 5=Five to ten pounds
- 10=Ten pounds or more

Was the weight loss/gain on purpose (i.e. dieting or trying to lose/gain weight)?: *This is a required item if the response to “Have you lost or gained weight in the last few months?” is Y=Yes.* Enter Y=Yes or N=No. If the response to the referenced question is N=No or U=Unsure, the item will be disabled.

Are you on a special diet(s) for medical reasons?: Enter Y=Yes or N=No. *If the response is Y=Yes, check all special diets that apply to the client.* The choices are: *Calorie supplement; Low fat/cholesterol; Low salt/sodium; Low sugar/carb; and Other.* Use the mouse or space bar to enter a check mark in the appropriate box or boxes. At least one special diet is required to be checked. *Note: If the response is N=No, the special diet types will be disabled.*

How long have you been on this diet?: *This item will be required if the response to “Are you on a special diet(s) for medical reasons?” is Y=Yes.* Enter the response in the text box provided. If the response to the referenced question is N=No, this item will be disabled.

Why are you on this diet?: *This item will be required if the response to “Are you on a special diet(s) for medical reasons?” is Y=Yes.* Enter the response in the text box provided. If the response to the referenced question is N=No, this item will be disabled.

Do you have any problems that make it hard for you to chew or swallow?: *This is a required item.* Enter Y=Yes or N=No. *If the response is Y=Yes, check all problems that apply to the client.* The choices are: *Mouth/tooth/dentures; Pain or difficulty swallowing; Taste; Nausea; Saliva production; and Other, describe.* Use the mouse or space bar to enter a check mark in the appropriate box or boxes. At least one problem is required to be checked. If “Other” is checked, the description is required. Enter the description in the text box provided. *Note: If the response is N=No, the problem boxes will be disabled.*

What working appliances do you have for storing/preparing food?: *This is a required item.* The choices are: *None; Refrigerator; Microwave; Toaster/Oven; Stove; and Other.* If “None” is checked, all other choices will be disabled. *If “Other” is checked an entry will be required in the text box provided.*

Notes & Summary: This section is provided for the assessor/case manager to record information related to the assessment. An entry in this section is optional. Press **Tab** to move to the next screen.

TAB J / MEDICATIONS & SUBSTANCE USE SECTION SCREEN DEFINITIONS

Do you take three or more prescribed or over-the-counter medications a day?: *This is a required item.* Enter Y=Yes or N=No.

ASSESSOR/CM: Check the original bottles in the medicine cabinet, nightstand, and refrigerator, as well as non-prescription drugs, over-the-counter drugs, sleep aids, herbal remedies, vitamins, and supplements: The assessor/case manager is to ask the client the following question: “*May I see all the medications you take, both regularly and those taken only as needed? Also, please show me all types of over-the-counter medications and any supplements that you regularly take.*” After asking this question and viewing the medications, the assessor/case manager may enter the medications in the text boxes provided. **Note:** *The medication information boxes are optional items.*

Populate List from Prior Assessment: Click on this button to populate the drop-down box with prior assessment dates. The assessor/case manager may then select a prior assessment date from the drop-down box. The medications entered for that assessment will populate the medication fields automatically. The information may be updated as needed. **Note:** *If a client has multiple assessments with medications, the assessor/case manager may copy from each assessment and then remove any medications that are no longer taken by the client.*

Add/Remove: Select **Add** to enter medication information. Once Add is selected the medication boxes will be highlighted and information may be entered. To remove a medication, click on the medication to be removed, and it will be highlighted. Select **Remove** and the medication information will be deleted. When you answer Y=Yes or N=No to the question “*Do you take three or more prescribed or over-the-counter medications a day?*” you can press **Enter** or **Tab** to move the cursor to Add. Press Enter or Tab again and it highlights the first row of medications boxes. Once you enter all of the information for that medication, press Enter or Tab to take you back to Add, and the process starts over again. Once you have entered all of the medications, you can use your mouse to click on the next Assessment tab or you can press Tab three times, and it takes you to the next Assessment tab.

Medication name/Prescribed dose/Prescribed Frequency/Taken as prescribed?/Administration method/Prescriber name/Reason not taken as prescribed: These items are optional. Enter the information in the text boxes provided. “Taken as prescribed?” requires an entry of Y=Yes or N=No. ***If the response is N=No, enter the reason the medication is not taken as prescribed in the appropriate text box.*** If the response is Y=Yes, an entry is not needed in this field.

A A A A B C C D E F F F F G G H H I I J J K L L L

MEDICATIONS & SUBSTANCE USE SECTION ~ continued ~

Please list the doctors you usually go to for treatment and medications: Add Remove

| Physician Name | Physician Phone | Date Last Visit |
|--|-----------------|-----------------|
| DR STEVE JONE | | |
| Reason for last visit: ANNUAL CHECK UP | | |
| DR MIKE SMITH | 850-234-1234 | 06/12/2013 |
| Reason for last visit: | | |
| | | |
| Reason for last visit: | | |
| | | |
| Reason for last visit: | | |

What pharmacies or drug stores do you use?

ADAMS DRUGS AND WALMART PHARMACY

Are you able to tell the difference between your pills (i.e., colors, shapes, print)? Y = Yes N = No

ASSESSOR/CM: Are the client's medications managed by a facility/caregiver? N = No Y = Yes

ASSESSOR/CM: In your opinion, are the client's medications managed properly? Y = Yes N = No

ASSESSOR/CM: Should client have a new medication review by a doctor or pharmacist? N = No Y = Yes

Add/Remove: Select **Add** to enter physician information. Once Add is selected the physician boxes will be highlighted and information may be entered. To remove a physician, click on the physician to be removed, and it will be highlighted. Select **Remove** and the physician information will be deleted.

Physician Name/ Physician Phone/ Date Last Visit/Reason for last visit: The assessor/case manager is to ask the client to list the doctors they go to for treatment and medications. These items are optional. You can enter as much or as little information as you have to save the assessment. Enter the information in the text boxes provided for each physician. Use **Enter** to navigate through the physician fields if entering more than one physician. Once you complete the information for a physician, pressing Enter will take you to Add and then to the next row of physician information boxes. Once you have entered all physicians press Tab three times to advance to the next question. Use **Tab** to navigate through the physician fields if entering only one physician. Once you complete the information for a physician, pressing Tab will take you to Add, Remove and then to the question “*What pharmacies or drug stores do you use?*”

What pharmacies or drug stores do you use?: This item is optional. Enter the information in the text box provided.

Are you able to tell the difference between your pills (i.e., colors, shapes, print)?: *This item is required.* The codes are:

- *N=No:* Client cannot tell the difference between the pills they take.
- *Y=Yes:* Client can tell the difference between the pills they take.
- *NA=N/A:* Client does not take any medication.

ASSESSOR/CM: Are the client’s medications managed by a facility/caregiver?: *This item is required.* If a client resides in a facility where all medications are administered and reviewed by the facility staff, the response would be Y=Yes. The codes are:

- *N=No:* Medications are self-managed and not managed by a facility or caregiver.
- *Y=Yes:* Medications are managed by a facility or caregiver.

- NA=N/A: Client takes no medication to manage.

ASSESSOR/CM: In your opinion, are the client’s medications managed properly?: *This is a required item.* The codes are:

- N=No: Client is non-compliant with medications, cannot differentiate medications and/or has no medication awareness. *Note: The response would be N=No if a facility or caregiver is not properly following the prescribed medication regimen.*
- Y=Yes: Client, caregiver, or facility is well aware of all medications and follows the medication regimen appropriately.
- NA=N/A: Client does not take any medication or the caregiver or facility refused to provide the information.

ASSESSOR/CM: Should client have a new medication review by a doctor or pharmacist?: *This is a required item.* The codes are:

- N=No: Client does not require a new medication review. Client’s medications are not complex and client is managing all medications appropriately.
- Y=Yes: Client requires a new medication review. Client’s medications are complex, or client is taking many medications of the same type, or the client is inappropriately using medications.
- N=N/A: Client has no new medication or does not take any medication.

How many days in a typical week do you drink alcohol?: *This is a required item.* The codes are:

- R=Refused
- N=None
- 1=One to two
- 3=Three to five
- 6=Six to Seven

On the days when you have some alcohol, about how many drinks do you usually have?: If the response to the question “How many days in a typical week do you drink alcohol?” is R=Refused or N=None, this item will be disabled. If the item is not disabled, the codes are:

- 1=One to two

- 3=Three to five
- 6=Six or more

About how many times in the last month have you had four or more drinks in a day?: If the response to the question “*How many days in a typical week do you drink alcohol?*” is R=Refused or N=None, this item will be disabled. This item will also be disabled if the response to “*On the days when you have some alcohol, about how many drinks do you usually have?*” is 1=One to two. If the item is not disabled, the codes are:

- N=None
- 1=One to two
- 3=Three to five
- 6=Six or more

Have you used any form of tobacco in the last six months?: *This is a required item.* Enter Y=Yes or N=No.

What type(s): *This is a required item if the response to “Have you used any form of tobacco in the last six months?” is Y=Yes.* The choices are: *Chewing tobacco; Cigarettes; Cigars; Snuff; and Other.* Use the mouse or space bar to enter a check mark in the appropriate box or boxes. At least one type is required to be checked. *Note: If the response is N=No, the type boxes will be disabled.*

About how many times do you use tobacco each day?: *This is a required item if the response to “Have you used any form of tobacco in the last six months?” is Y=Yes.* If the response to the referenced question is N=No, this field will be disabled. The codes are:

- 1=One to three
- 4=Four to ten
- 11=Eleven or more

Do you regularly use drugs other than those required for medical reasons (i.e., controlled substances or street drugs)?: *This is a required item.* The codes are:

- R=Refused
- N=No
- Y=Yes

If yes, what type(s): *This is a required item if the response to “Do you regularly use drugs other than those required for medical reasons (i.e., controlled substances or street drugs)?” is Y=Yes.* Enter the types in the text box provided. If the response to the referenced question is R=Refused or N=No, this field will be disabled.

About how often do you use these?: *This is a required item if the response to “Do you regularly use drugs other than those required for medical reasons (i.e., controlled substances or street drugs)?” is Y=Yes.* If the response to the referenced question is R=Refused or N=No, this field will be disabled. The codes are:

- R=Rarely
- M=Less than twice a month
- W=Less than once a week
- SW=Several times a week
- D=Daily
- SD=Several times a day

How long have you been using that often?: *This is a required item if the response to “Do you regularly use drugs other than those required for medical reasons (i.e., controlled substances or street drugs)?” is Y=Yes.* If the response to the referenced question is R=Refused or N=No, this field will be disabled. The codes are:

- L=Less than a year

➤ 1=One or more years

Notes & Summary: This section is provided for the assessor/case manager to record information related to the assessment. An entry in this section is optional. Press **Tab** to move to the next screen.

TAB K / SOCIAL RESOURCES SECTION SCREEN DEFINITIONS

SOCIAL RESOURCES SECTION

If needed, is there someone (besides the primary caregiver) who could help you?

Do I have your permission to contact this person, if you need help?

First Name: JANE Last Name: DOE Relationship to client: OT = OTHER NON-RELATIVE Telephone Number: [] [] []

About how often do you: D = Once a day 2 = Two to six times a week W = Once a week
S = Several times a month E = Every few months Y = A few times a year N = Never

Talk to friends, relatives, or others (by phone, computer, or other means)? W = Once a week

Spend time with someone who does not live with you? S = Several times a month

Participate in activities outside the home that interest you? E = Every few months

Notes & Summary

If needed, is there someone (besides the primary caregiver) who could help you?: *This is a required item.* Enter Y=Yes or N=No.

Do I have your permission to contact this person, if you need help?: *This is a required item if the response is Y=Yes to “If needed, is there someone (besides the primary caregiver) who could help you?”* Enter Y=Yes or N=No. If the response to the referenced question is N=No, this field will be disabled.

First Name/Last Name: *These are required items if the response is Y=Yes to “Do I have your permission to contact this person, if you need help?”* Enter the contact person’s first and last name in the text boxes provided. These fields will be disabled if the response to the referenced question is N=No.

Relationship to client: *This is a required item if the response is Y=Yes to “Do I have your permission to contact this person, if you need help?”* If the response is N=No, this item will be disabled. The codes are:

- DA=Daughter/In-Law
- HU=Husband
- OR=Other Relative
- OT=Other Non-Relative
- PA=Parent
- PT=Partner
- SO=Son/In-Law
- WF=Wife

Telephone Number: Enter the telephone number for the contact person designated by the client. The phone number includes the area code and the seven-digit phone number. This is an optional item.

Talk to friends, relatives, or others (by phone, computer, or other means)?: *This is a required item.* The assessor/case manager is to ask the client about how often they talk to others and then record the frequency. If the client's response is not covered in the code options, select the one that is closest. The codes are:

- *D=Once a day*
- *2=Two to six times a week*
- *W=Once a week*
- *S=Several times a month*
- *E=Every few months*
- *Y=A few times a year*
- *N=Never*

Spend time with someone who does not live with you?: *This is a required item.* The assessor/case manager is to ask the client about how often they spend time with others and then record the frequency. If the client's response is not covered in the code options, select the one that is closest. The codes are:

- *D=Once a day*
- *2=Two to six times a week*
- *W=Once a week*
- *S=Several times a month*
- *E=Every few months*
- *Y=A few times a year*
- *N=Never*

Participate in activities outside the home that interest you?: *This is a required item.* The assessor/case manager is to ask the client about how often they participate in activities outside the home and then record the frequency. If the client's response is not covered in the code options, select the one that is closest. The codes are:

- *D=Once a day*
- *2=Two to six times a week*
- *W=Once a week*
- *S=Several times a month*
- *E=Every few months*
- *Y=A few times a year*
- *N=Never*

Notes & Summary: This section is provided for the assessor/case manager to record information related to the assessment. An entry in this section is optional. Press **Tab** to move to the next screen.

TAB L / CAREGIVER SECTION SCREEN DEFINITIONS

The screenshot shows a web form titled "CAREGIVER SECTION". At the top, there is a navigation bar with letters A through L. The form contains the following fields and options:

- ASSESSOR/CM: HCE Caregiver?** If yes, check:
- Caregiver full name:**
 - First name:** TOM
 - M.I. Last name:** J SMITH
 - Caregiver date of birth:** 05/03/1956
- ASSESSOR/CM: Caregiver identification number:** TJS050356
- Caregiver sex:** M = MALE
- Caregiver race: [Mark all that apply]:**
 - White
 - Black/African American
 - Asian
 - American Indian/ Alaska Native
 - Native Hawaiian/ Pacific Islander
 - Other
- Caregiver ethnicity:** O = OTHER
- Caregiver primary language:** EN = ENGLISH
- Other Primary Language Description:** (empty field)
- Caregiver relationship to client:** OR = OTHER RELATIVE
- Caregiver address:**
 - Street:** 345 SOUTH STREET
 - Street con't.:** (empty field)
 - ZIP:** 32444
 - ZIP 4:** (empty field)
 - City:** LYNN HAVEN
 - State:** FL
- Caregiver phone number:** (three empty input boxes)
- Do you work outside the home?** Y
- Full-time / Part-time:** P = Part-time

ASSESSOR/CM: HCE Caregiver? If yes, check: If the primary caregiver is also an HCE Caregiver, use the mouse to enter a check mark in the box provided. **This item is optional but should be checked when appropriate.** If the caregiver is not an HCE Caregiver, leave the box blank. *Note: HCE=Home Care for the Elderly.*

Caregiver full name: First name/M.I./Last name: Enter the caregiver’s first name and last name. *These two items are required.* Enter the middle initial if provided; however this field is optional. If the caregiver does not have a middle initial, leave the field blank.

Caregiver date of birth: Enter the month, day, and year of the client’s birth. This will be a two-digit month and day and a four-digit calendar year. *This is a required item.*

ASSESSOR/CM: Caregiver identification number: This number is a unique identifier for the caregiver. It is comprised of the caregiver’s initials (first, middle, and last) and date of birth (mm/dd/yy). Enter the nine-digit caregiver identification number in the box provided. See the example on the screen print above. *This is a required item.* If the caregiver does not have a middle initial use the letter “X.” For example, if the caregiver’s name is Jane Doe and the date of birth is 050167, you would enter JXD050167.

Caregiver sex: Enter the caregiver’s sex. *This is a required item.* The codes are:

- F=Female
- M=Male

Caregiver race: A caregiver can have multiple races. Check the appropriate box or boxes by using the mouse or space bar. *This is a required item.* The options are:

- White
- Black/African American

- *Asian*
- *American Indian/Alaska Native*
- *Native Hawaiian/Pacific Islander*
- *Other*

Caregiver ethnicity: Enter the caregiver’s ethnicity. *This is a required item.* The codes are:

- *H=Hispanic/Latino*
- *O=Other*

Caregiver primary language: Enter the primary language spoken by the caregiver. *This is a required item.*

The codes are:

- *EN=English*
- *IT=Italian*
- *KO=Korean*
- *OT=Other Language*
- *PO=Polish*
- *RU=Russian*
- *SP=Spanish*
- *TG=Tagalog*
- *VI=Vietnamese*
- *YI=Yiddish*

Other Primary Language Description: Enter the language spoken by the caregiver that is not in the list of codes for Primary Language. *This is a required item if “Other” is the Primary Language.*

Caregiver relationship to client: *This is a required item.* The codes are:

- *DA=Daughter/In-Law*
- *HU=Husband*
- *OR=Other Relative*
- *OT=Other Non-Relative*
- *PA=Parent*
- *PT=Partner*
- *SO=Son/In-Law*
- *WF=Wife*

Caregiver address: Street, Zip, City, State: Enter the street and zip code for the address of the caregiver. The city and state will automatically be populated based on the zip code entered. *These are required items.*

Street Con’t: Enter the building number or suite number. Leave blank if there is no building number or suite number. This item is optional.

Zip 4: The last four digits that determine a more specific location within a given zip code. This is an optional item.

Caregiver phone number: Enter the telephone number for the caregiver. The phone number includes the area code and the seven-digit phone number. This is an optional item.

Do you work outside the home?: *This is a required item.* Enter Y=Yes or N=No.

Full-time/Part-time: *This is a required item if the response is Y=Yes to “Do you work outside the home?”* If the response is N=No, this item will be disabled. The codes are:

- F=Full-time
- P=Part-time

The screenshot shows a web-based form titled "CAREGIVER SECTION -- continued --". At the top, there is a navigation bar with letters A through L. The form contains the following sections:

- Do you currently have anyone to assist you with providing care?** (Dropdown menu with "N" selected)
- Do I have your permission to contact this person if for some reason you are unable to provide care for the client?** (Checkbox)
- If yes, please provide the name and relationship to client:**
 - Fields for Contact first name, Contact last name, Telephone number, and Relationship to client.
- How long have you been providing care for this client?** (Dropdown menu with "0 = Two or more years" selected)
- How many hours per week do you currently spend providing care for the client?** (Text input field with "56" entered)
- Do you need training or assistance in performing caregiving tasks?** (Dropdown menu with "N" selected)
- If yes, please describe** (Text area)
- How much of a mental or emotional strain is it on you to provide care for the client?** (Dropdown menu with "S = Some strain" selected)
- Considering other aspects of your life, please rate the level of difficulty in your:**
 - Legend: N = No difficulty, L = Little difficulty, S = Some difficulty, M = Moderate difficulty, A = A lot of difficulty.
 - Fields for: Relationship with client, Finances, Relationship with family, Functional abilities, Relationships with friends, Employment, Physical health, and Time for yourself to do the things you enjoy. All dropdown menus are set to "S = Some difficulty".

Do you currently have anyone to assist you with providing care?: *This is a required item.* Enter Y=Yes or N=No.

Do I have your permission to contact this person if for some reason you are unable to provide care for the client?: This item will be disabled if the response is N=No to “Do you currently have anyone to assist you with providing care?” *If the response is Y=Yes, this item will be required.* Enter Y=Yes or N=No.

Contact first name/Contact last name: These items will be disabled if the response is N=No to “Do I have your permission to contact this person if for some reason you are unable to provide care for the client?” *If the response is Y=Yes, the contact’s first and last name are required.* Enter the first and last name in the text boxes provided.

Telephone number: Enter the telephone number for the contact person. The phone number includes the area code and the seven-digit phone number. This is an optional item.

Relationship to client: This item will be disabled if the response is N=No to “Do I have your permission to contact this person if for some reason you are unable to provide care for the client?” *If the response is Y=Yes, this item will be required.* The codes are:

- DA=Daughter/In-Law
- HU=Husband
- OR=Other Relative
- OT=Other Non-Relative
- PA=Parent

- *PT=Partner*
- *SO=Son/In-Law*
- *WF=Wife*

How long have you been providing care for this client?: *This is a required item.* The codes are:

- *L=Less than six months*
- *6=Six to twelve months*
- *1=One to two years*
- *O=Two or more years*

How many hours per week do you spend providing care for the client?: *This is a required item.* Enter the number of hours spent per week providing care. This item will only accept a numeric value.

Do you need training or assistance in performing caregiving tasks?: *This item is required.* Enter Y=Yes or N=No.

If yes, please describe: This item will be disabled if the response N=No to “*Do you need training or assistance in performing caregiving tasks?*” *If the response is Y=Yes, this item will be required.* Enter the description of needed training in the text box provided.

How much of a mental or emotional strain is it on you to provide care for the client?: *This is a required item.* The codes are:

- *N=None*
- *S=Some strain*
- *A=A lot of strain*

Relationship with client/Relationship with family/Relationship with friends/Physical health/Finances/Functional abilities/Employment/Time for yourself to do the things you enjoy: *These are required items.* The assessor/case manager is to ask the caregiver how much of a mental or emotional strain caring for the client has on other aspects of the caregiver’s life and to rate the level of difficulty for each of the items listed. The codes are:

- *N=No difficulty*
- *L=Little difficulty*
- *S=Some difficulty*
- *M=Moderate difficulty*
- *A=A lot of difficulty*

How confident are you that you will have the ability to continue to provide care?: *This is a required item.*

The codes are:

- V=Very confident
- S=Somewhat confident
- N=Not very confident

What is the main reason you may be unable to continue to provide care?: This item will be disabled if the response is V=Very confident or S=Somewhat confident to “*How confident are you that you will have the ability to continue to provide care?*” ***If the response is N=Not very confident, the item will be required.*** Enter the main reason in the text box provided.

ASSESSOR/CM: Is the caregiver in crisis?: *This is a required item.* Enter Y=Yes or N=No.

Financial/Emotional/Physical: If the response is N=No to “*Is the caregiver in crisis?*” these items will be disabled. ***If the response is Y=Yes, at least one of the items is required to be checked.*** Use the mouse or space bar to enter a check mark in the appropriate box or boxes.

Ask the caregiver to answer the following about the client: There are eight items on this screen that the assessor/case manager is to ask the caregiver about the client. These items are designed to detect whether or not the caregiver has noticed a change in the client’s thinking or memory functioning. ***Each item is required.*** The codes are:

- Y=Yes, a change: Caregiver has noticed a change in the last year.
- N=No change: Caregiver has not noticed a change in the last year.
- D=Don’t know or N/A: Caregiver does not know if there has been a change or does not know how to answer.

Note: *If the client’s thinking or memory has improved, select this response.*

Notes & Summary: This section is provided for the assessor/case manager to record information related to the assessment. An entry in this section is optional. Press **Tab** to move to the next screen.

Date Caregiver Record Changed: This field is automatically populated by the system when someone makes a change to the saved caregiver information.

Caregiver Record Changed By: This field is automatically populated by the system and identifies the name of the person making the change to the saved caregiver information.

REMINDER:

If no health conditions are checked, you will receive a pop-up alert numerous times when saving the assessment. This alert will ask, "*None of the health conditions have been selected. Is this correct?*" This is to remind you to check any conditions that apply.

701 S ASSESSMENT TYPE

The 701S Assessment is a subset of the 701B Comprehensive Assessment. This assessment is used for telephone screening of clients. This assessment type has different tab headings than the 701B. Only selected questions from the 701B are on this assessment. **Screens, definitions, and codes for the items on this assessment type can be found under the 701B Assessment type.**

The following items will appear at the top of each assessment tab:

Priority Score: Once the assessment is saved, the system will automatically generate and populate a Priority Score for assessment types 701A, 701B, and 701S. This item cannot be edited.

Rank: Once the assessment is saved, the system will automatically generate and populate a Rank for assessment types 701A, 701B, and 701S. This item cannot be edited.

PSA: Indicates the CARES PSA. This item is automatically populated and cannot be edited.

Owner ID: If the client is being processed by the Aging Network, the case management provider number will display. This number is assigned by the ADRC or lead agency when the client is added. It is display only.

Client ID: This is a unique, random number assigned by the system that is associated with each client in CIRTS. This item is automatically populated and cannot be edited.

Client Name: The system will automatically enter the client's last and first name based on the information entered on the Demographic screen. This item cannot be edited.

Edit: Select this option to change any previously saved information.

Save: Select this option to save the information entered or edited.

Cancel: Select this option to cancel without saving the information entered or edited.

Close: Select this option to close the assessment.

Print: Select this option to print the assessment.

CARES: The following items are required on this screen: County, Assessor, Living Arrangement, Special Project Case, Payment Type, and Waiver Recertification. **Refer to 701B definitions for behavior of other items on the screen.**

ASSM 1: The following items are required on this screen: Caseworker, “*Screener: What is the purpose of this assessment?*”, Assessment Date, Assessment Site, Referral Date, Referral Source, “*Screener: Transitioning out of a nursing facility?*”, “*Screener: Imminent Risk of nursing home placement?*”, “*Is there a primary caregiver?*”, Living Situation, Individual monthly income, Refused, Individual Assets, Refused, “*Are you receiving S/NAP (food stamps)?*”, and “*Do you need other assistance for food?*”. **Refer to 701B definitions**

for behavior of other items on the screen. **Note: If the Marital Status is “Married”, the Couple monthly income and Couple Assets will be required. “Refused” will also be a required item.**

ASSM 2: The following items are required on this screen: “*Screener: Is someone besides the client providing answers to questions?*”, “*How would you rate your overall health at this time?*”, “*Compared to a year ago, how would you rate your health?*”, “*How often are there things you want to do but cannot because of physical problems?*”, “*When you need medical care, how often do you get it?*”, “*How often do finances/insurance allow you to obtain healthcare and medications when you need them?*”, and “*Has a doctor or other health care professional told you that you suffer from memory loss, cognitive impairment, any type of dementia, or Alzheimer’s disease?*” You may enter information in the Notes & Summary box if needed; it is an optional item. **Refer to 701B definitions for behavior of other items on the screen. Note: If the response is Y=Yes to “Screener: Is someone besides the client providing answers to questions?” the Name and Relationship will be required.**

ADL: The following items are required on this screen: “*How much assistance do you need with the following tasks?*” and “*How much assistance do you have with the following tasks?*” **Note: Remember to check whether or not an assistive device is in use. If the code is “1=Uses assistive device” the check box will automatically be populated.**

CARES ASSM ASSM ADL IADL HLTH HLTH HLTH HLTH NUTR

How much assistance do you need with the following tasks?

0 = No assistance needed
 1 = Uses assistive device
 2 = Needs supervision or prompt
 3 = Needs assistance (but not total help)
 4 = Needs total assistance (cannot do at all)

How much assistance do you have with the following tasks?

3 = Always has assistance
 2 = Has assistance most of the time
 1 = Rarely has assistance
 0 = No assistance needed
 0 = Never has assistance

| Task | Assistance Needed | Assistive Device Used | Assistance Received |
|----------------------|----------------------|--------------------------|-----------------------|
| Heavy chores | 3 = Needs assista... | <input type="checkbox"/> | 3 = Always has ass... |
| Light housekeeping | 3 = Needs assista... | <input type="checkbox"/> | 3 = Always has ass... |
| Using the telephone | 3 = Needs assista... | <input type="checkbox"/> | 3 = Always has ass... |
| Managing money | 3 = Needs assista... | <input type="checkbox"/> | 3 = Always has ass... |
| Preparing meals | 3 = Needs assista... | <input type="checkbox"/> | 3 = Always has ass... |
| Shopping | 3 = Needs assista... | <input type="checkbox"/> | 3 = Always has ass... |
| Managing medication | 3 = Needs assista... | <input type="checkbox"/> | 3 = Always has ass... |
| Using transportation | 3 = Needs assista... | <input type="checkbox"/> | 3 = Always has ass... |

Notes & Summary

IADL: The following items are required on this screen: “How much assistance do you need with the following tasks?” and “How much assistance do you have with the following tasks?” You may enter information in the Notes & Summary box if needed; it is an optional item. *Note: Remember to check whether or not an assistive device is in use. If the code is “1=Uses assistive device” the check box will automatically be populated.*

CARES ASSM ASSM ADL IADL HLTH HLTH HLTH HLTH NUTR

Have you been told by a physician that you have any of the following health conditions?
SCREENER: Indicate if a problem occurred in the past by marking the first box and if a problem is current by marking the second box. Please mark all that apply.

| Past | Current | Health Conditions | |
|--------------------------|--------------------------|-------------------------|--------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | Acid reflux/GERD | |
| <input type="checkbox"/> | <input type="checkbox"/> | Allergies | List: <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Amputation | Site: <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Anemia | <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Arthritis | Type: <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Bed sore(s) (Decubitus) | Location: <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Blood pressure | <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Broken bones/fractures | Location: <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Cancer | Site: <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Chlamydia | |
| <input type="checkbox"/> | <input type="checkbox"/> | Cholesterol | <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Dehydration | |
| <input type="checkbox"/> | <input type="checkbox"/> | Diabetes | <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Dizziness | <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Fibromyalgia | |
| <input type="checkbox"/> | <input type="checkbox"/> | Gallbladder | <input type="text"/> |

HLTH 1: These items are optional, but each reported condition must be checked. The assessor/case manager can obtain this information from sources other than the client. **Refer to 701B definitions for behavior of other items on the screen.**

| Past | Current | Health Conditions |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | Gonorrhea |
| <input type="checkbox"/> | <input type="checkbox"/> | Heart problems <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Head, brain, or spinal cord trauma |
| <input type="checkbox"/> | <input type="checkbox"/> | Herpes |
| <input type="checkbox"/> | <input type="checkbox"/> | Human Immunodeficiency Virus (HIV) |
| <input type="checkbox"/> | <input type="checkbox"/> | Human Papillomavirus (HPV)/Genital warts |
| <input type="checkbox"/> | <input type="checkbox"/> | Incontinence, Bladder <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Incontinence, Bowel <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Kidney problems or Renal disease End Stage <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Liver problems <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Lung problems <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Lupus |
| <input type="checkbox"/> | <input type="checkbox"/> | Multiple Sclerosis |
| <input type="checkbox"/> | <input type="checkbox"/> | Muscular Dystrophy |
| <input type="checkbox"/> | <input type="checkbox"/> | Osteoporosis |
| <input type="checkbox"/> | <input type="checkbox"/> | Parkinson's disease |
| <input type="checkbox"/> | <input type="checkbox"/> | Paralysis <input type="text"/> Site <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Seizure disorder, type & frequency <input type="text"/> |

HLTH 2: These items are optional, but each reported condition must be checked. The assessor/case manager can obtain this information from sources other than the client. Refer to 701B definitions for behavior of other items on the screen.

| Past | Current | Health Conditions |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | Shingles |
| <input type="checkbox"/> | <input type="checkbox"/> | Stroke/CVA |
| <input type="checkbox"/> | <input type="checkbox"/> | Syphilis |
| <input type="checkbox"/> | <input type="checkbox"/> | Thyroid problems/Graves/Myxedema Type <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Tumor(s) Site <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Ulcer(s) Site <input type="text"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Urinary Tract Infection (UTI) |
| <input type="checkbox"/> | <input type="checkbox"/> | Other Description <input type="text"/> |

Please provide information on the frequency of current therapies or specialty care:

Treatment type: N = N/A or None M = Monthly W = Weekly S = Several times a week D = Daily T = Several times a day

| | |
|--------------------------|--|
| Bladder/bowel treatment | <input type="text" value="N = N/A or None"/> |
| Catheter | <input type="text" value="N = N/A or None"/> Type <input type="text"/> |
| Dialysis | <input type="text" value="N = N/A or None"/> |
| Insulin assistance | <input type="text" value="N = N/A or None"/> |
| IV Fluids/IV Medications | <input type="text" value="N = N/A or None"/> |
| Occupational therapy | <input type="text" value="N = N/A or None"/> |
| Ostomy | <input type="text" value="N = N/A or None"/> Site <input type="text"/> |
| Oxygen | <input type="text" value="N = N/A or None"/> |

HLTH 3: The health conditions are optional items, but each reported condition must be checked. The assessor/case manager can obtain this information from sources other than the client. "Treatment type" is a required item. Refer to 701B definitions for behavior of other items on the screen.

CARES ASSM ASSM ADL IADL HLTH HLTH HLTH HLTH CGVR NUTR

Please provide information on the frequency of current therapies or specialty care:
 Treatment type ~ continued: N = N/A or None M = Monthly W = Weekly S = Several times a week D = Daily T = Several times a day

Physical therapy

Radiation/Chemotherapy

Respiratory therapy

Skilled nursing

Speech therapy

Suctioning

Tube feeding

Wound care/Lesion irrigation

Other therapy Type

Caregiver full name:
 First Name M.I. Last Name Caregiver phone number

How much of a mental or emotional strain is it on you to provide care for the client?

Considering other aspects of your life, please rate the level of difficulty in your:
 N = No difficulty L = Little difficulty S = Some difficulty M = Moderate difficulty A = A lot of difficulty

Physical health

HLTH 4: “Treatment type” is a required item. Refer to 701B definitions for behavior of other items on the screen. If “Primary Caregiver” is Y=Yes, the caregiver questions on this screen will be required (excluding the phone number).

CARES ASSM ASSM ADL IADL HLTH HLTH HLTH HLTH CGVR NUTR

How confident are you that you will have the ability to continue to provide care?

What is the main reason you may be unable to continue to provide care?

Assessor/CM: Is the caregiver in crisis? Financial Emotional Physical

Date Caregiver Record Changed Caregiver Record Changed By

Also, if “Primary Caregiver is Y=Yes, a tab labeled CGVR will appear and will require an entry for “How confident are you that you will have the ability to continue to provide care?” and “Assessor/CM: Is the caregiver in crisis?” Refer to 701B definitions for behavior of other items on the screen. Note: The second question should read, “Screener: Is the caregiver in crisis?” This will be corrected in CIRTS as soon as possible.

The screenshot shows a software interface for a nutritional assessment. At the top, there are several tabs: CARES, ASSM, ADL, IADL, HLTH, CGVR, and NUTR (which is currently selected). Below the tabs is the 'Nutritional Risk Score Section'. The form contains several questions with input fields and checkboxes:

- Do you usually eat at least two meals a day?** (checkbox)
- Do you eat alone most of the time?** (checkbox)
- On average, how many servings of fruits and vegetables do you eat every day?** (text input)
- On average, how many servings of dairy products do you have every day?** (text input)
- Have you lost or gained weight in the last few months?** (dropdown menu)
- How much?** (text input)
- Was the weight loss/gain on purpose (i.e. dieting or trying to lose/gain weight)?** (checkbox)
- Are you on a special diet(s) for medical reasons?** (checkbox)
- Options for special diet: Calorie supplement, Low fat/cholesterol, Low salt/sodium, Low sugar/carb, Other
- How long have you been on this diet?** (text input)
- Why are you on this diet?** (text input)
- Do you have any problems that make it hard for you to chew or swallow?** (checkbox) **Check all that apply:**
- Options for chewing/swallowing: Mouth/tooth/dentures, Pain or difficulty swallowing, Taste, Nausea, Saliva production, Other, describe (text input)
- Do you take three or more prescribed or over-the-counter medications a day?** (checkbox)
- How many days in a typical week do you drink alcohol?** (dropdown menu)
- On the days when you have some alcohol, about how many drinks do you usually have?** (text input)
- About how many times in the last month have you had four or more drinks in a day?** (text input)

NUTR: All items on this screen are optional. **Refer to 701B definitions for behavior of items on the screen.**

701T ASSESSMENT TYPE

The 701T Assessment is a subset of the 701B Comprehensive Assessment. This assessment is used for on-site assessments for clients with no community potential. This assessment type does not have all of the tabs that are on the 701B. Only selected questions from the 701B are on this assessment. **Screens, definitions, and codes for the items on this assessment type can be found under the 701B Assessment type.**

The following items will appear at the top of each assessment tab:

Priority Score: This item will be disabled. A priority score is only generated for assessment types 701A, 701B, and 701S.

Rank: This item will be disabled. A rank is only generated for assessment types 701A, 701B, and 701S.

PSA: Indicates the CARES PSA. This item is automatically populated and cannot be edited.

Owner ID: If the client is being processed by the Aging Network, the case management provider number will display. This number is assigned by the ADRC or lead agency when the client is added. It is display only.

Client ID: This is a unique, random number assigned by the system that is associated with each client in CIRTS. This item is automatically populated and cannot be edited.

Client Name: The system will automatically enter the client's last and first name based on the information entered on the Demographic screen. This item cannot be edited.

Risk Score: This item will be disabled. The 701T does not generate a Risk Score.

Edit: Select this option to change any previously saved information.

Save: Select this option to save the information entered or edited.

Cancel: Select this option to cancel without saving the information entered or edited.

Close: Select this option to close the assessment.

Print: Select this option to print the assessment.

A 1: The following items are required on this screen: County, Assessor, Living Arrangement, Special Project Case, Payment Type, and Waiver Recertification. *Note: If this is a reassessment for an open case, Date Requested is required. Refer to 701B definitions for behavior of other items on the screen.*

A 2: The following items are required on this screen: Caseworker, “ASSESSOR/CM: What is the purpose of this assessment?”, Assessment Date, Assessment Site, Referral Date, Referral Source, “ASSESSOR/CM: Transitioning out of a nursing facility?”, “ASSESSOR/CM: Imminent Risk of nursing home placement?”, “Is there a primary caregiver?”, and Living Situation. *Note: If the Referral Source is A=APS, Risk Level will be required. All other fields will be disabled.*

A 3: The only item required on this screen is “Assessor/CM: Is someone besides the client providing answers to questions?” *If the response is Y=Yes, the person’s relationship to the client will be required.* All other items will be disabled.

A 4: No items are required on this screen. You may enter information in the Notes & Summary box if needed; it is an optional item.

B: The following items are required on this screen: “Has a doctor or other health care professional told you that you suffer from memory loss, cognitive impairment, any type of dementia, or Alzheimer’s disease?”; “ASSESSOR/CM: Select the number of words correctly repeated after the first attempt”; “Please tell me what year it is”; “Please tell me what month it is”; “Please tell me what day (of the week) it is”; and “Assessor/CM: In your opinion, are cognitive problems present?”

C 1: The only required items are: “How many times have you fallen in the last six months?” and “Have you visited the ER or been admitted to the hospital within the last year?” *If the response to the second question is Y=Yes, a numeric entry will be required for ER and Hospital.*

C 2: All items are disabled on this screen. You may enter information in the Notes & Summary box if needed; it is an optional item.

D: The only required item is “How much assistance do you need with the following tasks?” Be sure to check “Assistive Device Used” when appropriate. You may enter information in the Notes & Summary box if needed; it is an optional item. *Note: All other fields will be disabled.*

E: The only required item is “How much assistance do you need with the following tasks?” Be sure to check “Assistive Device Used” when appropriate. You may enter information in the Notes & Summary box if needed; it is an optional item. *Note: All other fields will be disabled.*

F 1 & F 2: The fields on these screens are optional. However, any health condition reported must be checked. **Refer to 701B definitions for behavior of other items on the screen.**

F 3: Treatment types require an entry on this screen. **Refer to 701B definitions for behavior of other items on the screen.**

F 4: Current therapies or specialty care require an entry on this screen. You may enter information in the Notes & Summary box if needed; it is an optional item. **Refer to 701B definitions for behavior of other items on the screen.**

G 1: The only required item is “*Over the past two weeks, how often have you been bothered by any of the following problems?*” These items are required if the client is answering the questions. **Refer to 701B definitions for behavior of other items on the screen.**

G 2: The following items are required: “*Have you been diagnosed with a mental condition or psychiatric disorder by a health professional?*”, “*ASSESSOR/CM: Indicate whether you noticed problem behaviors or any recurring problems have been reported to you by the client, caregiver, in-home worker, family, or staff, and note the frequency of occurrence in the last month. Please provide details in the Notes & Summary section, below:*”, and “*ASSESSOR/CM: Does client need supervision?*” **Refer to 701B definitions for behavior of other items on the screen.**

H: The required items on this screen are: “*Have you lost or gained weight in the last few months?*” and “*Are you on a special diet(s) for medical reasons?*” You may enter information in the Notes & Summary box if needed; it is an optional item. **Refer to 701B definitions for behavior of other items on the screen.**

I 1: The only item required on this screen is “*Do you take three or more prescribed or over-the-counter medications a day?*”

I 2: There are no required items on this screen. All items are optional.

NONE/OTHER ASSESSMENT TYPE

Assessment types NONE and OTHER will be used for medical case file reviews. A medical case file review is usually conducted in the CARES office. It consists of a review of medical and/or assessment information provided for a client. The data collected for these assessment types will be limited. There are only two tabs available for assessment type NONE and OTHER. These tabs (AA) correspond to the demographic fields on the 701B assessment type. **Note: Definitions and codes for the items on these assessment types can be found under the 701B Assessment type.**

The following items will appear at the top of each assessment tab:

PSA: Indicates the CARES PSA. This item is automatically populated and cannot be edited.

Owner ID: If the client is being processed by the Aging Network, the case management provider number will display. This number is assigned by the ADRC or lead agency when the client is added. It is display only.

Client ID: This is a unique, random number assigned by the system that is associated with each client in CIRTS. This item is automatically populated and cannot be edited.

Client Name: The system will automatically enter the client’s last and first name based on the information entered on the Demographic screen. This item cannot be edited.

Edit: Select this option to change any previously saved information.

Save: Select this option to save the information entered or edited.

Cancel: Select this option to cancel without saving the information entered or edited.

Close: Select this option to close the assessment.

Print: Select this option to print the assessment.

REMINDER:

No Priority Score/Rank or Risk Score will be generated for these assessment types.

The following items are always required on this screen: County, Assessor, Living Arrangement, Special Project Case, Payment Type, and Waiver Recertification. **Initial Contact Date and Assessment Delay are required only when the Assessor is CARES.** If the Assessor is not CARES, these fields will be disabled. **Assessment Delay Reason is required only when Assessment Delay is Y=Yes.** **Date Requested is required only when there is a check mark in the Reassessment box.**

The following items are required on this screen: Caseworker, Assessment Date, Assessment Site, Referral Date, Referral Source, Transitioning out of a nursing facility, Imminent risk of nursing home placement, outside assistance to evacuate, special needs registry, primary caregiver, and Living Situation. **Note:** *“ASSESSOR/CM: What is the purpose of this assessment” is optional for assessment types NONE and OTHER. All other fields will be disabled.*

PASRR SCREEN

The screenshot displays the 'Cares PAS Window' interface. At the top, it shows 'CIRTS' and 'Date' fields. Below this is the title 'CARES OLD PRE-ADMISSION SCREENING', with a yellow arrow pointing to the 'Date' field. The main form is divided into several sections: 'Pre-Admission Screening for :', 'Level I Evaluation' (with fields for Screening Date, Caseworker, Provider Name, and MIMR Indicator), 'Level II Exclusion' (with MI Exclusion and MR Exclusion dropdowns), 'Level II MI Disposition' (with Date Psychiatric Scheduled/Completed, MI Disposition, Date Referred to SAMH, Date Received from SAMH, SAMH Disposition, SAMH Placement Recommendation, and SAMH Actual Placement), and 'Level II MR Disposition' (with Date Referred to APD, Date Received from APD, and MR Disposition). At the bottom of the form are buttons for 'Edit', 'Save', 'Delete', 'Cancel', 'Print', and 'Search Client'. A 'Forms' dialog box is overlaid on the right side, containing a red circular icon and the text 'Please select PAS:', with two buttons: 'New PAS' and 'Old PAS'. The status bar at the bottom left shows 'Record: 1/1' and '<08C>'.

There are two PAS Screens in CIRTS, Old PAS and New PAS. When you select the PAS tab from Demographic or go to PAS from Staffing, the Old PAS screen will appear with a box that asks you to “Please select PAS” and will give you the option to select New PAS or Old PAS. You will need to select the correct PAS screen for data entry. **Old PAS will be selected only if PAS was done prior to August 1, 2007 or if the client is deleted with an old PAS and needs to be re-entered in CIRTS.**

Oracle Developer Forms Runtime - Web

Cares PAS Window

CARES PAS NEW
20130728

CIRTS
CARES NEW PRE-ADMISSION SCREENING

Date: 10/16/2013

Pre-Admission Screening for: SMITH,JANE PSA

Level I Evaluation

Screening Date: 09/01/2013
Level I Screener: OTHER - OTHER OTHER - 02A

Provider Name: <null>
M/MR Indicator: BOTH

Level II Exemption

MI Exemption: NO EXEMPTION
MR Exemption: NO EXEMPTION

Level II MI Disposition

Date Psychiatric Scheduled: 09/01/2013
Date Psychiatric Completed: 09/01/2013
MI Disposition: NEED SPECIALIZED SERVICES

Date Referred to SAMH: 09/01/2013
Date Received from SAMH: 09/01/2013
SAMH Disposition: NEED SPEC SVCS

SAMH Placement Recommend. for Specialized Services: NURSING HOME
SAMH Actual Pla: NURSING HOM

Level II MR Disposition

Date Referred to APD: 09/01/2013
Date Received from APD: 09/01/2013
MR Disposition: NEED SPEC SV

Buttons: Edit, Save, Delete, Cancel, Print, Sea

Record: 1/1 <OSC>

Forms
PAS is completed! Continue to save?
OK Cancel

Based on the information entered on the PAS screen, the system will determine if the preadmission screening is complete. If the PAS data is complete, a pop-up box will appear advising that PAS is complete and will ask if you want to continue to save the data. You can select “OK” if all data is correct, and PAS data will be saved and complete. You can select “Cancel” if you do not want to save the data entered. “Complete” means no further action is required regarding PASRR. If the PAS data is not complete, the pop-up box will not appear and further PAS data will be required.

At the top of the Demographic and Cases screens there is a box that says “PAS Complete.” If there is a check mark in this box the PAS is complete, and no further entry is needed. PAS can be edited at any time. The definitions below will cover both the Old PAS and the New PAS.

PASRR SCREEN DEFINITIONS

Level I Evaluation Screening Date: This date represents the date the client was screened for Mental Illness or Mental Retardation. This date will be the date the CARES caseworker, hospital, nursing home or other completes the Level I Screen. This will be a two-digit month and day and a four-digit calendar year. This date must be a current or past date. It cannot be a future date. *This is a required item.*

Caseworker/Level I Screener: This is the name of the caseworker performing the preadmission screening for this client. *This is a required item.* This can be the name of a CARES caseworker or it can be Hospital, Nursing Home or Other.

Provider Name: *If the Caseworker/Level I Screener is Hospital or Nursing Home, this field will be required if the Level I Screening Date is equal to or greater than February 11, 2008.* If the Caseworker/Level I Screener is Hospital or Nursing Home, this field will be optional if the Level I Screening Date is less than February 11, 2008. From the drop-down box, select the name of the hospital or nursing home for the person completing the Level I screen.

MI/MR Indicator: This will indicate whether the client potentially has a mental illness (MI), mental retardation (MR), both MI and MR, or no MI or MR. ***This is a required item.*** If the MI/MR Indicator is NO=None, no further action is needed. If the MI/MR Indicator is MI=Mental Illness, MR=Mental Retardation, or BO=Both, then an entry will be required in MI Exclusion/Exemption and/or MR Exclusion/Exemption. The codes for MI/MR Indicator are:

- *BO=Both:* This code identifies the person as potentially MI **and** MR.
- *MI=Mental Illness:* This code identifies the person as potentially MI.
- *MR=Mental Retardation:* This code identifies the person as potentially MR.
- *NO=None:* This code identifies the person as neither MI nor MR.

Level II MI Exclusion/Exemption: For Old PAS this indicates the client's inclusion or exclusion status for mental illness as defined by CMS. For New PAS this indicates any exemption from a Level II Evaluation and Determination for mental illness as defined by CMS prior to nursing facility admission. ***This item is only required for clients that have a positive answer of MI=Mental Illness or BO=Both MI and MR under MI/MR Indicator.***

Old PAS: If the MI Exclusion is CM=Chronic MI, SI=Severity of Illness, or TI=Terminal Illness, then no further entry is required for MI. If the MI Exclusion is CC=Convalescent Care/30 Day, DE=Delirium/7 Days, ER=Excluded Respite/14 Days, or PS=Protective Services/7 Day, you will have the option to enter the Date Psychiatric Scheduled if a Level II Evaluation is requested. If the MI Exclusion is NE=Not Excluded, a Level II Evaluation is required and the date requested must be entered in Date Psychiatric Scheduled.

New PAS: If the MI Exemption is DE=Delirium/7 Days, EH=Exempted Hospital/30 Days, EM=Exempted Respite/14 Days, or PS=Protective Services/7Day, you will have the option to enter the Date Psychiatric Scheduled if a Level II Evaluation and Determination is requested. If the MI Exemption is NO=No Exemption, a Level II Evaluation and Determination is required and the date requested must be entered in Date Psychiatric Scheduled. The codes are:

- *CC=Convalescent Care/30 Day:* Indicates the person is temporarily excluded from a Level II Evaluation for medical convalescence, and is not a danger to self and /or others. A Level II Evaluation may or may not be required. If the client is discharged from the nursing home within 30 days, a Level II Evaluation is not required. If the client remains in the nursing home beyond 30 days, a Level II Evaluation is required. **This code is for Old PAS only.**
- *CM=Chronic MI:* Indicates the person is chronically mentally ill and not having an acute episode, and is not a danger to self and/or others. **This code is for Old PAS only.**
- *DE=Delirium/7 Days:* Indicates the person is temporarily excluded/exempted from a Level II Evaluation and Determination for a provisional admission pending further assessment in the case of delirium where an accurate diagnosis cannot be made until the delirium clears, and is not a danger to self and/or others. If the individual remains in the nursing facility beyond the time limited stay a Level II Evaluation and Determination is required. **This code is for Old and New PAS.**
- *EH=Exempted Hospital/30 Days:* Indicates the person is temporarily exempted from a Level II Evaluation and Determination because the individual is being admitted from a hospital after receiving acute inpatient care and requires NF services for the condition for which he or she received care in the hospital and whose attending physician has certified before admission that the individual is likely to require less than 30 days NF services. A Level II Evaluation and Determination will be required if the individual remains in the nursing facility beyond the time limited stay. **This code is for New PAS only.**

- *EM=Exempted Respite/14 Days* : Indicates the person is temporarily exempted from a Level II Evaluation and Determination due to a brief respite care for in-home caregivers, with placement in a nursing facility twice a year not to exceed 14 days each time. If the individual stays in the nursing facility beyond the time limited stay, a Level II Evaluation and Determination will be needed. **This code is for New PAS only.**
- *ER=Excluded Respite/14 Days*: Indicates the person is temporarily excluded from a Level II Evaluation and needs a very brief and finite stay of up to a fixed number of days to provide respite care to in-home caregivers to whom the individual with mental illness is expected to return following a brief nursing home stay (14 days, twice a year), and is not a danger to self and/or others. Further screening may or may not be required. **This code is for Old PAS only.**
- *NE=Not Excluded*: Indicates the person cannot be excluded from further PASRR screening. A Level II Evaluation is required. **This code is for Old PAS only.**
- *NO=No Exemption*: Indicates the person cannot be exempted from further PASRR screening. A Level II Evaluation and Determination is required. **This code is for New PAS only.**
- *PS=Protective Services/7 Day*: Indicates the person is temporarily excluded from a Level II Evaluation and Determination and needs a provisional admission pending further assessment in an emergency situation requiring protective services, with placement in a nursing facility not to exceed seven days, and is not a danger to self and/or others. A Level II Evaluation and Determination will be required if the person stays in the nursing facility beyond the time limited stay. **This code is for Old and New PAS.**
- *SI=Severity of Illness*: Indicates the person is exempt from a Level II if comatose, ventilator dependent, functions at the brain stem level, or has a diagnosis of COPD, severe Parkinson's Disease, Huntington's Disease, Amyotrophic Lateral Sclerosis, CHF or any other diagnosis so determined by CMS that would prohibit participation in specialized services, and is not a danger to self and/or others. **This code is for Old PAS only.**
- *TI=Terminal Illness*: Indicates the person is exempt from a Level II if certified by a physician to be terminally ill, and is not a danger to self and/or others. **This code is for Old PAS only.**

Level II MR Exclusion/Exemption: For Old PAS this indicates the client's inclusion or exclusion status for mental retardation as defined by CMS. For New PAS this indicates the client's exemption status for mental retardation as defined by CMS. ***This item is only required for clients that have a positive answer of MR=Mental Retardation or BO=Both MI and MR under MI/MR Indicator.***

Old PAS: If the MR Exclusion is SI=Severity of Illness or TI=Terminal Illness, then no further entry is required for MR. If the MR Exclusion is CC=Convalescent Care/30 Day, DE=Delirium/7 Days, ER=Excluded Respite/14 Days, or PS=Protective Services/7 Day, you will have the option to enter the Date Referred to APD if a Level II Evaluation is requested. If the MR Exclusion is NE=Not Excluded, a Level II Evaluation is required and the date requested must be entered in Date Referred to APD.

New PAS: If the MR Exemption is DE=Delirium/7 Days, EH=Exempted Hospital/30 Days, EM=Exempted Respite/14 Days, or PS=Protective Services/7 Day, you will have the option to enter the Dated Referred to APD if a Level II Evaluation and Determination is requested. If the MR Exemption is NO=No Exemption, a Level II Evaluation and Determination is required and the date requested must be entered in Date Referred to APD. The codes are:

- *CC=Convalescent Care/30 Day* : Indicates the person is temporarily excluded from a Level II Evaluation for medical convalescence, and is not a danger to self and/or others. A Level II Evaluation may or may not be required. If the client is discharged from the nursing home within 30 days, a Level II Evaluation is not required. If the client remains in the nursing home beyond 30 days, a Level II Evaluation is required. **This code is for Old PAS only.**
- *DE=Delirium/7 Days*: Indicates the person is temporarily excluded/exempted from a Level II Evaluation and Determination for a provisional admission pending further assessment in the case of delirium where an accurate diagnosis cannot be made until the delirium clears, and is not a danger to self and/or others. If the individual

remains in the nursing facility beyond the time limited stay a Level II Evaluation and Determination is required. **This code is for Old and New PAS.**

- *EH=Exempted Hospital/30 Days*: Indicates the person is temporarily exempted from a Level II Evaluation and Determination because the individual is being admitted from a hospital after receiving acute inpatient care and requires NF services for the condition for which he or she received care in the hospital and whose attending physician has certified before admission that the individual is likely to require less than 30 days NF services. A Level II Evaluation and Determination will be required if the individual remains in the nursing facility beyond the time limited stay. **This code is for New PAS only.**
- *EM=Exempted Respite/14 Days*: Indicates the person is temporarily exempted from a Level II Evaluation and Determination due to a brief respite care for in-home caregivers, with placement in a nursing facility twice a year not to exceed 14 days each time. If the individual stays in the nursing facility beyond the time limited stay, a Level II Evaluation and Determination will be needed. **This code is for New PAS only.**
- *ER=Excluded Respite/14 Days*: Indicates the person is temporarily excluded from a Level II Evaluation and needs a very brief and finite stay of up to a fixed number of days to provide respite care to in-home caregivers to whom the individual with mental illness is expected to return following a brief nursing home stay (14 days, twice a year), and is not a danger to self and/or others. Further screening may or may not be required. **This code is for Old PAS only.**
- *NE=Not Excluded*: Indicates the person cannot be excluded from further PASRR screening. A Level II Evaluation is required. **This code is for Old PAS only.**
- *NO=No Exemption*: Indicates the person cannot be exempted from further PASRR screening. A Level II Evaluation and Determination is required. **This code is for New PAS only.**
- *PS=Protective Services/7 Day*: Indicates the person is temporarily excluded from a Level II Evaluation and Determination and needs a provisional admission pending further assessment in an emergency situation requiring protective services, with placement in a nursing facility not to exceed seven days, and is not a danger to self and/or others. A Level II Evaluation and Determination will be required if the person stays in the nursing facility beyond the time limited stay. **This code is for Old and New PAS.**
- *SI=Severity of Illness*: Indicates the person is exempt from a Level II if comatose, ventilator dependent, functions at the brain stem level, or has a diagnosis of COPD, severe Parkinson=s Disease, Huntington=s Disease, Amyotrophic Lateral Sclerosis, CHF or any other diagnosis so determined by CMS that would prohibit participation in specialized services, and is not a danger to self and/or others. **This code is for Old PAS only.**
- *TI=Terminal Illness*: Indicates the person is exempt from a Level II if certified by a physician to be terminally ill, and is not a danger to self and/or others. **This code is for Old PAS only.**

Date Psychiatric Scheduled: This is the date that a Level II Psychiatric Evaluation (1911 A&B or similar documentation) is requested. This date must be a current or past date. It cannot be a future date. This will be a two-digit month and day and a four-digit calendar year. ***This is a required item if the MI Exclusion is NE=Not Excluded or the MI Exemption is NO=No Exemption.*** If no psychiatric evaluation is requested, enter the date that you request the Level II Evaluation and Determination from Substance Abuse and Mental Health (SAMH) (or their designee).

Date Psychiatric Completed: This is the date that a Level II Psychiatric Evaluation (1911 A&B or similar documentation) is received by CARES. This date must be a current or past date. It cannot be a future date. This will be a two-digit month and day and a four-digit calendar year. This is an optional item. ***Note: If no psychiatric evaluation is requested, enter the date that you request the Level II Evaluation and Determination from SAMH (or their designee).***

MI Disposition: This indicates the client's MI disposition based on the 1911 A&B, if received. ***This is a required item if there is an entry in Date Psychiatric Completed.***

Old PAS: If the MI Disposition is PE=Excluded Level II Psychiatric Evaluation, NS=No Specialized Services Needed, or NP=Psychiatric Evaluation Not Received, no further entry is required. If the MI Disposition is SS=Need Specialized Services or CP=Need Specialized Services/Can't Provide In Nursing Home, then an entry is required in Date Referred to SAMH.

New PAS: If the MI Disposition is PE=Excluded Level II Psychiatric Evaluation, SS=Need Specialized Services, CP=Need Specialized Services/Can't Provide In Nursing Home, NS=No Specialized Services Needed or NR=1911 A&B Not Received, an entry is required in Date Referred to SAMH. The codes are:

- *CP=Need Specialized Services/Can't Provide In Nursing Home:* Indicates the person needs specialized services, which cannot be provided in a nursing facility.
- *NP=Psychiatric Evaluation Not Received:* **Old PAS.** Indicates that a Level II Psychiatric Evaluation was requested but was never received by CARES.
- *NR= Psychiatric Evaluation Not Received:* **New PAS.** Indicates that a 1911 A&B was not received by CARES. Used when other medical/psychiatric information is submitted to SAMH or their designee for a Level II evaluation.
- *NS=No Specialized Services Needed:* Indicates the person has some mental illness, but a mental health professional has determined that specialized services are not required.
- *PE=Excluded Level II Psychiatric Evaluation:* Indicates the person was excluded by a psychiatrist based on the Level II Psychiatric Evaluation.
- *SS=Need Specialized Services:* Indicates the person needs specialized services in a nursing facility or alternative setting as determined by a mental health professional.

Date Referred to SAMH: This is the date that CARES submits a request for a Level II Evaluation and Determination to SAMH (or their designee) for a determination regarding the need for specialized services and appropriate placement. This date must be a current or past date. It cannot be a future date. This will be a two-digit month and day and a four-digit calendar year.

Old PAS: *This is a required item if the MI Disposition is SS=Need Specialized Services or CP=Need Specialized Services/Can't Provide in Nursing Home.*

New PAS: *This is a required item if the MI Disposition is PE=Excluded Level II Psychiatric Evaluation, SS=Need Specialized Services, CP=Need Specialized Services/Can't Provide In Nursing Home, NS=No Specialized Services Needed, or NR=Psychiatric Evaluation Not Received.*

Date Received from SAMH: This is the date that the final determination from SAMH (or their designee) regarding the need for specialized services and appropriate placement is received by CARES. This date must be a current or past date. It cannot be a future date. This will be a two-digit month and day and a four-digit calendar year. This is an optional item.

SAMH Disposition: This indicates the client's final SAMH (or their designee) disposition regarding the need for specialized services and appropriate placement. *This is a required item if there is an entry in Date Received from SAMH.* If the SAMH Disposition is NSPS=Need Specialized Services or NSCP=Need Specialized Services/Can't Provide in Nursing Home, an entry will be required in SAMH Placement Recommendation for Specialized Services. The codes are:

- *EXPS=Excluded by Psychiatrist:* Indicates the person was excluded by SAMH (or their designee) after evaluation by a psychiatrist or community mental health entity.
- *NFIN=Nursing Facility Inappropriate:* **New PAS.** Indicates that SAMH (or their designee) determined the person is not appropriate for nursing facility placement.
- *NSCP=Need Specialized Services/Can't Provide in Nursing Home:* Indicates the person needs specialized services, which cannot be provided in a nursing home as determined by SAMH (or their designee).
- *NSPS=Need Specialized Services:* Indicates the person needs specialized services in a nursing facility or alternative setting as determined by SAMH (or their designee).

- *NSSN=No Specialized Services Needed*: Indicates the person has some mental illness, but SAMH (or their designee) has determined that specialized services are not required.
- *OCOM=Out of Compliance: Old PAS*. Indicates a referral was made to SAMH (or their designee) for a final determination regarding the need for specialized services, but a response was not received by CARES.

SAMH Placement Recommendation for Specialized Services: This indicates where SAMH (or their designee) recommends the client be placed in order to receive specialized services. ***This is a required item if the SAMH Disposition is NSPS=Need Specialized Services or NSCP=Need Specialized Services/Can't Provide in Nursing Home.*** The codes are:

- *AFCH=Adult Family Care Home*: Any state licensed adult family care home.
- *ALFE=ALF with Ext Cong Care*: Any state licensed ALF which is also licensed to provide extended congregate care.
- *ALFM=ALF with Ltd Ment Hlth Svcs*: Any state licensed ALF which is also licensed to provide limited mental health services.
- *ALFN=ALF with Ltd Nurs Svcs*: Any state licensed ALF which is also licensed to provide limited nursing services.
- *ALFS=Assisted Living Facility*: Any state licensed assisted living facility.
- *ARTS=Adult/Ger Res Treat Fac*: A residential facility that provides mental health treatment.
- *GRHO=Group Home*: A small residential home sponsored by a state or community entity.
- *HOSP=Hospital*: A freestanding facility that provides medical care for acute illnesses. This includes swing bed hospitals, hospital skilled nursing units, and inpatient hospice care.
- *MRDD=MR/DD Facility*: Any state licensed facility/center for the developmentally disabled. For example, an ICF/DD, Sunland, cluster facilities, sheltered workshops, etc.
- *NHTP=Temporary Nursing Home*: A short term placement in a nursing home is recommended as the person has potential to return to the community. Refer to NUHO=Nursing Home.
- *NHTR=Nursing Home Transition*: Indicates the person is transitioning from the nursing home to the community. **Obsolete 3/1/14 due to SMMC LTC.**
- *NUHO=Nursing Home*: A freestanding facility which is certified under Medicare and/or Medicaid to provide nursing services.
- *OTHR=Other*: A placement recommendation which is not covered by the codes provided.
- *PRNH=Prison Nursing Home*: A nursing home unit within a duly authorized and supervised facility such as a prison or jail.
- *PRRE=Private Residence*: Any unlicensed non-institutional residence.
- *PSYF=Psychiatric Facility*: Any freestanding facility that provides psychiatric or mental health care (excluding a state mental hospital). This would include a crisis stabilization unit.
- *REHB=Rehabilitation Hospital*: Any freestanding facility which provides rehabilitation services including drug and alcohol.
- *SAPT=Supervised Apartment*: A complex where supervision is available on a daily basis.
- *SHNH=State Mental Hospital/Nursing Home Unit*: A nursing home unit within a state sponsored or operated mental hospital.
- *SMHO=State Mental Hospital*: A state sponsored or operated facility that provides psychiatric care.

SAMH Actual Placement: This indicates where the client was actually placed by SAMH (or their designee) in order to receive specialized services. ***This is a required item if the SAMH Disposition is NSPS=Need Specialized Services or NSCP=Need Specialized Services/Can't Provide in Nursing Home.*** The codes are the same as for **SAMH Placement Recommendation for Specialized Services.**

Date Referred to APD: This is the date a Level II Evaluation and Determination was requested from the Agency for Persons with Disabilities. *This is a required item if the MR Exclusion is NE=Not Excluded or if the MR Exemption is NO=No Exemption.* This date must be a current or past date. It cannot be a future date. This will be a two-digit month and day and a four-digit calendar year.

Date Received from APD: This is the date the Level II Evaluation and Determination results are received by CARES. This date must be a current or past date. It cannot be a future date. This will be a two-digit month and day and a four-digit calendar year. This is an optional item.

MR Disposition: This indicates the client's final MR disposition at the time that the PASRR process was completed. *This is a required item if there is an entry in Date Received from APD.* The codes are:

- *CP=Needs Specialized Services/Cant' Provide in Nursing Home:* Indicates the person needs specialized services, which cannot be provided in a nursing facility.
- *DE=Excluded Level II DS Evaluation:* Indicates the person was excluded by the Agency for Persons with Disabilities based on the Level II APD Evaluation.
- *ND=DS Evaluation Not Received: Old PAS.* Indicates a Level II Evaluation and Determination was requested from APD, but CARES did not receive a response.
- *NS=No Specialized Services Needed:* Indicates the person has some mental retardation, but the Agency for Persons with Disabilities has determined that specialized services are not required.
- *SS=Need Specialized Services:* Indicates the person needs specialized services in a nursing facility or alternative setting as determined by the Agency for Persons with Disabilities.

Edit: Select this option if you want to change any previously saved information. Only the Supervisor Role can edit PAS. You can edit PAS entered by another PSA, but you cannot delete it. You will receive a message saying you cannot delete another office's PAS entry.

Save: Select this option to save the information entered or edited.

Delete: Select this option to delete the saved information. Only the Supervisor Role can delete PAS.

Cancel: Select this option without saving the information.

Print: Select this option if you want to print the PASRR information.

Search Client: Select this option to go to Search.

Close: Select this option to close the PAS screen.

REMINDER:

If all PAS information has been entered and PAS is complete, after selecting “Save” you will receive a message that says, “PAS Complete, Continue to Save?” PAS is complete under the following situations:

MI/MR Indicator=NO

SAMH Disposition=EXPS, NSSN or NFIN

SAMH Actual Placement has an entry

MR Disposition=DE, SS, CP or NS

If you select “Yes”, the system will save the information and the PAS Complete box at Demographic and Cases will have a check mark. If you select “No”, the PAS information will not be saved.

Resident Review information is only captured in CIRTS when it is needed to complete PAS and to prevent ongoing 30-day follow-ups when the living arrangement is NUHO. Once PAS is complete you do not enter Resident Review information in CIRTS.

To enter a resident review Level II in CIRTS when a **temporary exclusion/exemption** was entered, leave the existing information as is. Once you receive the resident review enter the following:

For Date Psychiatric Scheduled enter the date the NF requested the Level II from SAMH (or their designee).

For Date Psychiatric Completed enter the date the NF requested the Level II from SAMH (or their designee).

For MI Disposition enter the disposition based on the Level II received from SAMH (or their designee).

For Date Referred to SAMH enter the date the NF submitted the request for the Level II to SAMH (or their designee).

For Date Received from SAMH enter the date the NF received the Level II from SAMH (or their designee).

STAFFING SCREEN

When you click on the **Staffings** tab, a summary screen displays all staffings related to that case. The screen displays for each staffing the staffing date, level of care, level of care date, placement recommendation, program recommendation, and PSA. If the case is open you will be able to edit the selected staffing. If the case is closed only a Supervisor Role will be able to edit any staffing related to that case.

The CARES Cases Information will still be displayed on the screen and you can select the same options described under Cases (Add Case, Close Case, Delete Case, Print CIF, Print Blank CIF, Search Client, CARES Assignments, and Close).

This screen also has a panel that lists the assessment date and staffing date for the assessment. This is where you highlight the staffing to be viewed.

Add New Staffing: Select this option if you want to add a new staffing. *Note: A level of care justification case note must be added prior to adding a new staffing.*

View Selected Staffing: Select this option if you want to view the highlighted staffing. Click on the staffing in the Assessment and Staffing Dates panel to highlight the staffing.

When you select **Add New Staffing** the CARES Staffing screen appears. This is where such items as level of care, placement recommendation, program recommendation, barrier, and the client's current living arrangement at the time of staffing will be entered.

The screenshot shows the 'CARES Staffing' window with the following data:

- Case Information:** CARES STAFFING, 20130905, C I R T S, CARES Cases Information, Date: 10/17/2013, User: REGIONALCARES
- Staffing Details:** CARES Staffing for: JOHNNY GOOD, Staffing PSA: 02A, Case Opened on: 07/16/2013
- Staffing Information:**
 - Information Received Date: 08/01/2013
 - Staffing Date: 08/01/2013
 - Caseworker: OTHER - OTHER OTHER
 - Staffing Instrument: U=3008
 - Living Arrangement: NURSING HOME
 - Living Situation: ALONE
 - Placement Recommendation: TEMPORARY NURSING HOME
 - Program Considered: NONE
 - Program Recommendation: NONE
 - Primary Caregiver: NO
 - Level Of Care: INTERMEDIATE ONE
 - LOC Waiver Effective Date: 08/01/2013
 - Income Level: <null>
 - Level of Care Approved By: DOCTOR DOCTOR - MD/DO-02A
- Nursing Home:**
 - Admit Date: 08/01/2013
 - Nursing Home Name: PANAMA CITY NURSING ...
 - Discharge Date: (empty)
 - Living Arrangement Prior: HOSPITAL
 - Diversion Barrier: NO BARRIER

STAFFING SCREEN DEFINITIONS

Information Received Date: *This is a required item.* This is the date entered in CIRT S that CARES received all required medical documentation needed to staff the case (see exception below). For ICP and certain waivers, it is the date the completed Medical Certification for Nursing Facility/Home-and Community-Based Services Form (AHCA MEDSERV-3008 form, May 2009) was received; for PAC, it is the date the Project Aids Care Physician Referral and Request for Level of Care Determination Form (607) was received; for other waivers it is the date that the appropriate medical documentation was received. If a Request for Level II PASRR Evaluation and Determination (AHCA Med Serv 004 Part B) was requested, enter the date of receipt of the final report. **Exception:** If staffing without a 3008, enter the date that you determine that a 3008 will not be received or needed. This date must be a current or past date. It cannot be a future date. This will be a two-digit month and day and a four-digit calendar year.

Staffing Date: This is the date that the assessment is staffed. This date must be a current or past date. It cannot be a future date. This will be a two-digit month and day and a four-digit calendar year. *This is a required item.*

Caseworker: This is the name of the caseworker that staffed the case. *This is a required item.*

Staffing Instrument: This is the type of instrument used to staff the case. *This is a required item.* The codes are:

- *M=3036/State Mental Hospital* : Use this code when the case is staffed for placement in a state mental hospital.
- *N=None*: Use this code when no staffing instrument is received. For example, the client will remain in the community and will not enter a nursing home and no 3008 is received.
- *O=Other*: Use this code when the case is staffed using an instrument that is not in the code table.
- *P=CARES Form 607*: Use this code when staffing a Project Aids Care Medicaid Waiver case. This instrument is the Project Aids Care Physician Referral and Request for Level of Care Determination Form.
- *U=3008*: Use this code when staffing with a Medical Certification for Nursing Facility/Home-and Community-Based Services Form (AHCA MEDSERV-3008 form, May 2009).
- *V=3008/Medicaid Waiver*: Use this code when staffing a Medicaid Waiver case (other than Project Aids Care). This instrument is the revised page one of the HRS-MED Form 3008. **Note: This instrument is no longer used.**

Living Arrangement: Enter the appropriate code that reflects the living arrangement of the client at the time of the staffing. **This is a required item.** The codes are:

- *AFCH=Adult Family Care Home*: Any state licensed adult family care home.
- *ALFE=ALF with Ext Cong Care*: Any state licensed ALF which is also licensed to provide extended congregate care.
- *ALFM=ALF with Ltd Ment Hlth Svcs*: Any state licensed ALF which is also licensed to provide limited mental health services.
- *ALFN=ALF with Ltd Nurs Svcs*: Any state licensed ALF which is also licensed to provide limited nursing services.
- *ALFS=Assisted Living Facility*: Any state licensed assisted living facility.
- *ARTS=Adult/Geriatric Residential Treatment Facility*: A residential facility that provides mental health treatment.
- *GRHO=Group Home*: A small residential home sponsored by a state or community entity.
- *HOSP=Hospital*: An institution that provides care for acute illnesses (excluding a state mental hospital). Use this code for all units located within a hospital (swing bed, psychiatric unit, skilled nursing unit, etc.).
- *MRDD=MR/DD Facility*: A facility that provides treatment for people suffering from developmental disabilities (ICF/DD, cluster facility, Sunland, etc.).
- *NUHO=Nursing Home*: A free standing facility that is certified under Medicare/Medicaid to provide nursing services.
- *OTHR=Other*: All other living arrangements exclusive of the ones listed.
- *PRIS=Prison/Jail*: A duly authorized and supervised facility like a jail or a prison.
- *PRRE=Private Residence*: Any unlicensed non-institutional residence.
- *PSYF=Psychiatric Facility*: A free standing facility that provides psychiatric or mental health care.
- *REHB=Rehab Hospital*: Any free standing facility which provides rehabilitation services including drug and alcohol.
- *SAPT=Supervised Apartment*: A complex where supervision is available on a daily basis.
- *SHNH=State Mental Hospital/Nursing Home Unit*: A nursing home unit within a state sponsored or operated mental hospital.
- *SMHO=State Mental Hospital*: A state sponsored or operated facility that provides psychiatric care.
- *TRAN=Transient*: No fixed place of abode, or lives on the road.

Note: If the Living Arrangement is Nursing Home (NUHO), the fields in the Nursing Home panel will become visible and will require entry. A nursing home panel from a previous case will show if a new case is opened and the discharge date is not populated. If the Living Arrangement is not NUHO, the system will force entry of the discharge date. See pages 35-37 for the panel and definitions.

Living Situation: AL=Alone should be entered for all living arrangements except for HOSP, OTHR, PRRE, PSYF, REHB, SAPT, and TRAN. If the living arrangement is any of the seven mentioned, all code choices will be available. If the client is in a hospital and is expected to be discharged to a nursing facility, assisted living facility, or adult family care home, the living situation will be AL=Alone. **This is a required item.** The codes are:

- *AL=Alone*: Client lives alone.
- *WC=With Primary Caregiver*: Client lives with the primary caregiver.
- *WO=With Other*: Client lives with someone other than a caregiver.
- *WOC=With Other Caregiver*: Client lives with a caregiver that is not the primary caregiver.

Placement Recommendation: This indicates the placement recommendation resulting from the case staffing. *This is a required item.* The codes are:

- *AFCH=Adult Family Care Home*: Any state licensed adult family care home.
- *ALFE=ALF with Ext Cong Care*: Any state licensed ALF which is also licensed to provide extended congregate care.
- *ALFM=ALF with Ltd Ment Hlth Svcs*: Any state licensed ALF which is also licensed to provide limited mental health services.
- *ALFN=ALF with Ltd Nurs Svcs*: Any state licensed ALF which is also licensed to provide limited nursing services.
- *ALFS=Assisted Living Facility*: Any state licensed assisted living facility.
- *ARTS=Adult/Ger Res Treat Fac*: A residential facility that provides mental health treatment.
- *GRHO=Group Home*: A small residential home sponsored by a state or community entity.
- *HOSP=Hospital*: A freestanding facility that provides medical care for acute illnesses. This includes swing bed hospitals, hospital skilled nursing units, and inpatient hospice care.
- *MRDD=MR/DD Facility*: Any state licensed facility/center for the developmentally disabled. For example, an ICF/DD, Sunland, cluster facilities, sheltered workshops, etc.
- *NHTP=Temporary Nursing Home*: A short term placement in a nursing home is recommended as the person has potential to return to the community. Refer to NUHO=Nursing Home.
- *NHTR=Nursing Home Transition*: Indicates the person is transitioning from the nursing home to the community. **Obsolete 3/1/14 due to SMMC LTC.**
- *NUHO=Nursing Home*: A freestanding facility which is certified under Medicare and/or Medicaid to provide nursing services.
- *OTHR=Other*: A placement recommendation which is not covered by the codes provided.
- *PRNH=Prison Nursing Home*: A nursing home unit within a duly authorized and supervised facility such as a prison or jail.
- *PRRE=Private Residence*: Any unlicensed non-institutional residence.
- *PSYF=Psychiatric Facility*: Any freestanding facility that provides psychiatric or mental health care (excluding a state mental hospital). This would include a crisis stabilization unit.
- *REHB=Rehabilitation Hospital*: Any freestanding facility which provides rehabilitation services including drug and alcohol.
- *SAPT=Supervised Apartment*: A complex where supervision is available on a daily basis.
- *SHNH=State Mental Hospital/Nursing Home Unit*: A nursing home unit within a state sponsored or operated mental hospital.
- *SMHO=State Mental Hospital*: A state sponsored or operated facility that provides psychiatric care.

Program Considered: This identifies the program that is considered by CARES staff. The system will provide a drop-down box with a list of choices for this field. The choices will be based on the code entered in the placement recommendation field. Please refer to the Staffing Chart on pages 165-166 for selection choices.

This is a required item. The codes are:

- *ACFW=Adult Cystic Fibrosis Waiver*: Adult Cystic Fibrosis Medicaid Waiver Program.
- *ADAW=Aged/Disabled Adults Waiver*: Aged and Disabled Adults Medicaid Waiver Program. **Obsolete 3/1/14.**
- *ADHC=Adult Day Health Care Waiver*: Adult Day Health Care Medicaid Waiver Program.
- *ALFW=Assisted Living Facility Waiver*: Assisted Living Medicaid Waiver Program. **Obsolete 3/1/14.**

- *ALZW=Alzheimer's Disease Waiver*: Alzheimer's Disease Medicaid Waiver Program.
- *BSCW=Brain/Spinal Cord Injury Waiver*: Brain and Spinal Cord Injury Medicaid Waiver Program.
- *CCDA=Community Care for Disabled Adults*: Community Care for Disabled Adults Program.
- *CCFE=Community Care for the Elderly*: Community Care for the Elderly Program.
- *CDCW=Consumer Directed Care Waiver*: Consumer Directed Care Medicaid Waiver Program. **Obsolete 3/1/14.**
- *CHAN=Channeling*: Channeling Medicaid Waiver Program. **Obsolete 3/1/14.**
- *DEVS=Developmental Services*: Agency for Persons with Disabilities Program.
- *ELDC=Ever Care at Home*: Ever Care at Home Program. **Obsolete 3/1/14.**
- *FDMW=Fam Dys Medicaid Waiver*: Familial Dysautonomia Medicaid Waiver Program.
- *HEMO=Health Maint Org*: Health Maintenance Organization Program.
- *HSPC=Hospice*: Hospice Program.
- *LTCC=Managed Long-Term Care/Community*: A Medicaid managed care program providing services in the community.
- *LTCN=Managed Long-Term Care/Nursing Facility*: A Medicaid managed care program providing services in a nursing facility.
- *LTCP=LTC Com Div Pilot Program*: Long Term Care Community Diversion Pilot Medicaid Waiver Program. Also referred to as Nursing Home Diversion. **Obsolete 3/1/14.**
- *NHSS=Specialized Services*: Nursing Home with specialized services recommended. If the results of the Level II Evaluation and Determination show specialized services needed, this code should be used. If the specialized services stop, the code should be changed.
- *NONE=None*: No program considered.
- *OMDW=Other Medicaid Waiver*: Medicaid Waiver exclusive of the waivers listed.
- *OTHR=Other Program*: Other program exclusive of the programs listed.
- *PACE=Prog of All Inc Care for Elderly*: Program of All-Inclusive Care for the Elderly Program.
- *PACW=Project Aids Care Waiver*: Project Aids Care Medicaid Waiver Program.
- *SBHO=Swing Bed Hosp*: Rural hospital certified to provide nursing facility services.
- *SNUH=Skilled Nursing Unit/ Hospital*: Skilled nursing unit within a hospital.

Program Recommendation: This identifies the program that is being recommended by CARES staff. This can be different from the Program Considered. The system will provide a drop-down box with a list of choices for this field. The choices will be based on the code entered in the placement recommendation field. Please refer to the Staffing Chart on pages 165-166 for selection choices. ***This is a required item.*** The codes for this field are the same as for **Program Considered**.

REMINDER:

The following Program Considered/Program Recommendation codes will become obsolete March 1, 2014, due to the Statewide Medicaid Managed Care Long-term Care Program (SMMC LTC): *ADAW, ALFW, CDCW, CHAN, ELDC, and LTCP.*

Note: *If the Program Recommendation is a waiver (ACFW, ADAW, ADHC, ALFW, ALZW, BSCW, CDCW, CHAN, FDMW, LTCC, LTCN, LTCP, PACE, or PACW), the fields in the Waiver panel will become visible and will require entry.*

| | | | |
|--|--------------------------|--|---------|
| Waiver | | | |
| Status Date | 08/01/2013 | Status | PENDING |
| Accepted Date | | | |
| Denial Reason | <null> | Termination Date | |
| Term. Reason | <null> | | |
| DCF Filed Date | | DCF Eligibility Date | |
| DCF Financial Eligibility | <null> | | |
| Date Freedom of Choice Given to Client | | Date Freedom of Choice Return to CARES | |
| Delay Receiving Freedom of Choice? | <input type="checkbox"/> | Delay Reason | <null> |

Status Date: This is the date CARES determines the Medicaid waiver status of the client. It is usually the staffing date or follow-up date. This will be a two-digit month and day and a four-digit calendar year. It cannot be a future date. It must be a current or past date. ***This is a required item.***

Status: This indicates the Medicaid waiver status of the client. ***This is a required item.*** The codes are:

- *A=Approved:* Client was approved for Medicaid waiver.
- *D=Denied:* Client was denied Medicaid waiver.
- *P=Pending:* Client's Medicaid waiver status is pending.
- *W=Waiting List:* Client was put on a waiting list for Medicaid waiver.

Accepted Date: This indicates the date that the client started receiving Medicaid waiver services from the case management agency. This will be a two-digit month and day and a four-digit calendar year. It must be a current or past date. ***This is a required item if the status is A=Approved.***

Denial Reason: This indicates the reason the Medicaid waiver was denied. ***This is a required item if the status is D=Denied.*** The codes are:

- *CD=Client Died:* Client died prior to disposition.
- *IN=In Nursing Home:* Client placed in nursing home prior to disposition.
- *LC=Lost Contact:* Lost contact with client prior to disposition.
- *LS=Left State:* Client left the state prior to disposition.
- *NE=Not Eligible:* Client not eligible for services.
- *OT=Other:* Denied for reason other than ones listed.
- *RM=Refused Medicaid:* Client refused to apply for or accept Medicaid.
- *RS=Refused Service:* Client refused to accept the service(s) offered.
- *VW=Voluntary Withdrawal:* Client/family voluntarily withdrew request for services.

Termination Date: This is the date the client's Medicaid waiver services were terminated. This will be a two-digit month and day and a four-digit calendar year. It must be a current or past date. It cannot be a future date. This is an optional item.

Termination Reason: This indicates the reason the Medicaid waiver services are terminated. ***This is a required item if an entry is made in Termination Date.*** The codes are:

- *CD=Client Died:* Terminated due to client's death.
- *CH=Choose Hospice:* Terminated as client chooses Hospice instead of Medicaid Waiver.
- *FI=Family Intervention :* Terminated due to family intervention.
- *IN=In Nursing Home:* Terminated as client entered a nursing home.

- *LC=Lost Contact:* Terminated due to loss of contact with the client.
- *LS=Left State:* Terminated as client left the state.
- *NF=Not Eligible/Financial:* Terminated as client no longer meets the financial criteria.
- *NM=Not Eligible/Medical:* Terminated as client no longer meets the medical criteria.
- *OT=Other:* Terminated for reason other than ones listed.
- *PR=In Prison/Jail:* Terminated due to client being in prison or jail.

DCF Filed Date: This is the date the Request for Assistance (RFA) is filed with DCF. This will be a two-digit month and day and a four-digit calendar year. ***This field is optional, but an entry should be made, when appropriate, if the Program Recommendation is LTCP. Note: LTCP is obsolete effective 3/1/14.***

DCF Eligibility Date: This is the date the financial eligibility is determined by DCF. This will be a two-digit month and day and a four-digit calendar year. ***This field is optional, but an entry should be made, when appropriate, if the Program Recommendation is LTCP. Note: LTCP is obsolete effective 3/1/14.***

DCF Financial Eligibility: This field reflects the financial eligibility as determined by DCF. ***This field is optional, but an entry should be made when the Program Recommendation is LTCP. Note: LTCP is obsolete effective 3/1/14.*** The codes are:

- *FE=Financially Eligible*
- *NE=Financially Not Eligible*

Date Freedom of Choice Given to Client: ***If the Program Recommendation is LTCP=Long Term Care Community Diversion Pilot Program, this field will be required. Note: This form and LTCP are obsolete effective 3/1/14.*** Enter a two-digit month and day and a four-digit calendar year.

Date Freedom of Choice Returned to CARES: This is an optional item. Once the Freedom of Choice is received in the CARES office, enter the date received. This will be a two-digit month and day and a four-digit calendar year. ***Note: This form is obsolete effective 3/1/14.***

Delay Receiving Freedom of Choice?: ***If there is an entry in Date Freedom of Choice Returned to CARES, this is a required item.*** The choices for this field are Y=Yes or N=No. ***Note: This form is obsolete effective 3/1/14.***

Delay Reason: ***If the Delay Receiving Freedom of Choice is Yes, then the Delay Reason is required.*** If the Delay Receiving Freedom of Choice is No, the field is disabled. ***Note: This form is obsolete effective 3/1/14.*** The codes for this field are:

- *CLD=Client Delay*
- *CRD=CARES Delay*

Primary Caregiver: ***This is a required item.*** A primary caregiver is any person who regularly can be depended on to provide or arrange help as needed with Activities of Daily Living and Instrumental Activities of Daily Living. The primary caregiver may or may not be related by birth or marriage; may or may not live with the client or live nearby; and does not include operators of assisted living facilities, nursing facilities, adult family care homes, home health agencies, service provider staff or other paid care providers. Enter the code that reflects the primary caregiver status of the client. The codes are:

- *N=No:* Client does not have a primary caregiver.
- *U=Unknown:* Client's primary caregiver status is not known.
- *Y=Yes:* Client has a primary caregiver.

Level of Care: This indicates the level of care or waiver eligibility decision resulting from the case staffing.

This is a required item. The codes are:

- ***DNM=Does Not Meet Level of Care:*** Use this code when the individual does not meet level of care as defined in 59G-4.180 or 59G-4.290 of the Florida Administrative Code. This level of care is also used when the individual does not meet level of care for a state mental hospital.
- ***DWC=Does Not Meet Waiver Criteria:*** Use this code when the individual does not meet the established criteria for a particular Medicaid Waiver Program.
- ***INO=Intermediate One:*** Use this code for a level of care which requires direct or supervised nursing or rehabilitative services not included under the definition of skilled services. Intermediate Care is defined in 59G-4.180 of the Florida Administrative Code.
- ***INT=Intermediate Two:*** Use this code for a level of care which requires direct or supervised nursing or rehabilitative services not included under the definition of skilled services. Intermediate Care is defined in 59G-4.180 of the Florida Administrative Code.
- ***MEN=State Mental Hospital:*** Use this code when determining a level of care for an individual seeking admission to or residing in a state mental hospital (not a nursing home unit).
- ***MWC=Meet Waiver Criteria:*** Use this code when the individual meets the established criteria for a particular Medicaid Waiver Program (excluding Project Aids Care)
- ***ROH=Risk of Hospitalization:*** Use this code when the Project Aids Care client is at risk of hospitalization.
- ***RON=Risk of Nursing Home:*** Use this code when the Project Aids Care client is at risk of nursing home.
- ***SKD=Skilled:*** Use this code for a level of care requiring the skills of technical or professional personnel or the provision of services either directly by or under the supervision of such personnel as defined in 59G-4.290 of the Florida Administrative Code.
- ***WHL=Withhold LOC:*** Use this code under the following circumstances: a) a Request for Level II PASRR Evaluation and Determination indicates that the individual requires specialized services and those services cannot be provided in a nursing facility; b) a Request for Level II PASRR Evaluation and Determination indicates the individual is not appropriate for nursing facility placement; c) a 3008 or supporting medical documentation has not been received; or d) referrals are made to case management agencies or managed care organizations for Medicaid waiver services when the program has reached funding capacity and a waiting list for services is being maintained.

Level of Care/Waiver Effective Date: This is the date the assigned level of care or waiver certification is effective. This date is based on the date the physician signs the AHCA MEDSERV-3008 form, the CARES Form 607, or any other instrument used to staff the case **or** the effective date if one is provided on the staffing instrument. ***This is a required item unless the staffing instrument is N=None.***

Income Level: This identifies the client's level of income based on certain eligibility standards for Medicaid. ***This is a required item if the Program Recommendation is a Medicaid waiver (ACFW, ADAW, ADHC, ALFW, ALZW, BSCW, CDCW, CHAN, FDMW, LTCC, LTCN, LTCP, PACE, or PACW).*** An entry is only allowed in this field if the program is a waiver. The codes are:

- ***I=ICP:*** Institutional Care Program.
- ***M=MEDS-AD:*** Medicaid Expansion Designated by SOBRA for the Aged and Disabled.
- ***S=SSI:*** Supplemental Security Income.

Level of Care Approved By: This identifies the individual signing the level of care form which indicates the level of care for the client. This approval is done at the CARES staffing by the CARES OPS Physician Consultant or a CARES Registered Nurse Specialist. ***This is a required item.***

Edit: Select this option if you want to edit the information previously saved on the Staffing screen.

Save: Select this option if you want to save the information entered or edited on the Staffing screen.

Cancel: Select this option if you want to cancel without saving the information entered or edited.

Close: Select this option to close the Staffing screen.

REMINDER:

If the placement recommendation is nursing home (NUHO) or temporary nursing home (NHTP) and PAS has not been entered, the system will generate a pop-up box reminding you that PAS needs to be entered. If you select “OK”, the system will go to the PAS screen. At PAS, when you select “Save” and “Close,” the system will return you to the Staffing screen.

If the MI and/or MR Exclusion/Exemption=NO or NE and PAS is not complete, once you enter a placement recommendation of NUHO or NHTP, a pop-up box will appear giving you a message that the Level II information must be entered prior to entering staffing information.

A Nursing Home panel from a previous case will show if a new case is opened and the discharge date is not populated. If the Living Arrangement is not Nursing Home, the system will force entry of the discharge date. The same is true for the Waiver panel; if information has been entered previously with no termination date, the information will display in the panel.

When staffing with a 3008:

*If the level of care is DNM, do not enter an effective date on the 603 or the CIF.

*If the level of care is WHL, enter an effective date on the 603 and the CIF.

When the program considered is LTCP, a pop-up box will appear to remind you to enter “Date Enter Pipeline” on the NHD Screen, if appropriate. *Note: LTCP becomes obsolete 3/1/14.*

If the Waiver Recertification box is checked “Y=Yes” at Assessment, two things happen:

*No follow-up will be scheduled at Staffing.

*It will not cancel a previously scheduled follow-up.

You will receive a pop-up message to confirm if you want to leave the case open without a follow-up. Be careful not to leave a case open without a scheduled follow-up.

The following Program Considered/Program Recommendation codes will become obsolete March 1, 2014, due to the Statewide Medicaid Managed Care Long-term Care Program (SMMC LTC): ADAW, ALFW, CDCW, CHAN, ELDC, and LTCP.

The placement recommendation code of NHTR=Nursing Home Transition will become obsolete on 3/1/14 due to SMMC LTC.

The Freedom of Choice form becomes obsolete March 1, 2014, due to SMMC LTC.

REFERRAL SCREEN

The screenshot shows the 'CARES Cases' application window. At the top, there is a menu bar with 'Action', 'Menu', 'Edit', 'Block', 'Field', 'Record', 'Query', and 'Help'. Below the menu is a toolbar with various icons. The main content area is divided into several sections:

- CARES CASE:** 20130827
- CIRTS CARES Cases Information:** Date: 10/21/2013, User: REGIONALCARES
- CARES Cases for:** JOHNNY GOOD, SSN: 182182182, Demographic Complete (checked), PAS Complete (checked)
- Table 1:** A table with columns: Opened on, Reason, Referral Source, Payment Type, Status, Closed on, Reason, PSA. The first row contains: 07/16/2013, INITIAL CASE, FAMILY, MEDICAID PENDING, OPEN, (blank), (blank), 02A.
- Buttons:** Add Case, Close Case, Delete Case, Print CIF, Print Blank CIF, Search Client, CARES Assignments, Close.
- Navigation Tabs:** Assignment, Assessments, Staffings, Referrals (selected), Followups, Case Notes.
- Table 2 (Referrals):** A table with columns: Referral Date, Referred To, Imminent Risk, Provider, Disposition, PSA. The first row is highlighted in light blue, and a yellow arrow points to the PSA column of this row.
- Buttons:** Add New Referral, View Selected Referral.

When you click on the **Referrals** tab, a summary screen displays all referrals related to that client. The screen displays the Referral Date, Referred To, Imminent Risk (Y=Yes, N=No), Provider, Disposition and PSA. You can edit or view the referral information. Only a Supervisor Role can edit a referral for a closed case. To view an existing referral, click on the referral to highlight it. Then select View Selected Referral.

You can refer to multiple sources, but you cannot refer to the same source more than once on the same date.

The CARES Cases Information will still be displayed on the screen and you can select the same options described under Cases (Add Case, Close Case, Delete Case, Print CIF, Print Blank CIF, Search Client, CARES Assignments and Close).

Add New Referral: Select this option if you want to add a new referral.

View Selected Referral: Select this option if you want to view the highlighted referral.

When you select **Add New Referral** the CARES Referral screen will appear.

The fields in pink are required when a new referral is entered (Employee, Referral Date, Imminent Risk, and Referred To). To update the referral information you will need to select “Edit” to enter data in the other fields. The fields labeled in blue also appear on the Aging Network Referral Screen (Employee, Referral Date, Imminent Risk, Transition Referral, NH Admit Date, Referred To, CARES Provider, and Date Received by Aging Network).

REFERRAL SCREEN DEFINITIONS

Employee: This is the name of the caseworker that is making the referral. *This is a required item.*

Referral Date: This is the date the referral for services is made. *This is a required item.* This date must be a current or past date. It cannot be a future date. This will be a two-digit month and day and a four-digit calendar year.

Imminent Risk: This indicates whether or not the client is at imminent risk of nursing facility placement. Enter Y=Yes or N=No. *This is a required item.*

Transition Referral: *This is a required item if the response is Y=Yes to “Imminent Risk.”* The response choices are Y=Yes or N=No. The client must have a nursing home admit date in order to enter a response of Y=Yes.

NH Admit Date: This item is automatically populated by the system based on the admit date entered on the Nursing Home panel. This field will only populate if the response is Y=Yes to “Transition Referral.”

Referred To: This indicates the appropriate agency where the referral for services is being made. *This is a required item.* The codes are:

- AAA=*Area Agency on Aging*: State contracted agency which provides direction to lead agencies.
- AAS=*Adult Services*: State program of the Department of Children and Families that provides services to aged/disabled adults.
- AHC=*Agency for Health Care Administration*: State agency responsible for administering Medicaid.
- ALZ=*Alzheimer's Disease Waiver*: Alzheimer's Disease Medicaid Waiver Program.
- ARC=*ARC or ADRC*: Aging Resource Center or Aging and Disability Resource Center.
- ARCT=*ARC/Transition Case Management*: An agency providing case management for NH transition clients. **Obsolete 3/1/14.**
- BHP=*Broward Homebound Program*: A private agency which provides community services to disabled adults.
- CDC=*Consumer Directed Care*: Consumer Directed Care Medicaid Waiver Program. **Obsolete 3/1/14.**
- CFW=*Adult Cystic Fibrosis Waiver*: Adult Cystic Fibrosis Medicaid Waiver Program.
- CHA=*Channeling*: Channeling Medicaid Waiver Program. **Obsolete 3/1/14.**
- DES=*Developmental Services*: Agency for Persons with Disabilities.
- DOH=*Department of Health*: Department of Health.
- ELD=*Evercare at Home*: A program which provides community services for frail elderly people. **Obsolete 3/1/14.**
- HHC=*Home Health Care*: A private agency providing home health services.
- HMO=*Health Maint Org*: Health Maintenance Organization.
- LEA=*Lead Agency*: State contracted agency providing community services.
- LTS=*LTC Diversion Suitable*: Identifies those clients suitable for the Nursing Home Diversion Program. **Obsolete 3/1/14.**
- MCO=*Managed Care Org*: Managed Care Organization.
- MHC=*Massada Home Care*: A private agency which provides short term community services to adults.
- NGC=*Non Gov Com Agency*: Any agency that is not sponsored by the government.
- OGA=*Other Government Community Agency*: Any agency not listed that is sponsored by the government.
- OTH=*Other*: Any agency not listed.
- PAC=*Project Aids Care*: Project Aids Care Medicaid Waiver Program.
- PCE=*Program of All Inc Care for Elderly*: Agency that is providing services under the PACE program.
- UHC=*United Home Care*: A HMO which provides community services to adults.
- VOC=*Vocational Rehabilitation*: State program of the Department of Education.

CARES Provider: This is a list of providers for the individual Planning and Service Area (PSA). Each PSA determines the providers that are listed. This list can include the names of hospitals, lead agencies, nursing facilities, etc. within the PSA. This is an optional item.

Date Received by Aging Network: The aging network will populate this field once they receive the referral from CARES. No entry is allowed in this field by CARES.

Case Manager: This indicates the designated case management unit for the case. This is an optional item. The codes are:

- AAS=*Adult Services*: Adult Services staff of the Department of Children and Families.
- ADC=*Adult Day Health Care*: Staff of an agency providing services under the Adult Day Health Care Medicaid Waiver Program.
- AHC=*Agency for Health Care Administration*: Staff of the Agency for Health Care Administration.

- *ALZ=Alzheimer's Disease Waiver:* Staff of an agency providing services under the Alzheimer's Disease Medicaid Waiver Program.
- *ARC=ARC or ADRC:* Aging Resource Center or Aging and Disability Resource Center.
- *BHP=Broward Homebound Program:* Staff of the Broward Homebound program.
- *CAR=CARES:* CARES staff of the Department of Elder Affairs.
- *CDA=Community Care for Disabled Adults:* Adult Services staff of the Department of Children and Families **or** staff of an agency providing services under the Community Care for Disabled Adults Program.
- *CFW=Cystic Fibrosis Waiver:* Staff of the Department of Health.
- *CHA=Channeling:* Staff of an agency providing services under the Channeling Medicaid Waiver Program. **Obsolete 3/1/14.**
- *DES=Developmental Services:* Staff of the Agency for Persons with Disabilities.
- *DOH=Department of Health:* Staff of the Department of Health.
- *ELD=Evercare at Home:* Staff of an agency providing community services for frail elderly people. **Obsolete 3/1/14.**
- *HHC=Home Health Care:* Staff of a private agency which provides home health services.
- *HMO=Health Maintenance Org:* This is an inactive code in CIRTS and is not used any longer.
- *LEA=Lead Agency:* Staff of the local lead agency which provide case management for various programs.
- *MCO=Managed Care Org:* Staff of a managed care organization.
- *MEH=Mental Health:* Staff of any agency which provides mental health services.
- *MHC=Massada Home Care:* Staff of the Massada Home Care Program.
- *OMW=Other Medicaid Waiver:* Staff of an agency providing services under any Medicaid waiver exclusive of the ones listed.
- *PAC=Project Aids Care:* Staff of an agency providing services under the Project Aids Care Medicaid Waiver Program.
- *PCE=Prog of All Inc Care for the Elderly:* Staff of an agency providing services under the PACE Program.
- *UHC=United Home Care:* Staff of United Home Care.
- *VOC=Vocational Rehabilitation:* Staff of a state program under the Department of Education.

Response Date: This is the date a response is received from the referral agency. This will be a two-digit month and day and a four-digit calendar year. This date must be a current date or a past date. It cannot be a future date. This is an optional item.

Response Type: This indicates the type of response received regarding the referral. ***This is a required item if there is an entry in Response Date.*** The codes are:

- *OCM=Office Visit/Case Manager:* Case manager made a visit to the CARES office.
- *OVC=Office Visit/CARES:* CARES staff made a visit to the case manager's office.
- *TCC=Telephone Call/CARES:* CARES staff telephoned the case manager's office.
- *TCM=Telephone Call/Case Manager:* Case manager telephoned the CARES office.
- *WCM=Written/Case Manager:* Case manager responded in writing.

Disposition: This indicates the action taken by the referral agency. ***This is a required item if there is an entry in Response Type.*** The codes are:

- *A=Approved:* Referral agency approved the client for services.
- *D=Denied:* Referral agency denied services for the client.
- *W=Waiting List:* Referral agency put the client on a waiting list.

Disposition Date: This indicates the date the referral agency takes action to dispose of the referral. For example, on 10/23/13 the client is put on a waiting list. The Disposition Date would be 10/23/13. This will be a two-digit month and day and a four-digit calendar year. It must be a current or past date. It cannot be a future date. This is an optional item.

Denial Reason: This indicates the reason the referral was denied by the referral agency. *This is a required item if the Disposition is D=Denied.* The codes are:

- *CD=Client Died:* Client died prior to disposition.
- *IN=In Nursing Home:* Client placed in nursing home prior to disposition.
- *LC=Lost Contact:* Lost contact with client prior to disposition.
- *LS=Left State:* Client left the state prior to disposition.
- *NE=Not Eligible:* Client not eligible for services.
- *OT=Other:* Denied for reason other than the ones listed.
- *RM=Refused Medicaid :* Client refused to apply for or accept Medicaid.
- *RS=Refused Service:* Client refused to accept the service(s) offered.
- *SN=Service Not Available:* Denied as service(s) requested not available.

Edit: Select this option if you want to edit existing referral information.

Save: Select this option if you want to save the information entered or edited.

Cancel: Select this option if you want to cancel without saving the information entered or edited.

Delete: Select this option if you want to delete the referral.

Close: Select this option if you want to close the Referral screen.

REMINDER:

A referral is “complete” when there is a disposition and disposition date entered on the Referral screen. A 30-day follow-up will be scheduled every 30 days by the system until the referral is “complete.” The “complete” referral information must be entered prior to entering the scheduled follow-up in order to cancel the ongoing 30-day follow-ups.

Referrals should only be made to the AAA, ADRC or lead agency within the same PSA as the CARES office. If a referral is sent outside the PSA, the AAA, ADRC or lead agency in another PSA will not be able to enter “Date Received by Aging Network”, which they are required to do.

Certain “Referred To” and “Case Manager” codes become obsolete March 1, 2014, due to SMMC LTC.

FOLLOW UP SCREEN

The screenshot shows the CARES Cases application window. At the top, there's a menu bar with 'Action', 'Menu', 'Edit', 'Block', 'Field', 'Record', 'Query', and 'Help'. Below the menu is a toolbar with various icons. The main area is divided into several sections:

- CARE CASE:** 20130827
- CIRTS CARES Cases Information:** Date: 10/23/2013, User: REGIONALCARES
- CARES Cases for:** JOHNNY GOOD, SSN: 182182182, Demographic Complete (checked), PAS Complete (checked)
- Table of Cases:**

| Opened on | Reason | Referral Source | Payment Type | Status | Closed on | Reason | PSA |
|------------|--------------|-----------------|------------------|--------|-----------|--------|-----|
| 07/16/2013 | INITIAL CASE | FAMILY | MEDICAID PENDING | OPEN | | | 02A |
| | | | | | | | |
| | | | | | | | |
- Buttons:** Add Case, Close Case, Delete Case, Print CIF, Print Blank CIF, Search Client, CARES Assignments, Close
- Navigation Tabs:** Assignment, Assessments, Staffings, Referrals, Followups (selected), Case Notes
- Staffing And Follow-up Dates:**

| Staffing Date | Follow-up Date |
|---------------|----------------|
| 08/01/2013 | 11/01/2013 |
| 08/01/2013 | 09/01/2013 |
| | |
- Follow-up Information:**

| Scheduled Date | Followup Type | Employee Scheduled | Followup Status | Completed Date | PSA |
|----------------|---------------|--------------------|--------------------|----------------|-----|
| 11/01/2013 | 90 DAY | OTHER OTHER | FOLLOWUP SCHEDULED | | 02A |
- Buttons:** Add Unscheduled Followup, Delete Unscheduled Followup, View Selected Followup, Print Follow-up CIF

When you click on the **Followups** tab, a summary screen displays all follow-ups related to that case. For each follow-up the screen displays the follow-up scheduled date, follow-up type, employee scheduled, follow-up status, completed date, and PSA. You can click on the particular follow-up that you want to view or edit. Only a Supervisor Role can edit a follow-up for a closed case. The CARES Cases Information will still be displayed on the screen and you can select the same options described under Cases (Add Case, Close Case, Delete Case, Print CIF, Print Blank CIF, Search Client, CARES Assignments, and Close). This screen also has a panel that lists the staffing date and follow-up date that is a result of the staffing. This is where you highlight the follow-up to be viewed.

- Add Unscheduled Followup:** Select this option to add an unscheduled follow up for an open case.
- Delete Unscheduled Followup:** Select this option to delete an unscheduled follow-up for an open case. This button will be disabled if an unscheduled follow-up has not been scheduled.
- View Selected Followup:** Select this option to view a highlighted follow-up. Click on the follow-up in the Staffing Date and Follow-up Date panel to highlight the follow-up you want to view.
- Print Follow-up CIF:** Select this option if you want to print a Follow-up CIF for a highlighted follow-up.

When you select **View Selected Followup**, the CARES Follow-up screen appears.

This screen will capture data regarding the client’s current status. The system will collect information such as the client’s current living arrangement, living situation, placement recommendation, program recommendation, case manager, and primary caregiver status. The system will also capture specific information concerning nursing home placement, swing bed or hospital skilled nursing unit status, or Medicaid waiver status. *Note: In order to enter follow-up information for a scheduled or unscheduled follow-up, you must first select “Edit.”*

FOLLOWUP SCREEN DEFINITIONS

Scheduled Date: This is the date of the scheduled follow-up. The system establishes this date and no entry is allowed in this field.

Caseworker Scheduled: This is the caseworker that owns the case and is responsible for the follow-up. The system establishes the caseworker based on **Case Assignment**. No entry is allowed in this field.

Followup Status: The system enters this information and no entry is allowed in this field. The codes are SC=Followup Scheduled and CO=Followup Completed.

Followup Type: This is the type of the follow-up. The codes are TD=30 Day, ND=90 Day, OD=180 Day, AN=Annual, OA=Ongoing Annual, and UF=Unscheduled Followup. The system enters this information and no entry is allowed in this field.

Referral Complete: If this box is checked it means complete referral information has been entered on the Referral screen. If this box is not checked it means a follow-up will be scheduled every 30 days until the information is complete. See Referral screen for a definition of complete.

PAS Complete: If this box is checked it means complete PAS information has been entered on the PAS screen. If this box is not checked it means a follow-up will be scheduled every 30 days until the information is complete. See PAS Screen for definition of complete.

Completed Date: This is the date the follow-up is completed. This will be a two-digit month and day and a four-digit calendar year. This cannot be a future date. It must be a current or past date. ***This is a required item.*** The system will generate a pop-up box that will advise you if the follow-up is too early. You cannot enter a Completed Date that is prior to the 15-day window for follow-ups.

Caseworker Completed: This indicates the caseworker that completed the follow-up. ***This is a required item.***

Placement Recommendation: This indicates the placement recommendation at the time of follow-up. ***This is a required item.*** The codes are:

- *AFCH=Adult Family Care Home:* Any state licensed adult family care home.
- *ALFE=ALF with Ext Cong Care:* Any state licensed ALF which is also licensed to provide extended congregate care.
- *ALFM=ALF with Ltd Ment Hlth Svcs:* Any state licensed ALF which is also licensed to provide limited mental health services.
- *ALFN=ALF with Ltd Nurs Svcs:* Any state licensed ALF which is also licensed to provide limited nursing services.
- *ALFS=Assisted Living Facility:* Any state licensed assisted living facility.
- *ARTS=Adult/Ger Res Treat Fac:* A residential facility that provides mental health treatment.
- *GRHO=Group Home:* A small residential home sponsored by a state or community entity.
- *HOSP=Hospital:* A freestanding facility that provides medical care for acute illnesses. This includes swing bed hospitals, hospital skilled nursing units, and inpatient hospice care.
- *MRDD=MR/DD Facility:* Any state licensed facility/center for the developmentally disabled. For example, an ICF/DD, Sunland, cluster facilities, sheltered workshops, etc.
- *NHTP=Temporary Nursing Home:* A short term placement in a nursing home is recommended as the person has potential to return to the community. Refer to NUHO=Nursing Home.
- *NHTR=Nursing Home Transition:* Indicates the person is transitioning from the nursing home to the community. **Obsolete 3/1/14 due to SMMC LTC.**
- *NUHO=Nursing Home:* A freestanding facility which is certified under Medicare and/or Medicaid to provide nursing services.
- *OTHR=Other:* A placement recommendation which is not covered by the codes provided.
- *PRNH=Prison Nursing Home:* A nursing home unit within a duly authorized and supervised facility such as a prison or jail.
- *PRRE=Private Residence:* Any unlicensed non-institutional residence.
- *PSYF=Psychiatric Facility:* Any freestanding facility that provides psychiatric or mental health care (excluding a state mental hospital). This would include a crisis stabilization unit.
- *REHB=Rehabilitation Hospital:* Any freestanding facility which provides rehabilitation services including drug and alcohol.
- *SAPT=Supervised Apartment:* A complex where supervision is available on a daily basis.
- *SHNH=State Mental Hospital/Nursing Home Unit:* A nursing home unit within a state sponsored or operated mental hospital.
- *SMHO=State Mental Hospital:* A state sponsored or operated facility that provides psychiatric care.

Program Recommendation: This identifies the program that is being recommended by CARES staff. The system will provide a drop-down box with a list of choices for this field. The choices available will be based on the code entered in the placement recommendation field. Please refer to the Staffing Chart on pages 165-166 for selection choices. ***This is a required item.*** The codes are:

- *ACFW=Adult Cystic Fibrosis Waiver:* Adult Cystic Fibrosis Medicaid Waiver Program.
- *ADAW=Aged/Disabled Adults Waiver:* Aged and Disabled Adults Medicaid Waiver Program. **Obsolete 3/1/14.**
- *ADHC=Adult Day Health Care Waiver :* Adult Day Health Care Medicaid Waiver Program.
- *ALFW=Assisted Living Facility Waiver :* Assisted Living Medicaid Waiver Program. **Obsolete 3/1/14.**
- *ALZW=Alzheimer's Disease Waiver:* Alzheimer's Disease Medicaid Waiver Program.
- *BSCW= Brain/Spinal Cord Injury Waiver:* Brain and Spinal Cord Injury Medicaid Waiver Program.
- *CCDA=Community Care for Disabled Adults:* Community Care for Disabled Adults Program.
- *CCFE=Community Care for the Elderly :* Community Care for the Elderly Program.
- *CDCW=Consumer Directed Care Waiver:* Consumer Directed Care Medicaid Waiver Program. **Obsolete 3/1/14.**
- *CHAN=Channeling:* Channeling Medicaid Waiver Program. **Obsolete 3/1/14.**
- *DEVS=Developmental Services :* Agency for Persons with Disabilities Program.
- *ELDC=Ever Care at Home:* Ever Care at Home Program. **Obsolete 3/1/14.**
- *FDMW=Fam Dys Medicaid Waiver:* Familial Dysautonomia Medicaid Waiver Program.
- *HEMO=Health Maint Org:* Health Maintenance Organization Program.
- *HSPC=Hospice:* Hospice Program.
- *LTCC=Managed Long-Term Care/Community:* A Medicaid managed care program providing services in the community.
- *LTCN=Managed Long-Term Care/Nursing Facility:* A Medicaid managed care program providing services in a nursing facility.
- *LTCP=LTC Com Div Pilot Program:* Long Term Care Community Diversion Pilot Medicaid Waiver Program. Also referred to as Nursing Home Diversion. **Obsolete 3/1/14.**
- *NHSS=Specialized Services:* Nursing Home with specialized services recommended. If the results of the Level II Evaluation and Determination show specialized services needed, this code should be used. If the specialized services stop, the code should be changed.
- *NONE=None:* No program considered.
- *OMDW=Other Medicaid Waiver:* Medicaid Waiver exclusive of the waivers listed.
- *OTHR=Other Program:* Other program exclusive of the programs listed.
- *PACE=Prog of All Inc Care for Elderly:* Program of All-Inclusive Care for the Elderly Program.
- *PACW=Project Aids Care Waiver:* Project Aids Care Medicaid Waiver Program.
- *SBHO=Swing Bed Hosp:* Rural hospital certified to provide nursing facility services.
- *SNUH=Skilled Nursing Unit/ Hospital :* Skilled nursing unit within a hospital.

REMINDER:

The following Program Recommendation codes will become obsolete March 1, 2014, due to the Statewide Medicaid Managed Care Long-term Care Program (SMMC LTC): *ADAW, ALFW, CDCW, CHAN, ELDC, and LTCP.*

The placement recommendation code of *NHTR=Nursing Home Transition* becomes obsolete 3/1/14 due to SMMC LTC.

Note: *If the Program Recommendation is a waiver (ACFW, ADAW, ADHC, ALFW, ALZW, BSCW, CDCW, CHAN, FDMW, LTCC, LTCN, LTCP, PACE, or PACW), the fields in the Waiver panel will become visible and will require entry. See pages 99-100 for the panel and definitions.*

Note: *If the Program Recommendation is SBHO=Swing Bed Hospital or SNUH=Skilled Nursing Unit/Hospital, the fields in the Swingbed/Skilled Nursing panel will become visible and require entry.*

| Swingbed / Skilled Nursing | | | | |
|----------------------------|----------------------|----------------------|------------------|-------------------------|
| Admit Date | Discharge Date | Ext. Req. Date | Extension Status | Extension Denial Reason |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <null> | <null> |

Admit Date: This is the date the client was admitted to a swing bed or skilled nursing unit within a hospital. This will be a two-digit month and day and a four-digit calendar year. It must be a current or past date. It cannot be a future date. ***This is a required item.***

Discharge Date: This is the date the client is discharged from a swing bed or skilled nursing unit within a hospital. This will be a two-digit month and day and a four-digit calendar year. It must be a current or past date. It cannot be a future date. This is an optional item.

Ext. Req. Date: This is the date that the provider requests an extension for the swing bed or skilled nursing unit stay. This will be a two-digit month and day and a four-digit calendar year. It must be a current or past date. It cannot be a future date. This is an optional item.

Extension Status: This indicates the disposition of the request for an extension. ***This is a required item if there is a date in Ext. Req. Date.*** The codes are:

- *A=Approved:* Extension approved by CARES.
- *D=Denied:* Extension denied by CARES.

Extension Denial Reason: This indicates the reason the extension request was denied. ***This is a required item if the Extension Status is D=Denied.*** The codes are:

- *DNM=Does Not Meet Level of Care:* The individual does not meet level of care as defined in 59G-4.180 or 59G-4.290 of the Florida Administrative Code.
- *NIE=Not ICP Eligible:* The individual is not eligible for ICP.
- *OTH=Other:* The extension is denied for reason other than the ones listed.

Spec Services being Provided? *If the program recommendation is NHSS=Needs Specialized Services, you will be required to enter a Y=Yes or N=No in this field.* A “Yes” indicates the person is currently receiving specialized services and a “No” indicates the person is not receiving specialized services. This field will be disabled if the program recommendation is not NHSS.

Living Arrangement: Enter the appropriate code that reflects the living arrangement of the client at the time of the follow-up. ***This is a required item.*** The codes are:

- *AFCH=Adult Family Care Home:* Any state licensed adult family care home.
- *ALFE=ALF with Ext Cong Care:* Any state licensed ALF which is also licensed to provide extended congregate care.
- *ALFM=ALF with Ltd Ment Hlth Svcs:* Any state licensed ALF which is also licensed to provide limited mental health services.
- *ALFN=ALF with Ltd Nurs Svcs:* Any state licensed ALF which is also licensed to provide limited nursing services.
- *ALFS=Assisted Living Facility:* Any state licensed assisted living facility.
- *ARTS=Adult/Geriatric Residential Treatment Facility:* A residential facility that provides mental health treatment.

- *GRHO=Group Home*: A small residential home sponsored by a state or community entity.
- *HOSP=Hospital*: An institution that provides care for acute illnesses (excluding a state mental hospital). Use this code for all units located within a hospital (swing bed, psychiatric unit, skilled nursing unit, etc.).
- *MRDD=MR/DD Facility*: A facility that provides treatment for people suffering from developmental disabilities (ICF/DD, cluster facility, Sunland, etc.).
- *NUHO=Nursing Home*: A free standing facility that is certified under Medicare/Medicaid to provide nursing services.
- *OTHR=Other*: All other living arrangements exclusive of the ones listed.
- *PRIS=Prison/Jail*: A duly authorized and supervised facility like a jail or a prison.
- *PRRE=Private Residence*: Any unlicensed non-institutional residence.
- *PSYF=Psychiatric Facility*: A free standing facility that provides psychiatric or mental health care.
- *REHB=Rehab Hospital*: Any free standing facility which provides rehabilitation services including drug and alcohol.
- *SAPT=Supervised Apartment*: A complex where supervision is available on a daily basis.
- *SHNH=State Mental Hospital/Nursing Home Unit*: A nursing home unit within a state sponsored or operated mental hospital.
- *SMHO=State Mental Hospital*: A state sponsored or operated facility that provides psychiatric care.
- *TRAN=Transient*: No fixed place of abode, or lives on the road.

Note: *If the Living Arrangement is NUHO=Nursing Home, the fields in the Nursing Home panel will become visible and will require entry. See pages 35-37 for the panel and definitions.*

Living Situation: AL=Alone should be entered for all living arrangements except for HOSP, OTHR, PRRE, PSYF, REHB, SAPT, and TRAN. If the living arrangement is any of the seven mentioned, all code choices will be available. If the client is in a hospital and is expected to be discharged to a nursing facility, assisted living facility, or adult family care home, the living situation will be AL=Alone. ***This is a required item.*** The codes are:

- *AL=Alone*: Client lives alone.
- *WC=With Primary Caregiver*: Client lives with the primary caregiver.
- *WO=With Other*: Client lives with someone other than a caregiver.
- *WOC=With Other Caregiver*: Client lives with a caregiver that is not the primary caregiver.

County: This is the county in which the client is physically located at the time of the follow-up. Enter the appropriate county. ***This item is required.*** Only the counties within each PSA will be available in the drop-down box.

Case Manager: This indicates the designated case management unit for the case. ***This is a required item.*** The codes are:

- *AAS=Adult Services*: Adult Services staff of the Department of Children and Families.
- *ADC=Adult Day Health Care*: Staff of an agency providing services under the Adult Day Health Care Medicaid Waiver Program.
- *AHC=Agency for Health Care Administration*: Staff of the Agency for Health Care Administration.
- *ALZ=Alzheimer's Disease Waiver*: Staff of an agency providing services under the Alzheimer's Disease Medicaid Waiver Program.
- *ARC=ARC or ADRC*: Aging Resource Center or Aging and Disability Resource Center.
- *BHP=Broward Homebound Program*: Staff of the Broward Homebound program.
- *CAR=CARES*: CARES staff of the Department of Elder Affairs.
- *CDA=Community Care for Disabled Adults*: Adult Services staff of the Department of Children and Families **or** staff of an agency providing services under the Community Care for Disabled Adults Program.
- *CFW=Cystic Fibrosis Waiver*: Staff of the Department of Health.

- *CHA=Channeling*: Staff of an agency providing services under the Channeling Medicaid Waiver Program. **Obsolete 3/1/14.**
- *DES=Developmental Services*: Staff of the Agency for Persons with Disabilities.
- *DOH=Department of Health*: Staff of the Department of Health.
- *ELD=Evercare at Home*: Staff of an agency providing services under the Elder Care Plan. **Obsolete 3/1/14.**
- *HHC=Home Health Care*: Staff of a private agency which provides home health services.
- *HMO=Health Maintenance Org*: This is an inactive code in CIRTS and is not used any longer.
- *LEA=Lead Agency*: Staff of the local lead agency which provide case management for various programs.
- *MCO=Managed Care Org*: Staff of a managed care organization.
- *MEH=Mental Health*: Staff of any agency which provides mental health services.
- *MHC=Massada Home Care*: Staff of the Massada Home Care Program.
- *OMW=Other Medicaid Waiver*: Staff of an agency providing services under any Medicaid waiver exclusive of the ones listed.
- *PAC=Project Aids Care*: Staff of an agency providing services under the Project Aids Care Medicaid Waiver Program.
- *PCE=Prog of All Inc Care for the Elderly*: Staff of an agency providing services under the PACE Program.
- *UHC=United Home Care*: Staff of United Home Care.
- *VOC=Vocational Rehabilitation*: Staff of a state program under the Department of Education.

Followup Site: This identifies where the follow-up actually took place. *This is a required item.* The codes are:

- *ADC=Adult Day Care*: A facility which provides less than 24-hour care for certain eligible adults.
- *AFCH=Adult Family Care Home*: Any state licensed adult family care home.
- *ALF=Assisted Living Facility*: Any state licensed assisted living facility.
- *ALFE=ALF with Ext Cong Care*: Any state licensed ALF which is also licensed to provide extended congregate care.
- *ALFM=ALF with Ltd Ment Hlth Svcs*: Any state licensed ALF which is also licensed to provide limited mental health services.
- *ALFN=ALF with Ltd Nurs Svcs*: Any state licensed ALF which is also licensed to provide limited nursing services.
- *ARTS=Adult/Ger Res Treat Fac*: A residential facility which provides mental health treatment.
- *CARE=Onsite in CARES Office*: Follow-up completed with the client in the CARES office.
- *CH=Client/Relative's Home*: The client or relative's private residence.
- *GRHO=Group Home*: A small residential home sponsored by a state or community entity.
- *H=Hospital*: An institution that provides care for acute illnesses (excluding a state mental hospital, swing bed hospital, and a skilled nursing unit within a hospital).
- *M=Meal Site*: Meal site sponsored by a lead agency.
- *MRDD=MR/DD Facility*: A facility that provides treatment for people suffering from developmental disabilities (ICF/DD, cluster facility, Sunland, etc.).
- *NH=Nursing Home*: A freestanding facility that is certified under Medicare and/or Medicaid to provide nursing services.
- *OAA=Older American Act*: Federally funded program administered by the Department of Elder Affairs.
- *OFFC=Office/Medical Case File Review*: Indicates the follow-up was completed in the CARES office.
- *OT=Other*: All other follow-up sites exclusive of the ones listed.
- *PRIS=Prison/Jail*: A duly authorized and supervised facility like a jail or a prison.
- *PSA=PSA Specific*: Site specific to a Planning and Service Area.

- *PSYF=Psychiatric Facility*: A freestanding facility that provides psychiatric or mental health care.
- *SBHO=Swing Bed Hospital*: A rural hospital that is certified under Medicare/Medicaid to provide nursing services.
- *SMHO=State Mental Hospital*: A state sponsored or operated facility that provides psychiatric care.
- *SNUH=Skilled Nursing Unit/Hospital*: A section within a hospital which is certified under Medicare/Medicaid to provide skilled nursing services.
- *T=Telephone Screen*: Indicates an assessment completed by telephone.

Primary Caregiver: *This is a required item.* A primary caregiver is any person who regularly can be depended on to provide or arrange help as needed with Activities of Daily Living and Instrumental Activities of Daily Living. The primary caregiver may or may not be related by birth or marriage; may or may not live with the client or live nearby; and does not include operators of assisted living facilities, nursing facilities, adult family care homes, home health agencies, service provider staff or other paid care providers. Enter the code that reflects the primary caregiver status of the client. The codes are:

- *N=No*: Client does not have a primary caregiver.
- *U=Unknown*: Client's primary caregiver status is not known.
- *Y=Yes*: Client has a primary caregiver.

Waiting for NH Reason: This indicates why the client is waiting for placement in a nursing home. *This field is required if the placement recommendation is nursing home and the living arrangement is not nursing home.* The codes are:

- *FI=Family/Individual Delay*: Family has not followed through with nursing home placement.
- *IH=Still in Hospital*: Client remains in the hospital.
- *NB=No Bed Available*: No nursing home bed is available.
- *OT=Other*: Reason other than the ones listed.
- *WF=Waiting/Financial*: Client is waiting on determination of Medicaid eligibility.
- *WL=Waiting List*: Client is on a waiting list for a particular nursing home.

Edit: Select this option if you want to edit existing follow-up information.

Save: Select this option if you want to save the information entered or edited.

Cancel: Select this option if you want to cancel without saving the information entered or edited.

Close: Select this option if you want to close the Followup screen.

REMINDER:

Follow-ups are automatically generated by the system based on the Follow-Up Schedule chart found on pages 167-168. You can schedule an unscheduled follow-up at any time.

A Nursing Home panel from a previous case will show if a new case is opened and the discharge date is not populated. If the Living Arrangement is not NUHO=Nursing Home, the system will force an entry of the discharge date. The same is true of the Swing Bed/Skilled Nursing panel if there is no discharge date and the Waiver panel if there is no termination date.

CASE NOTES

The screenshot shows the CARES Cases application window. At the top, there is a menu bar with options: Action, Menu, Edit, Block, Field, Record, Query, Help. Below the menu is a toolbar with various icons. The main area is divided into several sections:

- CARES CASE:** 20130827
- CIRTS CARES Cases Information:** Date: 10/29/2013, User: REGIONALCARES
- CARES Cases for:** JOHNNY GOOD, SSN: 182182182, with checkboxes for Demographic Complete and PAS Complete.
- Case Summary Table:**

| Opened on | Reason | Referral Source | Payment Type | Status | Closed on | Reason | PSA |
|------------|--------------|-----------------|------------------|--------|-----------|--------|-----|
| 07/16/2013 | INITIAL CASE | FAMILY | MEDICAID PENDING | OPEN | | | 02A |
- Buttons:** Add Case, Close Case, Delete Case, Print CIF, Print Blank CIF, Search Client, CARES Assignments, Close.
- Case Notes Tab:**
 - Assignment, Assessments, Staffings, Referrals, Followups, Case Notes (selected)
 - Case Notes Table:**

| Event Date | Category | Case Note | Date Added | User | PSA |
|------------|---------------------|---|------------|---------|-----|
| 02/01/2014 | FOLLOW UP - 180-DAY | 180 Day Follow up scheduled | 10/23/2013 | REGIONA | 02A |
| 11/01/2013 | FOLLOW UP - 90-DAY | 90 Day Follow up scheduled | 10/21/2013 | REGIONA | 02A |
| 10/23/2013 | FOLLOW UP - 90-DAY | 90 Day follow up scheduled on 11/01/2013 and completed o | 10/23/2013 | REGIONA | 02A |
| 10/18/2013 | SYSTEM NOTE | Staffing information sent to the Enrollment Broker on 10/18/2 | 10/18/2013 | CIRTS | 02A |
| 10/15/2013 | ASSESSMENT UPDATI | Changed county. | 10/15/2013 | REGIONA | 02A |
| 10/15/2013 | ASSESSMENT UPDATI | test | 10/15/2013 | REGIONA | 02A |
| 09/30/2013 | ASSESSMENT UPDATI | test | 09/30/2013 | REGIONA | 02A |
| 09/30/2013 | ASSESSMENT UPDATI | test | 09/30/2013 | REGIONA | 02A |
| 09/30/2013 | ASSESSMENT UPDATI | test | 09/30/2013 | REGIONA | 02A |
| 09/26/2013 | ASSESSMENT UPDATI | test | 09/26/2013 | REGIONA | 02A |
 - Buttons:** Add New Note, View Selected Note, Sort by Event Date, Sort by Date Added, Print Notes.

When you click on the **Case Notes** tab, a summary screen displays all case notes entered for the most recent case. If the client has more than one case, click on the case you want to highlight and the case notes will show for that case. The screen displays the Event Date, Category (of the case note), Case Note (a portion of the case note), Date Added, User, and PSA. Some case notes are automatically generated by the system based on the data entered. Other case notes are manually typed in CIRTS by the user.

The CARES Cases Information will still be displayed on the screen and you can select the same options described under Cases (Add Case, Close Case, Delete Case, Print CIF, Print Blank CIF, Search Client, CARES Assignments, and Close).

General information regarding case notes:

- ✓ System generated case notes are unchangeable.
- ✓ User created case notes are unchangeable once saved.
- ✓ Case notes are viewable to all CARES offices.
- ✓ Case notes can only be entered by a CIRTS user in the CARES office with the open case.
- ✓ Case note field for an update is limited to 2,000 characters.
- ✓ Case note field for manually entered case notes is limited to 4,000 characters.
- ✓ Case note date cannot be greater than the current date.
- ✓ System will generate a prompt to enter the Assessment History case note.

- ✓ System will generate a prompt to enter the LOC Justification case note prior to entering the staffing information.
- ✓ PASRR note will not be generated by the system until the Staffing is entered and saved.
- ✓ When elements of the case are updated, the user will be prompted for a justification of the change.
- ✓ Case notes can be entered for a closed case by the PSA that owns the case.
- ✓ System generated case notes will display the user id of the person who entered the information in CIRTS.
- ✓ If a case is deleted the case notes associated with that case will also be deleted.
- ✓ If a client is deleted the case notes associated with the case(s) for that client will also be deleted.
- ✓ If the 701B assessment case note is too long it will split into two case note boxes.
- ✓ You can type manual case notes in WORD or OPEN OFFICE and copy and paste to CIRTS. Use **Control C** to copy and **Control V** to paste.

CASE NOTES SCREEN DEFINITIONS

Event Date: This is the date the event occurred and is related to the system generated case note, update/edit, or the user entered case note. For system generated case notes it will be based on the case assignment date, assessment date, referral date, staffing date, follow-up date, etc., that is entered in CIRTS. For system generated case notes relating to an update/edit made on a screen, the date displayed will be the date the update occurred and will automatically be generated by the system. For user entered case notes it will be the date the event occurred and is entered by the user.

Category: This identifies the category of the case note. The categories are:

- *3008:* System generated case note based on the data entry on the Case Assignment screen. Can also be used when manually entering a case note regarding the receipt of the 3008 when not received at time of case assignment.
- *Addendum:* Used when adding more information to supplement a previous case note entry.
- *Assessment:* System generated case note based on the data entry on the Assessment Screen.
- *Assessment History:* Case note prompted by the system after the assessment information is entered. The assessment cannot be saved as complete until the assessment history information is entered by the user.
- *Case:* Manually entered case note used when entering a note related to the case.
- *Case Closed:* System generated case note based on the data entry to close a case. The user can also enter a manual case note using this category.
- *Case Transfer:* System generated case note based on the data entry on the Case Assignment screen. The user can also enter a manual case note using this category.
- *Correction:* Used when making a correction to a previously entered case note. Case notes cannot be edited or changed once saved.
- *Email-Incoming:* Case note entered manually by the user to document the receipt of an email regarding the case.
- *Email-Outgoing:* Case note entered manually by the user to document the sending of an email regarding the case.
- *Fax-Incoming:* Manually entered case note addressing the receipt of information faxed from an outside entity.
- *Fax-Outgoing:* Manually entered case note addressing the faxing of information to an outside entity.
- *Followup-180 Day:* System generated case note based on the data entry on the Follow Up screen. The user can also manually enter a case note with information related to the 180-day follow-up.

- *Followup-30 Day*: System generated case note based on the data entry on the Follow Up screen. The user can also manually enter a case note with information related to the 30-day follow-up.
- *Followup-90 Day*: System generated case note based on the data entry on the Follow Up screen. The user can also manually enter a case note with information related to the 90-day follow-up.
- *Followup-Annual*: System generated case note based on the data entry on the Follow Up screen. The user can also manually enter a case note with information related to the annual follow-up.
- *Followup-Ongoing Annual*: System generated case note based on the data entry on the Follow Up screen. The user can also manually enter a case note with information related to the ongoing annual follow-up.
- *Followup-Unscheduled*: System generated case note based on the data entry on the Follow Up screen. The user can also manually enter a case note with information related to the unscheduled follow-up.
- *Freedom of Choice*: Manually entered case note by the user that addresses information regarding the Freedom of Choice form. **Note: *The Freedom of Choice form becomes obsolete 3/1/14 due to SMMC LTC.***
- *Late Entry*: Manually entered case note by the user that clarifies/corrects a previously entered case note.
- *LOC Justification*: Manually entered case note by the user to justify why the client needs 24 hour medical supervision and the recommended level of care. This case note must be entered after the Assessment History information is entered and prior to entering staffing information.
- *Mail-Incoming*: Manually entered case note by the user addressing the receipt of mail pertaining to the case.
- *Mail-Outgoing*: Manually entered case note by the user addressing the sending of mail pertaining to the case.
- *Other*: Manually entered case note by the user for a category that is not in the drop-down list.
- *PASRR*: System generated case note based on the data entry on the PAS screen. The user can also manually enter a case note with information related to PASRR.
- *Phone Call-Incoming*: Manually entered case note by the user to document the receipt of a telephone call received regarding the case.
- *Phone Call-Outgoing*: Manually entered case note by the user to document any phone call made by CARES regarding the case.
- *Reassessment*: System generated case note based on the data entry on the Assessment screen. Once the assessment is entered, the user will receive a prompt to enter the Assessment History information. The assessment cannot be saved as complete until the assessment history information is entered.
- *Record Review*: Manually entered case note by the reviewer of the case to document the case review.
- *Referral*: System generated case note based on the data entry on the Referral screen. The user can also manually enter a case note with information related to the referral.
- *Staffing*: System generated case note based on the data entry on the Staffing screen. The user can also manually enter a case note with information related to the staffing.
- *Walk In*: Manually entered case note by the user to document information provided by a client/family that comes to the CARES office.

Case Note: This is the list of the case note entries for the case. This shows the first few words of the case note based on the category.

Date Added: This identifies the date the case note was added to the system. It is the date the system automatically added the case note or the date the user manually added the case note.

User: This identifies the user that entered the data for the system generated case note of the user that entered the manual case note.

PSA: This identifies the PSA that owned the case at the time the case note was entered.

Add New Note: Select this option when you want to add a new case note.

View Selected Note: Select this option when you want to view a particular case note. You must highlight the case note you want to view prior to viewing a case note. You can also double-click on a particular case note for viewing.

Sort by Event Date: Select this option when you want to sort the order of the case notes by the event date.

Sort by Date Added: Select this option when you want to sort the order of the case notes by the date the case notes were added to CIRT.S.

Print Notes: Select this option when you want to print case notes. All case notes entered will print out as you cannot print individual case notes from this button. If you want to print the most recent case note entry or a certain page(s), you will need to select Print Notes, File and Print. Once the Print Screen appears you can select what page or pages you would like to print.

Add New Note:

The screenshot shows the 'CARES Case Notes' application window. The window title is 'CARES Case Notes'. The main area is divided into several sections. At the top, there is a header section with 'CASES CASENOTE' (20130415), 'CIRT.S CARES Cases Information', 'Date' (11/01/2013), and 'User' (REGIONALCARES). Below this is a section for 'CARES Case Notes for: JOHNNY GOOD', 'PSA: 02A', and 'Case Opened on: 07/16/2013'. The main area has three fields: 'Event Date' (pink), 'Note Category' (dropdown), and 'User Added/Edited'. Below these is a large 'Case Notes' text area (pink). At the bottom are 'Save', 'Cancel', and 'Close' buttons. A status bar at the very bottom shows 'Enter Event Date, format: MMDD/YYYY.', 'Record: 1/1', and '<OSC>'.

This screen appears when the user selects **Add New Note**. *The pink fields are required and must be entered to save the data.* Enter the Event Date, which is the date the event occurred, not the date you type in the case note. Select the Note Category for the type of case note you are entering from the drop-down box. The User Added/Edited will be entered by the system. Type in the case note information in the **Case Notes** section.

Add New Note will be selected when you want to enter a manual case note. For example, to enter the justification for level of care, receipt of a telephone call, etc.

Save: Select this option to save the data entered on the screen.

Cancel: Select this option to cancel out of the screen without saving the data.

Close: Select this option to close out of the screen when you have selected View Selected Note.

Update/Edit Case Note:

You have updated the case record. This case note will reflect a change on this date. Please document the changes you made.

| Event Date | Note Category | User Updated |
|------------|---------------|---------------|
| 10/30/2013 | 3008 UPDATE | REGIONALCARES |

Notes

Save Cancel

Enter Notes, 2000 characters maximum, including spaces.
Record: 1/1

The system will automatically generate this screen when the user updates/edits any saved information on a certain screen. The Event Date, Note Category, and User Updated will be populated by the system. The Note Category will show what screen/item was updated. The user is to enter case notes in the **Notes** section explaining why the update/edit was made. For example, if the 3008 was not received at the time the case was assigned but is received later, you would update the Case Assignment screen to show that the 3008 was received. Your case notes would reflect the receipt of the 3008.

Save: Select this option to save the case note entry and the update/edit.

Cancel: Select this option to cancel out of the screen without saving the data. **If you select “Cancel” the update/edit will not be saved in the system.** You will receive a pop-up asking “Do you want to cancel?”

Assessment History Case Note:

Once you enter your assessment information and select “Save,” the above screen will appear. This is the Assessment History case note screen. The Event Date, Note Category, and User Added/Edited will be populated by the system. Once your assessment is completed and you click “Save”, the system saves the assessment as an incomplete assessment until the Assessment History case note is added. You must type in your Assessment History case note and select “Save” in order to save a complete assessment. **If you select “Cancel” the Assessment History case note will not be saved and the assessment will be saved as an incomplete assessment.** At the Assessment screen you will have to click “Edit” and then “Save” to bring up the Assessment History case note screen. Enter your case note and click “Save” to save the case note and the assessment as complete. The system will not recognize a manually entered Assessment History case note to save the assessment as complete.

The Assessment History screen is where you enter any pertinent case notes that are not automatically generated from the assessment data entered. For example, this is where you would discuss the client’s potential to remain in the community.

REMINDER:

The LOC Justification case note must be entered prior to entering staffing information.

Once your assessment is completed and you click “Save”, the assessment saves as an incomplete assessment until the Assessment History case note is added.

If you update/edit saved information and select “Cancel” on the Update/Edit Case Note Screen, the update/edit will not be saved in the system.

AUTOMATIC CASE NOTES

Some case notes are automatically generated by the system based on the data entered on a particular screen. The automatic case notes that will be generated based on data entry for each screen are as follows:

Case Assignment Screen: Case Opened Date (based on the Initial Date), Assigned To, Referral Source, Special Project, and Case Open Reason.

3008: Information regarding the receipt of the 3008 will be a separate case note from Case Assignment. The information generated will be based on the data entered in the 3008 related fields (3008 Received, 3008 Completed, Date Incomplete 3008 Received by CARES, and Date Incomplete 3008 Returned by CARES).

Assessment Screen: Assessment Date (displayed in the Event Date); Age; Sex; Race; Marital Status; Ethnicity; Primary Language; Limited ability reading, writing, speaking or understanding English; Current Physical Location Type; Instrument; Assessment Date; Assessment Site; Caseworker; Transitioning out of a nursing facility; Imminent risk of nursing home placement; Primary Caregiver; Living Situation; Client providing answers to questions; Suffer from memory loss, cognitive impairment, any type of dementia, or Alzheimer's disease; Number of words repeated on first attempt; Year; Month; Day of the week; Words repeated on second attempt; Friends or family members' concern about client's memory; Client's concern about memory problems; Falls; ER/Hospital Visits; Vision problems; Nursing or Rehab in last year; Bathing assistance; Dressing assistance; Eating assistance; Bathroom assistance; Transferring assistance; Walking/mobility assistance; Preparing meals assistance; Managing medication assistance; Health Conditions current/past; Current therapies or specialty care; Over the past two weeks client has been bothered by; ASSESSOR/CM's notice of problem behaviors or recurring problems reported by client, caregiver, in-home worker, family or staff; Three or more prescribed or over the counter medications a day; Caregiver in crisis. *Note: These items will be generated for the 701B Assessment type. The other assessment types are subsets of the 701B and will generate limited data for the case notes.*

Staffing Screen: Staffing Date (displayed in the Event Date), Information Received Date, Staffing Date, Caseworker, Living Arrangement, Living Situation, Placement Recommendation, Program Considered, Program Recommendation, Level of Care, LOC Effective Date, and LOC Approved By.

PASRR Screen: All items entered on the screen will be printed out after staffing is entered and saved.

Referral Screen: Referral Date (displayed in the Event Date), Employee, Imminent Risk, Transition Referral, NH Admit Date, and Referred To.

30-Day Follow-Up Scheduled: The Event Date will be the date the 30-Day Follow-Up is due. The Note Category will be "FOLLOW UP-30-DAY." The case note will say, "30 Day Follow up scheduled."

30-Day Follow-Up: 30-Day Follow Up Completed Date (displayed in the Event Date), Scheduled and completed date, Caseworker, Placement Recommendation, Program Recommendation, Living Arrangement, Living Situation, Case Manager, Follow up Site, and Primary Caregiver.

90-Day Follow-Up Scheduled: The Event Date will be the date the 90-Day Follow-Up is due. The Note Category will be “FOLLOW UP-90-DAY.” The case note will say, “90 Day Follow up scheduled.”

90-Day Follow-Up: 90-Day Follow Up Completed Date (displayed in the Event Date), Scheduled and completed date, Caseworker, Placement Recommendation, Program Recommendation, Living Arrangement, Living Situation, Case Manager, Follow up Site, and Primary Caregiver.

180-Day Follow-Up Scheduled: The Event Date will be the date the 180-Day Follow-Up is due. The Note Category will be “FOLLOW UP-180-DAY.” The case note will say, “180 Day Follow up scheduled.”

180-Day Follow-Up: 180-Day Follow Up Completed Date (displayed in the Event Date), Scheduled and completed date, Caseworker, Placement Recommendation, Program Recommendation, Living Arrangement, Living Situation, Case Manager, Follow up Site, and Primary Caregiver.

Annual Follow-Up Scheduled: The Event Date will be the date the Annual Follow-Up is scheduled. The Note Category will be “FOLLOW UP-ANNUAL.” The case note will say, “Annual Follow up scheduled.”

Annual Follow-Up: Annual Follow Up Completed Date (displayed in the Event Date), Scheduled and completed date, Caseworker, Placement Recommendation, Program Recommendation, Living Arrangement, Living Situation, Case Manager, Follow up Site, and Primary Caregiver.

Ongoing Annual Follow-Up Scheduled: The Event Date will be the date the Ongoing Annual Follow-Up is scheduled. The Note Category will be “FOLLOW UP-ONGOING ANNUAL.” The case note will say, “Ongoing Annual Follow up scheduled.”

Ongoing Annual Follow-Up: Ongoing Annual Follow Up Completed Date (displayed in the Event Date), Scheduled and completed date, Caseworker, Placement Recommendation, Program Recommendation, Living Arrangement, Living Situation, Case Manager, Follow up Site, and Primary Caregiver.

Unscheduled Follow-Up Scheduled: The Event Date will be the date the Unscheduled Follow-Up is scheduled. The Note Category will be “FOLLOW UP-UNSCHEDULED.” The case note will say, “Unscheduled Follow up scheduled.”

Unscheduled Follow-Up: Unscheduled Follow Up Completed Date (displayed in the Event Date), Scheduled and completed date, Caseworker, Placement Recommendation, Program Recommendation, Living Arrangement, Living Situation, Case Manager, Follow up Site, and Primary Caregiver.

Case Transfer: Case Transferred From CARES Office and To CARES Office.

Reassessment: Date Reassessment Requested (displayed in the Event Date). The automatic case notes for Reassessment will be the same as **Assessment Screen** with the addition of Date Reassessment Requested.

Case Closed: Case Closed Date (displayed in the Event Date), Closed by, and Closed Reason.

System Note/Date of Death: Every quarter CIRTS clients are compared to the Department of Health Vital Statistics Death Certificates. If a name, SSN, and date of birth match CIRTS and the CIRTS Date of Death is blank, the system fills in the date and generates a case note. The Event Date will be the date the note is generated by the system. The Note Category will be SYSTEM NOTE. For example, the case note will say, "Date of death for this client was populated as 12/03/2012 from Vital Statistics Death Certificate data on 01/25/2013."

System Note/Enrollment Broker: Each night the system sends staffing information saved the day before for levels of care INO, INT, and SKD, program recommendations of ADAW, ALFW, CDCW, CHAN, ELDC, HEMO, LTCP, NONE, OMDW, OTHR, LTCC, LTCN, PACE and staffing date in the last year. The Event Date will be the date the note is generated by the system. The Note Category will be SYSTEM NOTE. For example, the case note will say, "Staffing information sent to the Enrollment Broker on 08/24/2013 at 5:01:47 AM: Staffing Date 08/21/2013, Program Recommendation=Aged/Disabled Adults Waiver, Level of Care=Intermediate One."

UNSCHEDULED FOLLOW UP SCREEN

The screenshot shows a software window titled "CARES Follow ups". Inside the window, there are two main input fields. The first is labeled "Followup Scheduled Date" and is a text box. The second is labeled "Employee Scheduled" and is a dropdown menu. Below these fields are two buttons: "Save" and "Cancel". At the bottom of the window, there is a status bar with the text "Enter Followup Scheduled Date, format: MM/DD/YYYY.", "Record: 1/1", and "<0!".

This screen is accessed by selecting **Add Unscheduled Followup** under the **Followups** tab. An unscheduled follow-up is not part of the regularly scheduled follow-up schedule based on the staffing date. An unscheduled follow-up can be scheduled at any time. Unscheduled follow-ups do not affect the follow up schedule for the case and do not close cases (like scheduled follow-ups do). An unscheduled follow-up may be scheduled for any reason, such as to check on the client in between regularly scheduled follow-ups, or to see if the case management agency has started providing services.

UNSCHEDULED FOLLOWUP SCREEN DEFINITIONS

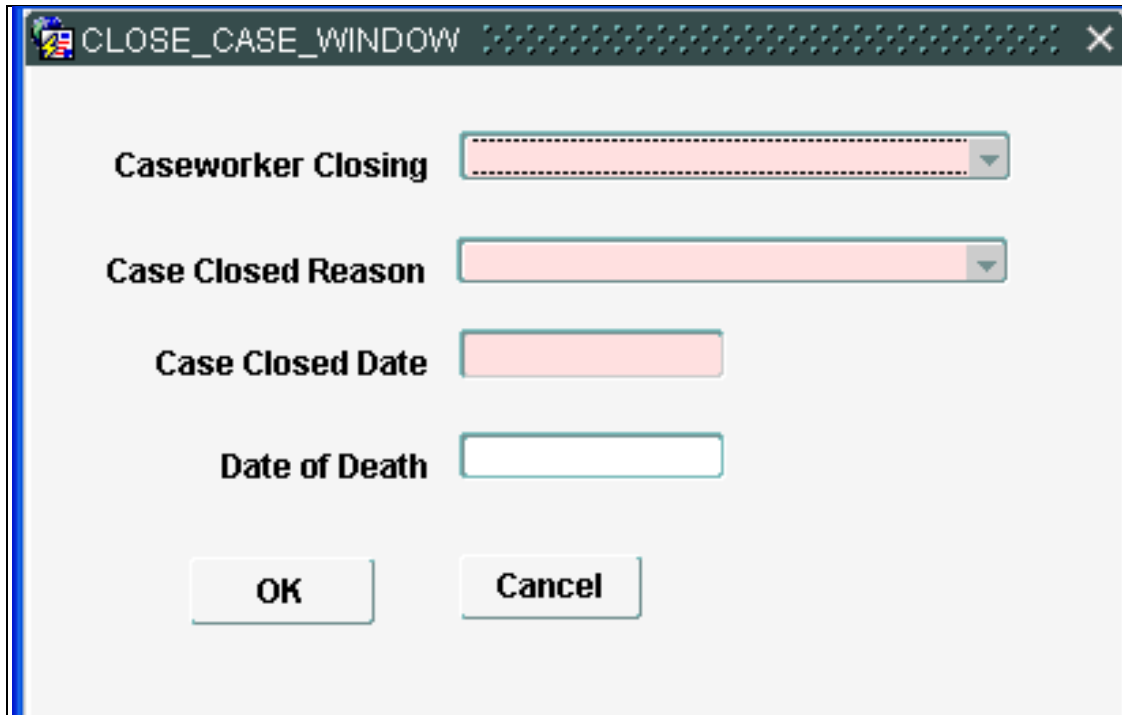
Followup Scheduled Date. This is the date that the unscheduled follow-up is due. This will be a two-digit month and day and a four-digit calendar year. *This is a required item.*

Employee Scheduled. This indicates the caseworker that the unscheduled follow-up will be assigned to for completion. *This is a required item.*

Save: Select this option to save the unscheduled follow-up.

Cancel: Select this option to cancel without saving the unscheduled follow-up and to close out the screen.

CLOSE CASE SCREEN



The screenshot shows a window titled "CLOSE_CASE_WINDOW" with a close button (X) in the top right corner. The window contains the following fields and buttons:

- Caseworker Closing**: A dropdown menu with a pink highlight.
- Case Closed Reason**: A dropdown menu with a pink highlight.
- Case Closed Date**: A text input field with a pink highlight.
- Date of Death**: A text input field.
- OK**: A button.
- Cancel**: A button.

To close a case you will select **Close Case** at the **Cases** screen. The above screen will appear once Close Case is selected. The pink fields are mandatory (Caseworker Closing, Case Closed Reason, and Case Closed Date).

CLOSE CASE SCREEN DEFINITIONS

Caseworker Closing: This is the name of the caseworker that is closing the case. *This is a required item.*

Case Closed Reason: This identifies the reason the case is being closed. The system will automatically close a case in certain instances. However, there will be times when the case must be closed manually. *This is a required item.* The codes are:

- *CA=Close/Annual:* Closed at annual follow-up.
- *CC=Close/In Community:* Client is in the community and does not require follow-up.
- *CD=Client Deceased:* Client is deceased. Verification of death and date of death needed.
- *CP=Closed/In Plan:* Client is receiving services in the community from a managed care organization.
- *DE=Data Entry Error:* Case previously closed using incorrect case termination code.
- *DS=Discharged Swing Bed/SNUH:* Closed due to client being discharged from a swing bed or skilled nursing unit within a hospital.
- *FI=Family Intervention:* Case is closed due to family intervention.
- *GA=Goal Achieved:* Case closed as goals determined by CARES and client have been met.
- *IC=In Community/Case Manager:* Closed as client remains in the community and is followed by a case manager.
- *IH=In Hospital:* Closed as client remains in the hospital with no potential to return to the community and is to be placed in a nursing home.
- *IN=In Nursing Home:* Closed as client does not have potential to return to the community.

- *LC=Lost Contact*: Closed as all contact with the client has been lost and the client cannot be located.
- *LP=Lost Community Potential*: Closed as the person with a temporary nursing home placement recommendation no longer has potential for community diversion.
- *LS=Left State*: Closed as client has left the state.
- *NE=Not Eligible*: Closed as person is not eligible for a particular program. Verification needed from payments or reliable source.
- *NN=No Longer Needed*: Closed as CARES no longer needs to provide follow-up.
- *PP=Private Pay OBRA Screen Only*: Closed as only action taken was to complete OBRA screen for a private pay client.
- *RA=Refused Assessment*: Closed as the client/family refused the CARES assessment.
- *SA=Services Approved* : Closed as community services are being provided and the client does not want CARES to follow.
- *SD=Services Denied*: Closed as community services were denied and the client does not want CARES to follow.
- *TH=Terminated Hospice*: Closed as client chose Hospice and CARES does not need to provide follow-up.
- *TP=Terminated PAC*: Closed as client was terminated from Project Aids Care and no further CARES follow-up needed.
- *TR=Case Transfer*: Case is being transferred to another CARES PSA. **Note: Only use this code when the case was assigned in your PSA but was not assessed and staffed. The case will be closed and forwarded to the new PSA where the client is residing. The new PSA will open, assess, and staff the case. This code is not to be used in any way for the transfer of an open/active case. Refer to the section of this guide regarding transferring open/active cases.**
- *VW=Voluntary Withdrawal*: Closed as client/family requested termination of CARES involvement.
- *WA=Waiver Approved*: Closed as waiver services were approved for a client not assessed by CARES.
- *WL=Waiting List/Annual*: Closed as client with a referral has been on a waiting list for a year.

Case Closed Date: This is the date the case is closed. This date must be a current or past date. It cannot be a future date. This will be a two-digit month and day and a four-digit calendar year. ***This is a required item.***

Date of Death: ***This item is required if the case is closed using reason code CD=Client Deceased.*** This will be a two-digit month and day and a four-digit calendar year. This cannot be a future date. It must be a current or past date. When the Date of Death is entered on the Close Case screen, it populates the DOD on the Demographic screen.

OK: Select this option if you want to save the information entered.

Cancel: Select this option if you want to cancel without saving the information.

INFORMATION SCREEN

This screen is only completed when there will be no CARES assessment or no official referral for services made by CARES. **The fields highlighted in pink are required** (Date, Employee, Contact Type, Estimated Time Spent, Recommended Action, and Employee’s Office). At the top of this screen there is a panel that shows a list of information requests. This panel displays the Request Date, Time Spent, Contact Type, Recommended Action, Employee, and PSA.

To view a particular information request, click on it to highlight the request, and the information will appear on the screen. To add an information request, select the **Add** button.

INFORMATION SCREEN DEFINITIONS

Date: Enter the date of the request for information. This date must be a current or past date. It cannot be a future date. This will be a two-digit month and day and a four-digit calendar year. **This is a required item.**

Employee: This is the name of the employee who provided the general information to the client or the individual inquiring on the client’s behalf. **This item is required.**

Contact Type: This is the method by which CARES was contacted for general information. **This item is required.** The contact types are:

- *MN=Medically Needy:* Code used to capture information as part of a special project of DOEA.
- *OV=Office Visit:* Client or other party comes to the CARES office.
- *TC=Telephone Call:* Client or other party calls the CARES office.
- *UE=Upstreaming Encounter:* Code used to capture information as part of special project of DOEA.
- *WR=Written Request:* CARES receives a written request for information.

Estimated Time Spent: Enter the estimated amount of time that was spent providing general information to the client or the individual inquiring on the client's behalf. The time is to be entered in actual minutes. *This item is required.*

Recommended Action: This represents the type of action that was taken for this information only request. CARES provides general information, which may be sufficient, or CARES directs the inquirer to another source for more information. CARES does not make an official referral in these cases. *This item is required.* The recommended actions are:

- *AB=Referred Abuse Registry:* CARES directs the inquirer to the Abuse Registry.
- *AP=Referred Adult Payments:* CARES directs the inquirer to DCF/Adult Payments.
- *AS=Referred Adult Services:* CARES directs the inquirer to DCF/Adult Services.
- *EL=Referred Elder Helpline:* CARES directs the inquirer to the Elder Helpline.
- *HH=Referred Home Health:* CARES directs the inquirer to a home health care agency.
- *LA=Referred Lead Agency:* CARES directs the inquirer to the lead agency.
- *NR=No Referral Made:* CARES provides sufficient information to the client or the individual inquiring on the client's behalf. CARES does not direct the inquirer to another source.
- *OA=Other Action Taken:* CARES takes action other than referring to another source for more information.
- *OC=Referred Other Community Agency:* CARES directs the inquirer to a community agency not listed in the code table.
- *OG=Referred Other Government Program:* CARES directs the inquirer to a government program not listed in the code table.

Employee's Office: This field is automatically populated with the PSA for the Employee. No entry is allowed in this field.

Comments: This section is to be used to record any particular items that the employee feels are pertinent to the client. This may be the client's address or telephone number, information about the responsible party or the inquirer, reason for the call, or anything about the client's situation. This is an optional item.

Add: Select this option to add an information request.

Edit: Select this option to edit the information previously entered.

Save: Select this option to save the information entered or edited.

Cancel: Select this option to cancel without saving the information entered or edited.

Delete: Select this option to delete the information request.

Print: Select this option to print the Information screen.

Close: Select this option to close the Information screen and return to the Demographic screen.

CLIENT INFO SCREEN

CARES CLIENT INFORMATION WINDOW

CARESCLIENTINFO: 20130415 CIRTS Date: 11/12/2013
 CARES CLIENT INFORMATION User: REGIONALCARES

CARES Client Information for: GOOD,JOHNNY B

Case Information

| Opened Date | Living Arrangement | Living Situation | Payment Type | Special Proj. Case | Closed Date | Closed Reason | Caseworker |
|-------------|--------------------|------------------|-----------------|--------------------|-------------|---------------|--------------|
| 07/16/2013 | PRIVATE RESIDEN | ALONE | MEDICAID PENDII | NONE | | | OTHER,,OTHER |

Assessment Information

| Assessment Date | Assessment Site | Assessment Type | Risk Score | Caseworker |
|-----------------|-----------------|-----------------|------------|------------|
| | | | | |

Staffing Information

| Staffing Date | Caseworker | Placement Recomm. | Programm Recomm. | Living Arrangement | Living Situation | Level of Care | LOC Effect. |
|---------------|-------------|-------------------|------------------|--------------------|------------------|------------------|-------------|
| 08/01/2013 | OTHER,,OTHE | PRIVATE RESIDEN | MANAGED LONG- | PRIVATE RESID | ALONE | INTERMEDIATE ONE | 08/01/2013 |

Scheduled Follow-Ups

| Scheduled Date | Caseworker |
|----------------|--------------|
| 02/01/2014 | OTHER,,OTHER |

Admit Information

| Type | Admit Date | Discharge Date |
|--------------|------------|----------------|
| Waiver | | |
| Nursing Home | 09/01/2013 | 10/23/2013 |

Completed Follow-ups

| Completed Date | Caseworker | Living Arrangement | Living Situation | Placement Recomm. | Programm Recomm. | Case Manager |
|----------------|--------------|--------------------|------------------|-------------------|------------------|--------------|
| 10/23/2013 | OTHER,,OTHER | PRIVATE RESIDENCE | ALONE | PRIVATE RESIDEN | NONE | CARES |
| 09/01/2013 | OTHER,,OTHER | NURSING HOME | ALONE | TEMPORARY NURS | NONE | CARES |

Information Requests

| Request Date | Contact Type | Recommended Action | Time Spent | Caseworker |
|--------------|--------------|--------------------|------------|------------|
| | | | | |

Print Scheduled Follow-Ups Only Print Completed Follow-Ups Only Print Information Requests Only Print All Close

This screen will allow you to view certain information for the client. This includes **Case Information, Assessment Information, Staffing Information, Scheduled Follow-Ups, Completed Follow Ups, Information Requests, and Admit Information.** You can only view the information. Use the mouse to scroll through the information you want to view.

CLIENT INFO SCREEN DEFINITIONS

Case Information: This will allow you to view case opened date, living arrangement, living situation, payment type, special project case, closed date, closed reason, and caseworker.

Assessment Information: This will allow you to view assessment date, assessment site, assessment type, risk score, and caseworker. **The Risk Score will be added at a later date and may not show on the screen or printed assessment. It is used by Planning and Evaluation and Office of Strategic Planning only.**

Staffing Information: This will allow you to view staffing date, caseworker, placement recommendation, program recommendation, living arrangement, living situation, level of care, and level of care effective date.

Scheduled Followups: This will allow you to view scheduled date and caseworker.

Completed Followups: This will allow you to view completed date, caseworker, living arrangement, living situation, placement recommendation, program recommendation, and case manager.

Information Requests: This will allow you to view the request date, contact type, recommended action, time spent, and caseworker.

Admit Information: This will allow you to view type, admit date, and discharge date.

Print Scheduled Follow Ups Only: Select this option to print the highlighted scheduled follow-up.

Print Completed Follow Ups Only: Select this option to print the highlighted completed follow-up.

Print Information Requests Only: Select this option to print the highlighted information request.

Print All: Select this option to print the highlighted staffing. This will print the Client Information Form.

Close: Select this option to close the Client Info screen and return to Demographic.

NURSING HOME DIVERSION (NHD) HISTORY SCREEN

CARES NURSING HOME DIVERSION HISTORY

CARES NHD: 20130905 CARES Nursing Home Diversion History 11/13/2013
 REGIONALCARES

Client
 GOOD, JOHNNY B

| CARES Office | Date Enter Pipeline | IR | Date Leave Pipeline | Pipeline Closed Reason | Date Referred to Provider | Provider Referred To | Date Withdrawn from Med. Pending |
|--------------|---------------------|----|---------------------|------------------------|---------------------------|----------------------|----------------------------------|
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

Add More Record(s)

When the individual is determined financially eligible, meets LOC and eligibility criteria, and the completed packet is sent to the Diversion provider, complete the Referral screen and set the Referred To field to 'MCO'.

SAVE DELETE CANCEL CLOSE

From the **Demographic** screen select **NHD** to access the Nursing Home Diversion History Screen. This screen is used to capture information regarding the client’s history in the Nursing Home Diversion Program. The information captured will be the **Pipeline** information and the **Medicaid Pending** information. *Note: Effective March 1, 2014, information will no longer be entered on this screen due to SMMC LTC. The information remains in the guide due to data entered prior to March 1, 2014.*

NURSING HOME DIVERSION HISTORY SCREEN DEFINITIONS

CARES Office: This will be the PSA for the CARES office entering information regarding the date entering the pipeline, imminent risk designation, date leaving the pipeline, pipeline closed reason, date referred to a provider, name of the provider, and the date withdrawn from Medicaid Pending. This field will automatically be populated once “Save” is selected.

Date Enter Pipeline: This is the date the client is determined to be interested in and suitable for the Nursing Home Diversion Program. This will be a two-digit month and day and a four-digit calendar year.

IR: This field is used to determine the client’s imminent risk status. Enter a Y=Yes or N=No.

Date Leave Pipeline: This is the date the client, who was previously determined to be interested in and suitable for the Nursing Home Diversion Program, is no longer interested or suitable. This will be a two-digit month and day and a four-digit calendar year.

Pipeline Closed Reason: This is the reason for the date the client leaves the pipeline. The codes are:

- *Chose Other Program*
- *Deceased*
- *Did Not Complete Financial Eligibility*
- *Did not Complete Medical Eligibility*
- *DCF Denied-Did Not Meet Financial Criteria*
- *Did Not Meet Medical/Function Criteria*
- *Lost Contact*
- *Left State*
- *Long Term Nursing Home*
- *Moved To Enrollments Screen For LTCC*
- *Moved To County Without NHD*
- *No Longer Interested*
- *Transferred To Another PSA*

Date Referred to Provider: This is the date the client who chose Medicaid Pending is referred to the Nursing Home Diversion provider. This will be a two-digit month and day and a four-digit calendar year.

Provider Referred To: This is the name of the Nursing Home Diversion provider to whom the client who chose Medicaid Pending is referred.

Date Withdrawn from Med. Pending: This is the date the client determines they are no longer interested in the Medicaid Pending option after being referred to a Nursing Home Diversion provider, but prior to being officially enrolled.

Add More Records: Select this button to add more information. When selected, this will highlight a new line for data entry.

Save: Select this option if you want to save the information entered on the NHD History screen. A pop-up box will appear when the information is saved.

Delete: Select this option if you want to delete the saved information entered on the NHD History screen. The system will generate a pop-up box to verify if you want to delete the information.

Cancel: Select this option if you want to cancel without saving the information entered on the NHD History screen.

Close: Select this option to close the NHD History screen and return to Demographic.

REMINDER:

An office can change their own NHD records even if the client has moved to another office.

This screen will become obsolete on March 1, 2014, due to SMMC LTC.

CHANGE SSN SCREEN

CHANGE CLIENT ID

CHANGE SSN 20130606

CHANGE SSN

Date 11/13/2013

User REGIONALCARES

CURRENT SSN 182182182

PROPOSED SSN

Name GOOD, JOHNNY B

Perform Change Cancel

9 Records to Update ***CAUTION*** This Process takes Some time. Please Wait

WARNING! There is an open case for this client in CARES 02A. Please inform them of change.

Record: 1/1 ... <OSC>

At **Demographic** select **Change SSN**. The Change Client ID screen will appear. *The pink field is required (Proposed SSN)*. The current SSN will be shown. Enter the new SSN in the **Proposed SSN** field, and select the **Perform Change** button. You will receive a pop-up saying, “Are you sure you want to change this client’s SSN?”

- ✓ If you select “No” you will return to the Demographic screen without making the change.
- ✓ If you select “Yes” you will receive an alert saying, “SSN has been changed.” Select “OK” and you will return to the Demographic screen.

Only a Supervisor Role can change a SSN.

This same screen is used to change a pseudo number to a SSN. A Supervisor Role or Caseworker Role can change a pseudo number to a SSN inside the case at Assessment.

You will need to notify the ADRC/lead agency via email when you change a SSN for a client that is currently receiving services or was receiving services. To get a list of the ADRC contacts click on the **Documents** tab at the **Enterprise Application Services** screen and then click on “AAA contacts for the CARES Supervisors.”

Cancel: Select this option to cancel out of the screen without saving the information entered or if you accessed this screen in error.

REMINDER:

If there is an open case in another PSA you will receive a pop-up warning you that there is an open case for this client in another PSA and to inform them of the change. Once you select “OK” you may continue with the SSN change.

DELETE CLIENT SCREEN

CARES Delete Client

CARES DELETE CLI: 20130415

CIRTS: CARES - Deleting Client-level Records

Date: 11/13/2013

User: REGIONALCARES

Client-level Records for: JANE SMITH

Client PSA: 02A

Nursing Home Admits

| Admit Date | NH Name | Disc. Date | PSA |
|------------|---------|------------|-----|
| | | | |
| | | | |

Delete Selected NH Admit 0 Records

CARES Waiver Records

| Status Date | Status | Accept Date | PSA |
|-------------|--------|-------------|-----|
| | | | |
| | | | |

Delete Selected Waiver 0 Records

Swingbed / Skilled Nursing Admits

| Admit Date | Disc. Date | PSA |
|------------|------------|-----|
| | | |
| | | |

Delete Selected SSN Admit 0 Records

Other Client-level records

| Address | Info | Req | PAS | Cases | NHD | Client Contact |
|-----------------|------|-----|-----|-------|-----|----------------|
| Num. of Records | 2 | 0 | 1 | 1 | 0 | 0 |

To delete a specific record in these tables, use the DELETE button on their respective screen. (Addresses will be deleted along with client.)

Delete All Client Records Close

At **Demographic** select **Delete Client**. Only a Supervisor Role can delete a client. You can select the client records that you want to delete or you can delete all client records.

Delete Selected NH Admit: Select this option if you want to delete a selected nursing home admit record. The system will generate a pop-up box that will ask if you really want to delete the information. Select “Yes” or “No.”

Delete Selected SSN Admit: Select this option if you want to delete a selected swing bed or hospital skilled nursing unit admit record. The system will generate a pop-up box that will ask if you really want to delete the information. Select “Yes” or “No.”

Delete Selected Waiver: Select this option if you want to delete a selected waiver record. The system will generate a pop-up box that will ask if you really want to delete the information. Select “Yes” or “No.”

Other Client-level records: This panel identifies records that can be deleted from specific screens by selecting the **Delete** button on the particular screen. This includes Information, PAS, Cases, NHD History screen, and Client Contact.

Delete All Client Records: Select this option if you want to delete all client records. The system will generate a pop-up box that will ask if you really want to delete the information. Select “Yes” or “No.” If you select “Yes”, the system will generate another pop-up box that will say, “Only demographic and address records remain for the client. Delete them now?” Select “Yes” or “No.”

Close: Select this option to close out this screen and return to Demographic.

You will need to notify the ADRC/lead agency via email when you delete a client that is currently receiving services or was receiving services. To get a list of the ADRC contacts click on the **Documents** tab at the **Enterprise Application Services** screen and then click on “AAA contacts for the CARES Supervisors.”

REMINDER:

If the client has data in another PSA, the client will not delete. Only the data in the user’s PSA will delete. The screen will tell you which other offices need to be notified because they have data for the client.

CHANGE PSA SCREEN

Change PSA Screen

CHANGE_PSA: 20130715

CIRTS

Date: 11/14/2013

User: SUPERVISOR02B

CHANGE CLIENT PSA

Social Security Number: 182182182

County: BAY

Client's Name: JOHNNY GOOD

Client's Date of Birth: 01/01/1950

| OLD | NEW |
|----------------------------------|-----------------|
| PSA: 02A | 02A |
| Date Changed: 09/09/2013 | 09/09/2013 |
| Program Changed: ADD_CLIENT_INFO | ADD_CLIENT_INFO |
| User Changed: REGIONALCARES | REGIONALCARES |
| Caseworker: OTHER - OTHER OTHER | |

Save Cancel

Record: 1/1 <OSC>

At **Demographic** select **Change PSA**. The **Change PSA Screen** will appear. Only certain security roles are allowed to change the PSA. The Change PSA button will be disabled if the case is open in your PSA.

To change the PSA, select the new county from the drop-down list in the **County** field in the top right-hand corner of the screen. **This field is required**. The choices will be limited to the counties within your individual PSA. Once the new county is selected you will then select the **Caseworker** on the right side of the screen under **New**. **The Caseworker is required**. All information under the “New” heading will be updated. **Note: If there is an open case in another PSA the system will not allow a change of PSA.**

You will need to notify the ADRC/lead agency via email when you delete a client that is currently receiving services or was receiving services. To get a list of the ADRC contacts click on the **Documents** tab at the **Enterprise Application Services** screen and then click on “AAA contacts for the CARES Supervisors.”

Save: Select this option to save the new information and change the PSA.

Cancel: Select this option to cancel without changing the PSA and return to Demographic.

CONTINUED RESIDENCY REVIEW SCREEN

From the **CIRTS Menu** screen select **CRRs**. The above screen will appear. There are two tabs on this screen, **CRRS** and **CLIENTS**. The **CRRS** tab shows a list of Continued Residency Reviews for a selected nursing facility. The **CLIENTS** tab shows all clients that were in the sample for the selected nursing facility and date of the review. *Note: CARES no longer completes CRRs. The information remains in the guide for data that has previously been entered.*

CONTINUED RESIDENCY REVIEW SCREEN DEFINITIONS

Select a Nursing Home: This is a list of PSA nursing homes entered in **CARES Providers**. Select a nursing home from the list in the drop-down box.

PSA: This is the PSA in which the selected nursing home is located. The system will automatically enter the PSA. No entry is allowed in this field.

County: This is the county in which the selected nursing home is located. The system will automatically enter the county. No entry is allowed in this field.

List of CRRS: This is a summary of CRR dates for the selected nursing home. Single click on the date of the CRR (from the drop-down box) that you would like to view or edit. This summary provides the CRR date, caseworker, total beds, Medicaid beds, Medicaid census, and sample size. If no CRR has been entered, no information will be listed.

Date: This is the date of the CRR that is being entered. This will be a two-digit month and day and a four-digit calendar year. It cannot be a future date. It must be a current or past date. ***This is a required item.***

Total Facility Beds: This is the number of total beds in the facility. Enter the number of beds. ***This is a required item.***

Total Medicaid Beds: This is the number of designated Medicaid beds in the facility. Enter the number of beds. ***This is a required item.***

Current Medicaid Census: This is the number of Medicaid clients in the facility at the time of the CRR. Enter the number of clients. ***This is a required item.***

Caseworker: This is the name of the caseworker that completed the CRR. Select the caseworker from the list in the drop-down box. ***This is a required item.***

Sample Size: This is the number of clients that were reviewed during the CRR. The system will automatically enter this number based on the number of clients entered in **Clients**. No entry is allowed in this field.

Community Potential: This is the number of clients indicated as having community potential entered under **CLIENTS**.

Add New CRR: Select this option to add a new CRR. ***Note: You will first need to select the nursing home for which you want to enter the CRR information.***

Edit: Select this option to edit previously saved data.

Save: Select this option to save the data entered or edited.

Cancel: Select this option to cancel without saving the information.

Delete: Select this option to delete a CRR. The system will generate a pop-up box asking if you really want to delete the CRR. Answer "Yes" or "No."

Close: Select this option to close out the screen and return to the CIRT Menu screen.

When you select **CLIENTS** the **CARES CRR/Client Information** screen will appear.

This screen will show the name of the nursing home, CRR date, sample size, and a list of all clients entered for the CRR. If this is a new CRR there will be no clients listed. If there are clients listed you can click on the line with the client’s information to highlight it; the client specific information will appear in the fields below. From this screen you can add a client, edit client information, and delete client information.

CARES CRR/CLIENT INFORMATION SCREEN DEFINITIONS

SSN: Enter the Social Security Number of the client. *This is a required item.*

First Name: Enter the first name of the client. *This is a required item.*

MI: Enter the middle initial of the client. Leave blank if there is no middle initial. This is an optional item.

Last Name: Enter the last name of the client. *This is a required item.*

COMM. Potential: Enter a Y=Yes or N=No to indicate if the client has the potential to return to the community. *This is a required item.*

Transition Barrier: This field is required if the answer to Community Potential is Y=Yes. This field identifies the barrier that is preventing this person from transitioning back to the community. The codes for this field are the same as the Diversion Barriers listed on pages 36-37 of this guide.

Current LOC: This is the level of care for the client designated by the facility at the time of the CRR. Select the level of care from the drop-down box. This is an optional item. The level of care codes are:

- *DNM=Does Not Meet Level of Care:* Use this code when the individual does not meet level of care as defined in 59G-4.180 or 59G-4.290 of the Florida Administrative Code. This level of care is also used when the individual does not meet level of care for a state mental hospital.
- *DWC=Does Not Meet Waiver Criteria:* Use this code when the individual does not meet the established criteria for a particular Medicaid Waiver Program.
- *INO=Intermediate One:* Use this code for a level of care which requires direct or supervised nursing or rehabilitative services not included under the definition of skilled services. Intermediate Care is defined in 59G-4.180 of the Florida Administrative Code.
- *INT=Intermediate Two:* Use this code for a level of care which requires direct or supervised nursing or rehabilitative services not included under the definition of skilled services. Intermediate Care is defined in 59G-4.180 of the Florida Administrative Code.
- *MEN=State Mental Hospital:* Use this code when determining a level of care for an individual seeking admission to or residing in a state mental hospital (not a nursing home unit).
- *MWC=Meet Waiver Criteria:* Use this code when the individual meets the established criteria for a particular Medicaid Waiver Program (excluding Project Aids Care)
- *ROH=Risk of Hospitalization:* Use this code when the Project Aids Care client is at risk of hospitalization.
- *RON=Risk of Nursing Home:* Use this code when the Project Aids Care client is at risk of nursing home.
- *SKD=Skilled:* Use this code for a level of care requiring the skills of technical or professional personnel or the provision of services either directly by or under the supervision of such personnel as defined in 59G-4.290 of the Florida Administrative Code.
- *WHL=Withhold LOC:* Use this code under the following circumstances: a) a Request for Level II PASRR Evaluation and Determination indicates that the individual requires specialized services and those services cannot be provided in a nursing facility; b) a Request for Level II PASRR Evaluation and Determination indicates the individual is not appropriate for nursing facility placement; c) a 3008 or supporting medical documentation has not been received; or d) referrals are made to case management agencies or managed care organizations for Medicaid waiver services when the program has reached funding capacity and a waiting list for services is being maintained.

CRR LOC: This is the level of care for the client assigned by the caseworker performing the CRR. Select the level of care from the drop-down box. **The code choices are listed under Current LOC. This is a required item.**

LOC After Staffing: This is the level of care assigned by CARES at the time of staffing. A client will be staffed if the CRR findings were that the client did not meet a level of care. Select the level of care from the drop-down box. **This is a required item if the CRR level of care is DNM=Does Not Meet Level of Care.** The level of care code choices are the same as the ones listed under **Current LOC.**

Add: Select this option to add a client.

Edit: Select this option to edit previously entered client information.

Save: Select this option to save entered or edited information.

Cancel: Select this option to cancel without saving the entered or edited information.

Delete: Select this option to delete client information. The system will generate a pop-up box asking if you want to delete the information. Answer Yes or No.

Close: Select this option to close the screen and return to the CIRTS Menu screen.

FOLLOW UP PLANNING SCREEN

The screenshot shows the 'CARES FOLLOWUP PLANNING WINDOW' interface. At the top, there are input fields for 'CARESFUPLANNING' (containing '20130415'), 'CIRTS', 'Date' (set to '11/18/2013'), and 'User' (set to 'REGIONALCARES'). Below this, there are fields for 'PSA' (set to '02A'), 'Starting Date', and 'Ending Date', all of which are highlighted in pink to indicate they are required. The interface is divided into two main sections: 'Caseworkers Available' and 'Caseworkers Selected'. The 'Caseworkers Available' list contains 'SHANK, BARBARA A', 'TEST, ANOTHER', 'TEST, MY', and 'WORKER, OTHERPSA'. The 'Caseworkers Selected' list is currently empty. Navigation arrows (>, >>, <<, <) are provided between the two lists. To the right of the 'Caseworkers Selected' list are three radio buttons: 'Completed Followups', 'Scheduled Followups', and 'All Followups'. Below these sections is a 'List of Followups' table with the following columns: Status, Type, Caseworker, Scheduled, Caseworker, Completed, Client Name, and Client SSN. The table is currently empty. At the bottom of the window are four buttons: 'Preview', 'Print Summary', 'Print CIF', and 'Close'.

At the **CIRTS Menu** screen select **Follow Up Planning**. The **CARES Followup Planning** screen will appear. *The pink fields are required (Starting Date, Ending Date, and Caseworkers Selected).*

This screen will provide a list of completed, scheduled, or all follow-ups for all caseworkers, or for an individual caseworker. Click on the radio button **Completed Followups** to list all completed follow ups; click on the radio button **Scheduled Followups** to list all scheduled follow-ups; or click on the radio button **All Followups** to list both completed and scheduled follow-ups.

To list follow-ups for an individual caseworker, enter a date in the **Starting Date** and **Ending Date** fields, click on the caseworker's name in the **Caseworkers Available** list, then click on the ">" arrow to move the caseworker's name to the **Caseworkers Selected** list. Select the follow-ups that you want to list (completed, scheduled, or all). To list follow-ups for all caseworkers, enter the same fields, then click on the ">>" arrow to move all caseworkers to the **Caseworkers Selected** list.

The **List of Followups** will then show the status (CO=Completed or SC=Scheduled), follow-up type, caseworker scheduled for the follow-up, caseworker completing the follow-up, date completed, client name, and SSN.

FOLLOWUP PLANNING SCREEN DEFINITIONS

PSA: This field will automatically be populated. No entry is allowed in this field.

Starting Date: This will be the beginning of the date range for the list of follow-ups. This will be a two-digit month and day and a four-digit calendar year. *This is a required item.*

Ending Date: This will be the ending of the date range for the list of follow-ups. This will be a two-digit month and day and a four-digit calendar year. *This is a required item.*

Caseworkers Available: This list contains all employees that have been designated as a caseworker in the Employee/Caseworkers screen. All employees will not be listed here, only the caseworkers.

Arrows: The “>” or “>>” arrows move the highlighted caseworker(s) to the Caseworkers Selected list. The “<” or “<<” arrows move the caseworker(s) back to the Caseworkers Available list.

Caseworkers Selected: This list contains all caseworkers selected for the List of Followups panel. *This is a required item.*

Completed Followups: Selecting this option will list all follow-ups completed for an individual caseworker, multiple caseworkers, or all caseworkers.

Scheduled Followups: Selecting this option will list all follow-ups scheduled for an individual caseworker, multiple caseworkers, or all caseworkers.

All Followups: Selecting this option will list all follow-ups for an individual caseworker, multiple caseworkers, or all caseworkers.

Preview: Select this option to preview the list of completed, scheduled, or all follow-ups for a selected caseworker(s) or all caseworkers.

Print Summary: Select this option to print a summary of completed, scheduled, or all follow-ups for a selected caseworker(s) or all caseworkers. This report will be sorted by caseworker

Print CIF: Select this option to print a Follow Up CIF for the clients listed in the List of Followups panel.

Close: Select this option to close the screen and return to the CIRTS Menu screen.

EMPLOYEES/CASEWORKERS SCREEN

CARES EMPLOYEES WINDOW

Action Menu Edit Block Field Record Query Help

CARESEMPLOYEES CIRT S Date 11/18/2013
20130415 CARES EMPLOYEES INFORMATION User REGIONALCARES

PSA 02A View Caseworkers Only

List of Employees

| Employee Name | Employee ID | Begin Date | End Date |
|----------------------------|-------------|------------|----------|
| MAZZORATO, LISA A | 1000001547 | 05/07/2010 | |
| NURSING HOME, NURSING HOME | 1000000765 | 06/01/2007 | |
| OTHER, OTHER | 1000000766 | 06/01/2007 | |
| PINNING, ELIZABETH | 77621 | 10/31/1986 | |
| ROWELL, PAIGE | 1000000521 | 06/01/2007 | |
| TEST, ANOTHER | 2000003363 | 04/14/2010 | |
| TEST, MY | 2000003383 | 12/01/1999 | |
| WORKER, OTHERPSA | 78621 | 09/01/1999 | |

CIRT S User Name First Name MI Last Name
OTHER OTHER

Caseworker? Pseudo ID Number County
Y OTHER BAY-02A

Begin Date End Date Level of Care Approver
06/01/2007

Job Title
LEVEL I SCREENER

Add Edit Save Cancel Close

At the **CIRT S Menu** screen select **Employees/Caseworkers**. The **CARES Employees Information** screen will appear. This screen provides a list of employees including the Employee Name, Employee ID, Begin Date, and End Date. If there are employees listed you can click on the line with the employee's information to highlight it; the employee specific information will appear in the fields below. From this screen you can add an employee, view employee information, and edit employee information.

Select the **PSA**. If you check the **View Caseworkers Only** box, only the employees with a Y=Yes to **Caseworker** will appear in the list. If the box is not checked, all employees will appear in the list.

EMPLOYEE/CASEWORKERS SCREEN DEFINITIONS

CIRT S User Name: This is the name the user types on the Enterprise Application Services screen where you log in to CIRT S. The supervisor will fill this in as part of the process of adding a new user to CIRT S.

First Name: Enter the first name of the employee/caseworker. *This is a required item.*

MI: Enter the middle initial of the employee/caseworker. Leave blank if there is no middle initial. This is an optional item.

Last Name: Enter the last name of the employee/caseworker. *This is a required item.*

Caseworker?: Enter Y=Yes if the employee is also a caseworker. A caseworker is an employee who has case-work responsibilities. If the employee is not a caseworker, enter N=No in this field. ***This is a required item.***

Pseudo ID Number: Enter the employee's/caseworker's assigned identification number. ***This is a required item if Caseworker=Y.*** The supervisor assigns this number.

County: Enter the county in which the employee's/caseworker's position is based. ***This is a required item.***

Begin Date: Enter the employee's/caseworker's beginning date of employment for the job title. ***This is a required item.***

End Date: Enter the date the employee/caseworker terminated employment under the job title. This is an optional item.

Level of Care Approver: This field indicates who signs the level of care at staffing. The choices are RN or MD/DO.

Job Title: Enter the employee's/caseworker's job title. ***This is a required item.***

Add: Select this option to add an employee.

Edit: Select this option to edit previously entered employee information.

Save: Select this option to save entered or edited information.

Cancel: Select this option to cancel without saving the entered or edited information.

Close: Select this option to close the screen and return to the CIRTTS Menu screen.

CARES PROVIDERS SCREEN

CARES PROVIDERS WINDOW

CARESPROVIDERS: 20130415 CIRTS: CARES PROVIDERS 11/18/2013
 REGIONALCARES

PSA: 02A

Search Provider: GO VIEW ALL

CARES Provider List

| Provider Name | Provider Type | County | PSA |
|---------------------------------------|----------------|---------|-----|
| AREA AGENCY ON AGING PSA 2 | LEAD AGENCY | LEON | 02A |
| BASIC | CASE MANAGEMEN | BAY | 02A |
| BAY CENTER | NURSING HOME | BAY | 02A |
| BAY CO COUNCIL ON AGING | LEAD AGENCY | BAY | 02A |
| BAY MED BEHAVIORAL HEALTH CENTER | HOSPITAL | BAY | 02A |
| BAY MEDICAL CENTER | HOSPITAL | BAY | 02A |
| BLOUNTSTOWN HEALTH AND REHAB | NURSING HOME | CALHOUN | 02A |
| BONIFAY NURSING & REHAB CENTER | NURSING HOME | HOLMES | 02A |
| BRAIN AND SPINAL CORD INJURY PROVIDER | CASE MANAGEMEN | LEON | 02A |

Provider Name: AREA AGENCY ON AGING PSA 2 Active: Y

Provider Type: LEAD AGENCY Medicaid ID: County: LEON-02B

Add New Provider Edit Save Cancel Close

To access this screen, at the **CIRTS Menu** screen select **CARES Providers**. The **CARES Providers** screen will appear. This screen lists all providers for the PSA, to include the provider name, type, county, and PSA. If you want to view a particular provider, you can click on the provider name and the specific provider information will appear below the list.

You can search for a particular provider by typing in the name (or partial name) in the **Search Provider** field and selecting “GO.” The particular provider will be the only name shown in the list and the provider specific information will appear below the list.

In order to view all providers again, select the **View All** button and all names will appear in the list.

CARES PROVIDERS SCREEN DEFINITIONS

Provider Name: Enter the name of the provider. *This is a required item.*

Active: Enter Y=Yes if this is an active provider. Enter N=No if the provider is inactive. This is an optional item.

Provider Type: Enter the type of provider . Select the provider type from the drop-down box. *This is a required item.* The codes are:

- ALF=Assisted Living Facility

- *CM=Case Management Agency*
- *H=Hospital*
- *LA=Lead Agency*
- *NH=Nursing Home*
- *OT=Other*

Medicaid ID: Enter the Medicaid identification number for the provider. This is an optional item.

County: Enter the county in which the provider is located. If the provider is a statewide provider (Other PSA Hospital, Out of State Nursing Home, etc.), enter the county where the CARES office is located. *This is a required item.*

Add New Provider: Select this option to add a provider.

Edit: Select this option to edit previously entered provider information.

Save: Select this option to save entered or edited information.

Cancel: Select this option to cancel without saving the entered or edited information.

Close: Select this option to close the screen and return to the CIRTS Menu screen.

CLIENT ASSESSMENT LIST SCREEN

CLIENT_ASSM_LIST: 20131112 C I R T S Date: 11/18/2013 User: REGIONALCARES

Client Information

PSA: 02A Owner ID: SSN: 182182182 Client Id: 2001745209 First Name: JOHNNY Last Name: GOOD

Assessment List

| PSA/CARES Office | Date | Assessor Name / Caseworker | Assessment Site | Assessment Type | Priority Score | Rank |
|------------------|------------|----------------------------|------------------------|------------------------------------|----------------|------|
| 02A | 07/16/2013 | OTHER OTHER | CLIENT/RELATIVE'S HOME | 701B COMPREHENSIVE ASSESSMENT INST | 26 | 2 |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
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| | | | | | | |
| | | | | | | |

Buttons: Details, Add New, Demographics, Print, Close

This screen is accessed from the **Demographic** screen by selecting the **Assessments** button. This list contains all assessments for the client, statewide, conducted by CARES and other agency staff. The **Client Information** section will show PSA, Owner ID, SSN, Client Id, First Name, and Last Name. The **Assessment List** panel will show the PSA/CARES Office, assessment date, assessor name/caseworker, assessment site, assessment type, priority score, and rank. To view an assessment, click on the assessment and select **Details** or you can double-click on the assessment to open the **Assessment** screen. All information on this screen is entered by the system.

LIST OF ASSESSMENTS SCREEN DEFINITIONS

PSA: Indicates the CARES PSA or the ADRC/lead agency PSA.

Owner ID: If the client is being processed by the Aging Network, the case management provider number will display. This number is assigned by the ADRC or lead agency when the client is added. It is display only.

SSN: This is the client's nine-digit Social Security Number.

Client Id: This is a unique, random number assigned by the system that is associated with each client in CIRTS.

First Name: The system will automatically enter the client's first name based on the information entered on the Demographic screen.

Last Name: The system will automatically enter the client's last name based on the information entered on the Demographic screen.

PSA/CARES Office: Indicates the CARES PSA or the ADRC/lead agency PSA.

Date: This is the date of the assessment conducted by CARES or the ADRC/lead agency.

Assessor Name/Caseworker: This is the name of the CARES or ADRC/lead agency assessor that completed the assessment.

Assessment Site: This is the site where the assessment was conducted.

Assessment Type: This represents the assessment instrument used for the assessment.

Priority Score: This field is automatically populated when applicable.

Rank: This field is automatically populated when applicable.

Details: Select this option to view the assessment selected.

Add New: Select this option to add an assessment.

Demographics: Select this option to return to the Demographic screen.

Print: Select this option to print the assessment report.

Close: Select this option to close the screen and return to Demographic.

REMINDER:

CIRTS is used by Aging Provider Network users and CARES users. The demographic and assessment information is shared between the two entities. Aging Provider Network users cannot view CARES cases; they can only view level of care information (staffing date, LOC effective date, LOC, placement recommendation, and program recommendation), NHD History Screen, and referral information (employee name, referral date, imminent risk status, transition referral, NH admit date, referred to, and CARES provider). *Note: They can only view referrals from CARES to lead agencies, AAA, ADRC, and MCO.*

CARE PLAN SCREEN

At the **Demographic** screen select the **Care Plan** button to access this screen. This screen is used by the ADRC/lead agency to enter services needed and services planned for the client. This is a view only screen for CARES users. To exit this screen you can click on the icon identified at the top of the screen, select Action/Exit, or click on the “X” in the upper right-hand corner of the screen. This will take you back to the Demographic screen. *Note: See the user guide for the Aging Provider Network for details on this screen.*

ENROLLMENTS SCREEN

At the **Demographic** screen select the **Enrollments** button to access this screen. This screen is used by the ADRC/lead agency to enter enrollments for the client. This is a view only screen for CARES users. To exit this screen you can click on the icon identified at the top of the screen, select Action/Exit, or click on the “X” in the upper right-hand corner of the screen. This will take you back to the Demographic screen. *Note: See the user guide for the Aging Provider Network for details on this screen.*

REMINDER:

The program **MLTC** is the new waiver Managed Long-Term Care program. It is only associated with active (**ACTV**) and **terminated ACTV** (any status starting with **TR**) program statuses. It is used for both the new waiver community and nursing facility program.

The program **LTCC** is the new community waiver program used for waitlist (**APCL=Assessed Prioritized Consumer List**), **terminated APCL** (any status starting with **TA**), applicant (**APPL**), and **terminated APPL** (any status starting with **TP**) program statuses.

The program **LTCN** is the new nursing facility waiver program used for applicant (**APPL**) and **terminated APPL** (any status starting with **TP**) program statuses. **There is no waitlist for LTCN.**

The **MLTC** active information comes from **FMMIS** and is updated three times per month. It is not entered by the ADRCs or any user.

SERVICES SCREEN

CISRVCL

Action Menu Edit Block Field Record Query Help

CISRVCL
20130917

CIRTS
RECEIVED SERVICES BY CLIENTS

Date: 11/19/2013
User: REGIONALCARES

PSA: 02A SSN: 182182182 Client Id: 2001745209 DOB: 01/01/1950 County: BAY

First Name: JOHNNY MI: B Last Name: GOOD Owner ID:

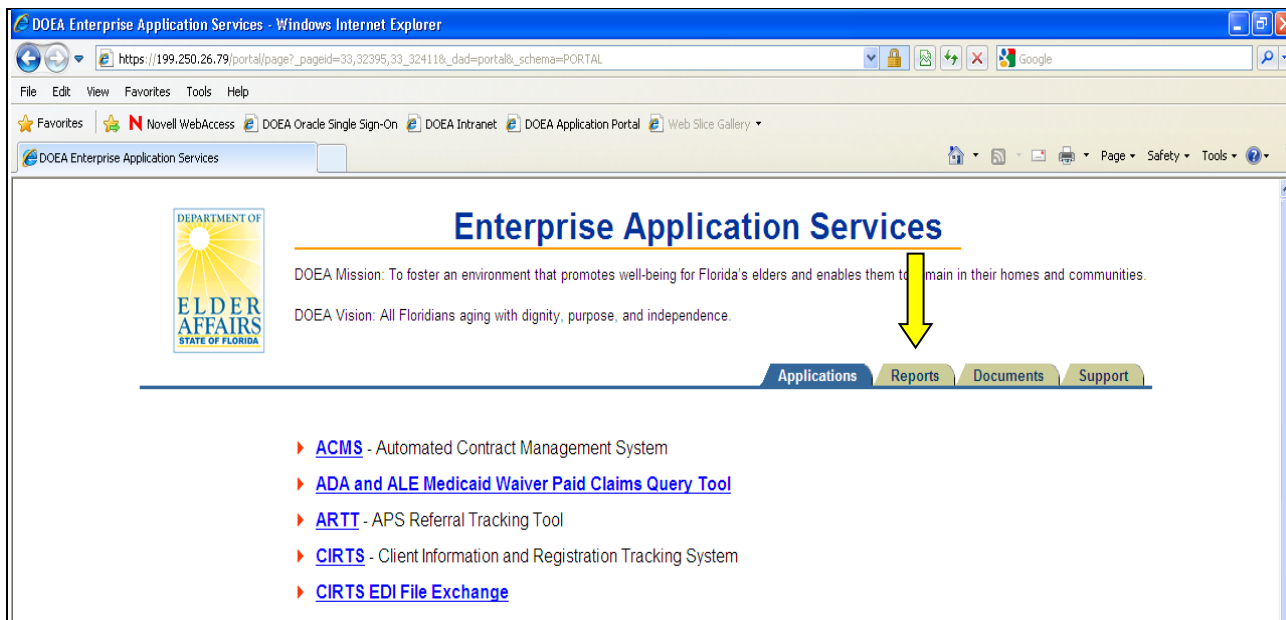
| PSA | Provider | Loc | Worker | Program | Service | Service Date | Units | Unit Type | Billed Amount |
|-----|----------|-----|--------|---------|---------|--------------|-------|-----------|---------------|
| | | | | | | | | | |

Enter Client SSN or F7 to Query on Last Name

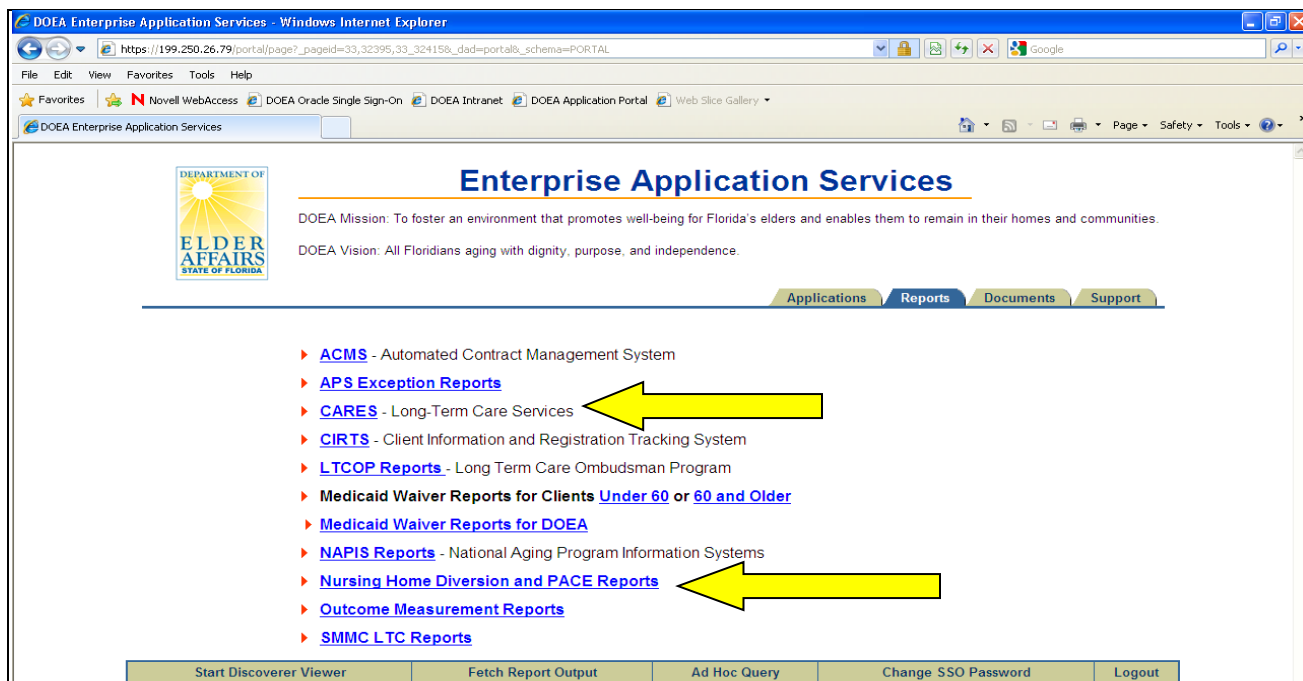
Record: 1/1 ... <OSC>

At the **Demographic** screen select the **Services** button to access this screen. This screen is used by the ADRC/lead agency to enter the services received by the client. This is a view only screen for CARES users. To exit this screen you can click on the icon identified at the top of the screen, select Action/Exit, or click on the “X” in the upper right-hand corner of the screen. This will take you back to the Demographic screen. *Note: See the user guide for the Aging Provider Network for details on this screen.*

REPORTS TAB SCREEN

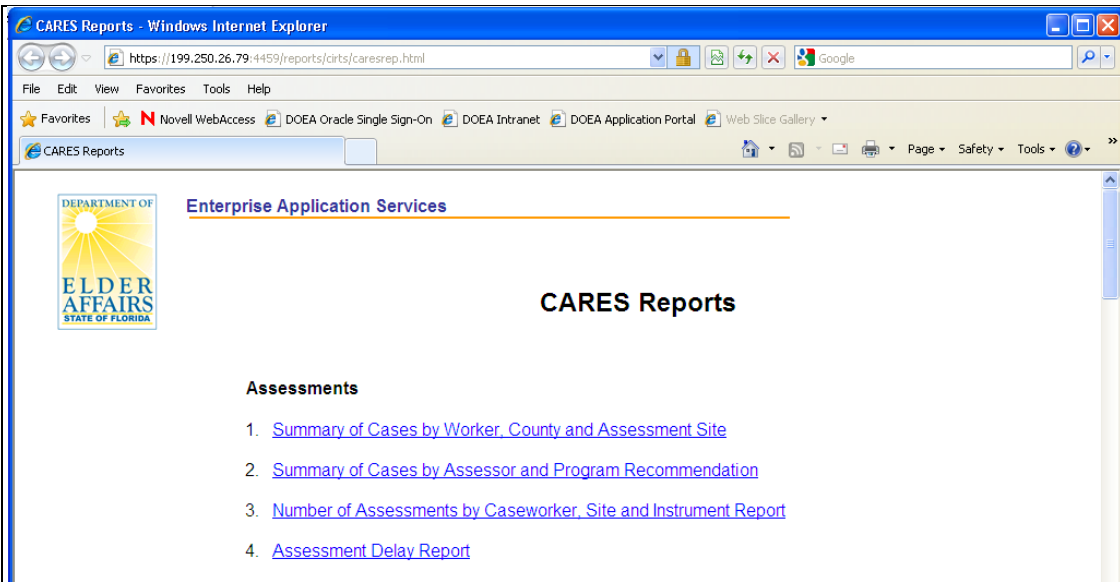


To access the **CARES** reports you will need to select **Reports** from the Enterprise Application Services screen.



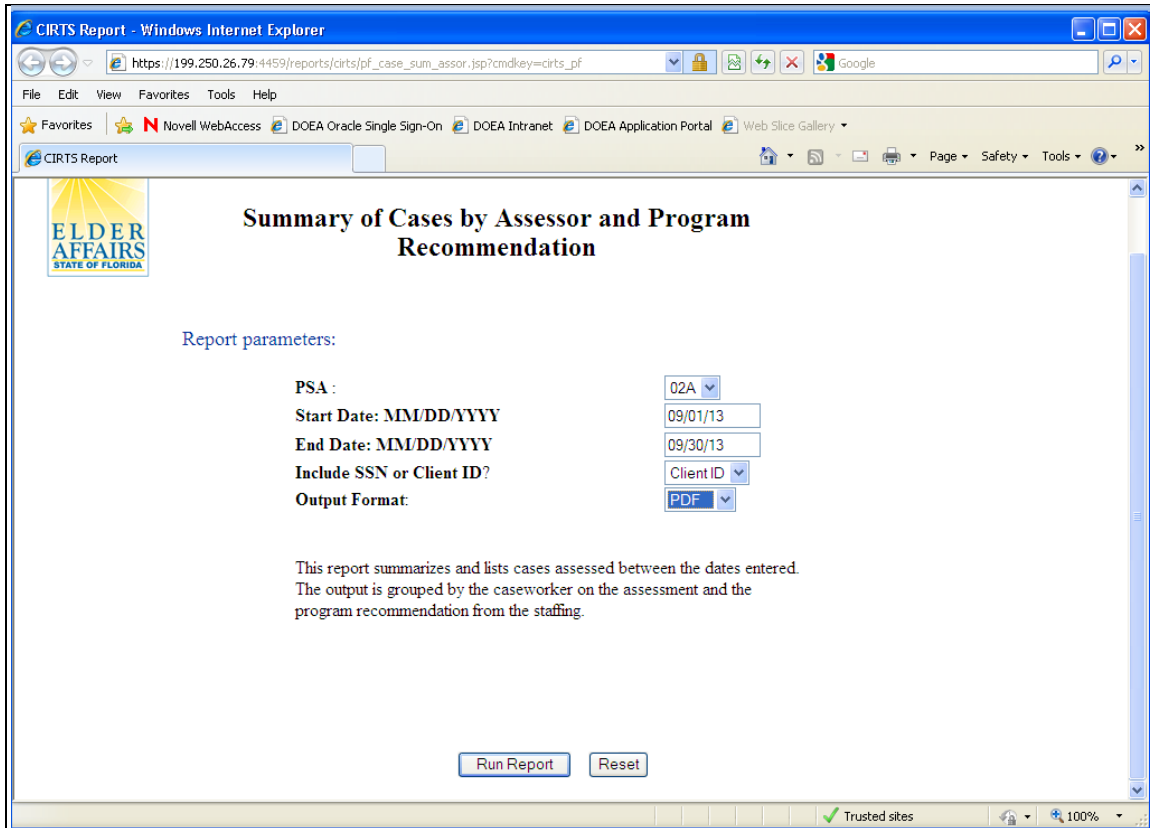
Click the **CARES** link to view or print the CARES reports. Click the **Nursing Home Diversion and PACE Reports** link to view or print the Nursing Home Diversion/PACE reports.

When you select **CARES**, the **CARES Reports** screen will appear.



This screen has reports listed under the headings: Assessments, CRR, Management, PAS, Staffing, Headquarters Reports, and Miscellaneous. Click on the report that you want to view or print.

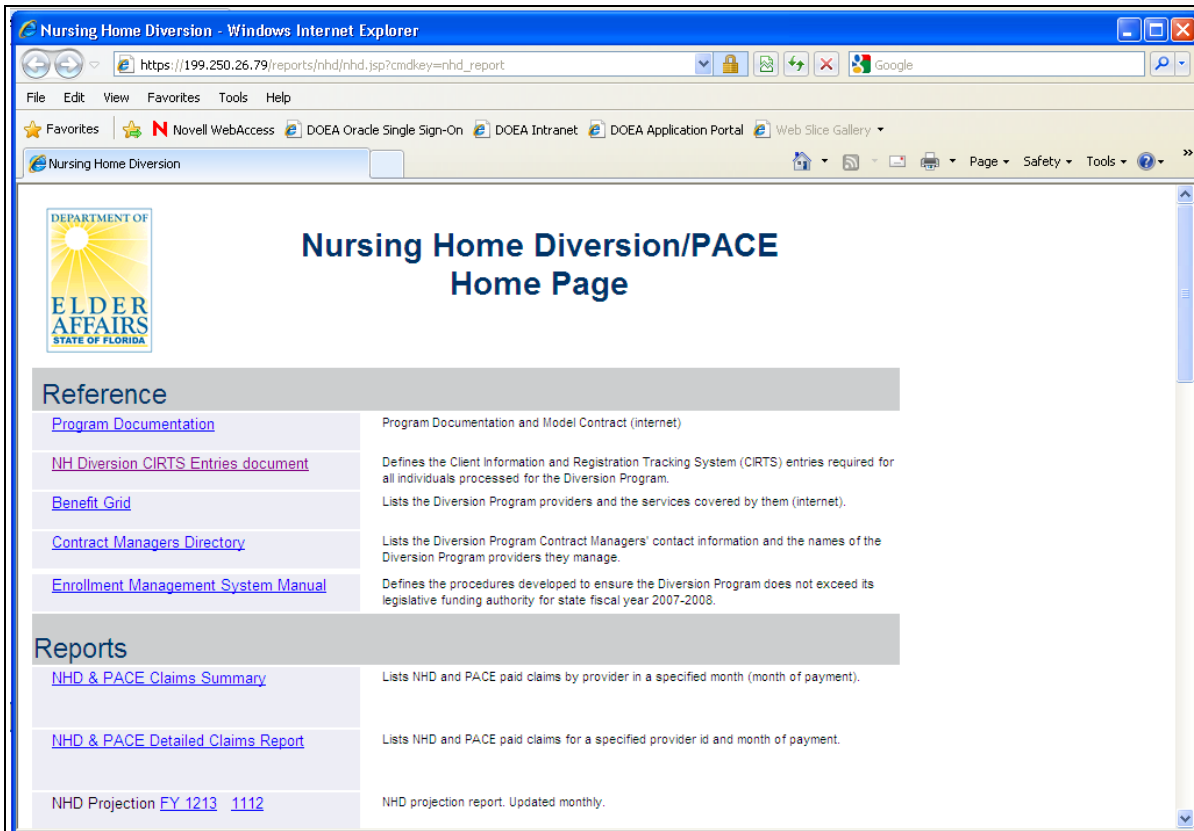
The screen for the report that you select will appear. **Summary of Cases by Assessor and Program Recommendation** was selected from the CARES Reports screen in the example below.



Each report will have report parameters. The parameters for this report are PSA, start date, end date, and SSN or Client ID. Enter a two-digit month, day and year for the date range that you want to run the

report. Select **Run Report** to run the report. Select **Reset** to clear the parameters and enter new parameters. *Note: Some reports can be run for an individual caseworker or the PSA.*

The **Nursing Home Diversion/PACE Home Page** will appear when you select **Nursing Home Diversion and PACE Reports**.



Click on the report that you want to view or print. You will only have access to reports for your PSA. This page also contains other documents and instructions for these programs.

DOCUMENTS TAB SCREEN

The screenshot shows a web browser window titled "DOEA Enterprise Application Services - Windows Internet Explorer". The address bar displays the URL: https://199.250.26.79/portal/page?_pageid=33,32395,33_324198_dad=portal&_schema=PORTAL. The browser's Favorites bar includes links for "Novell WebAccess", "DOEA Oracle Single Sign-On", "DOEA Intranet", "DOEA Application Portal", and "Web Slice Gallery".

The main content area features the "DEPARTMENT OF ELDER AFFAIRS STATE OF FLORIDA" logo on the left. The title "Enterprise Application Services" is centered at the top. Below the title, the mission and vision statements are displayed: "DOEA Mission: To foster an environment that promotes well-being for Florida's elders and enables them to remain in their homes and communities." and "DOEA Vision: All Floridians aging with dignity, purpose, and independence." A yellow arrow points from the vision statement down to the "Documents" tab in the navigation menu.

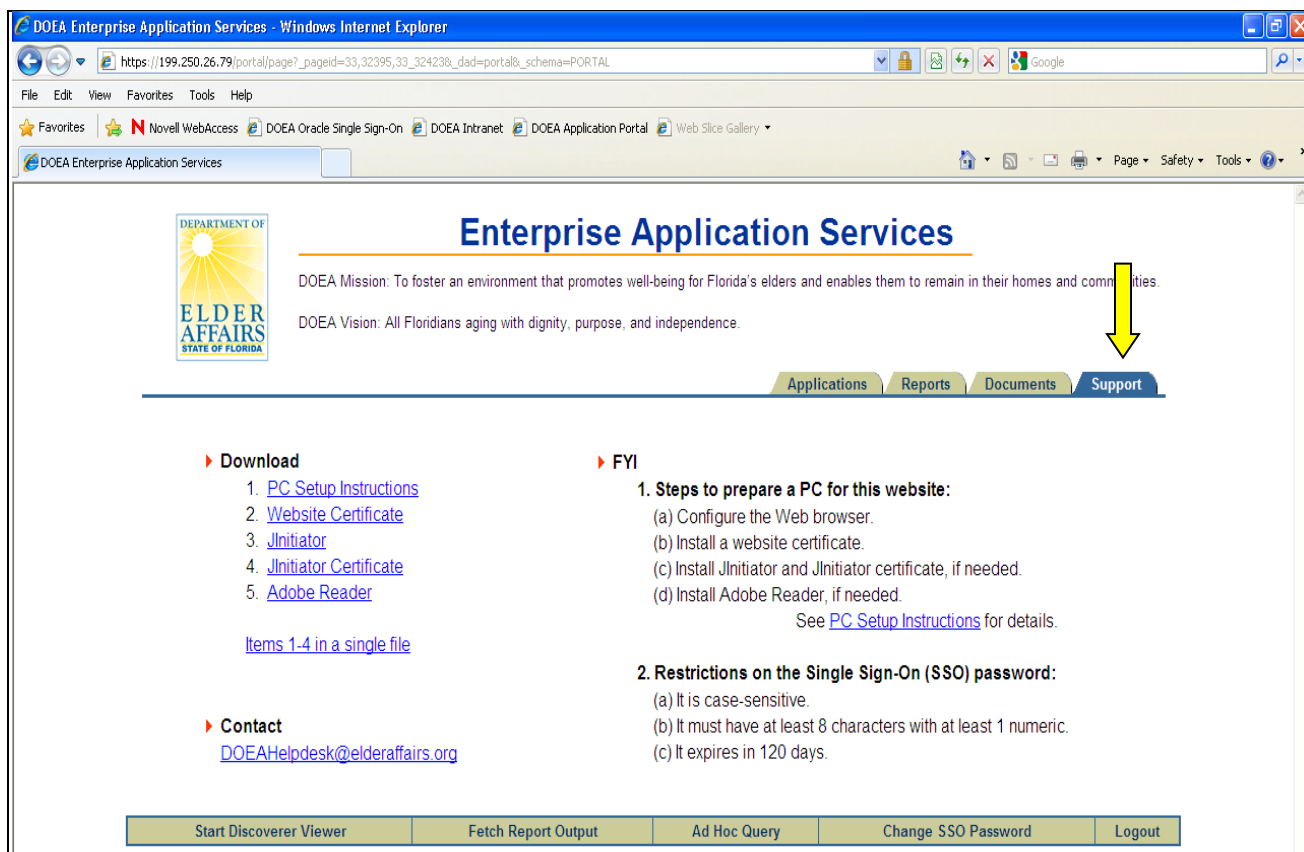
The navigation menu consists of four tabs: "Applications", "Reports", "Documents" (which is highlighted), and "Support". Below the navigation menu, a list of document links is provided:

- ▶ [AAA contacts for the CARES Supervisors](#)
- ▶ [ARTT](#) - Link to the APS Referral Tracking Tool manual, newsletters, MOA and model MOU
- ▶ [CARES User Management System Manual](#)
- ▶ [CIRTS User Guide](#) - CARES Staff *New 2009*
- ▶ [CIRTS User Manual](#) - Aging Provider Network users
- ▶ [DOEA Program Dashboard User Guide](#)
- ▶ [HMT Manual](#) - ADA Waiver Holistic Monitoring Tool manual
- ▶ [Hospice User Manual](#)
- ▶ [LTCOP Application User Manual](#) - Long Term Care Ombudsman Program
- ▶ [LTCOP Resident and Complainant Manual](#)
- ▶ [NH Diversion CIRTS Entries Document](#)
- ▶ [Outcome Measurement Report Documents](#)

At the bottom of the page, there is a footer bar with five buttons: "Start Discoverer Viewer", "Fetch Report Output", "Ad Hoc Query", "Change SSO Password", and "Logout".

The **Documents** tab is accessed on the **Enterprise Application Services** screen. User manuals and enhancement documents will be posted on this screen. *Note: The 2009 and 2013 CIRTS User Guide for CARES will be posted under this tab.*

SUPPORT TAB SCREEN



The **Support** tab is accessed on the **Enterprise Application Services** screen. This screen contains instructions when CIRTSS stops working on your computer. In the event this happens take the following steps:

- ✓ Start at Item 1 in the Download section and click the PC Setup Instructions link.
- ✓ Follow all instructions for installing the Web site Certificate, JInitiator (close your Web browser after this step and re-open before running the JInitiator Certificate) and the JInitiator Certificate.
- ✓ If CIRTSS still does not run on your computer, submit a ticket to the Help Desk.

CHANGING YOUR CIRTS PASSWORD

CIRTS will automatically prompt you to change your password every 120 days.

If you want to change your password at any other time, click the **Change SSO Password** link in the bottom right-hand corner of the **Enterprise Application Services** screen, as indicated below.

DOEA Enterprise Application Services - Windows Internet Explorer

https://199.250.26.79/portal/page?_pageid=33,32395,33_32411&_dad=portal&_schema=PORTAL

File Edit View Favorites Tools Help

DOEA Enterprise Application Services

Enterprise Application Services

DOEA Mission: To foster an environment that promotes well-being for Florida's elders and enables them to remain in their homes and communities.

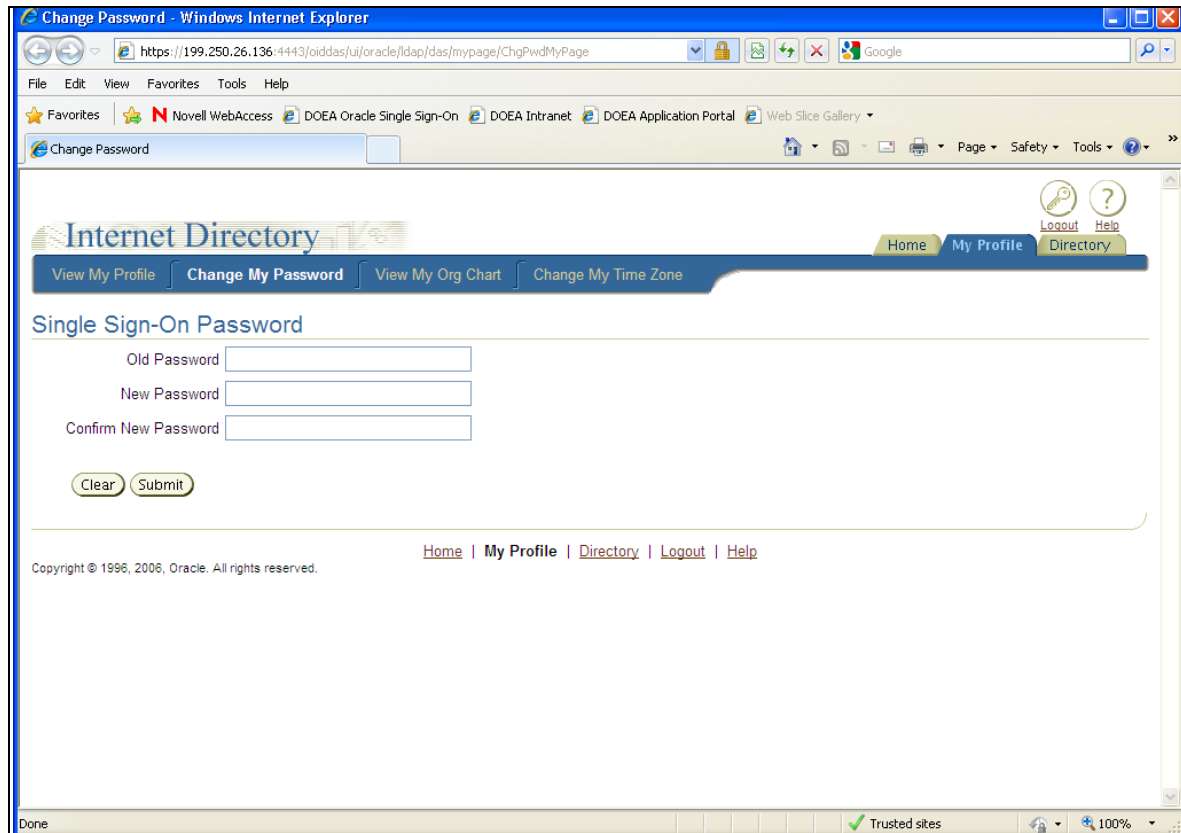
DOEA Vision: All Floridians aging with dignity, purpose, and independence.

Applications Reports Documents Support

- ▶ [ACMS - Automated Contract Management System](#)
- ▶ [ADA and ALE Medicaid Waiver Paid Claims Query Tool](#)
- ▶ [ARTT - APS Referral Tracking Tool](#)
- ▶ [CIRTS - Client Information and Registration Tracking System](#)
- ▶ [CIRTS EDI File Exchange](#)
- ▶ [DOEA CDC+ Call Tracking System](#)
- ▶ [DOEA Correspondence Tracking System](#)
- ▶ [DOEA Disaster Deployment Tracking System](#)
- ▶ [DOEA Grant Tracking System](#)
- ▶ [DOEA Human Resources Tracking System](#)
- ▶ [DOEA Program Dashboard](#)
- ▶ [DOEA Public Guardians](#)
- ▶ [DOEA Registering ALF Core Trainers](#)
- ▶ [DOEA Training Management System](#)
- ▶ [Hospice Demographic and Outcome Measures Online Form](#)
- ▶ [LTCOP - Long Term Care Ombudsman Program](#)
- ▶ [Protected Health Information Disclosure Tracking System](#)
- ▶ [Security Incident Tracking System](#)

Start Discoverer Viewer Fetch Report Output Ad Hoc Query **Change SSO Password** Logout

The following screen will appear.

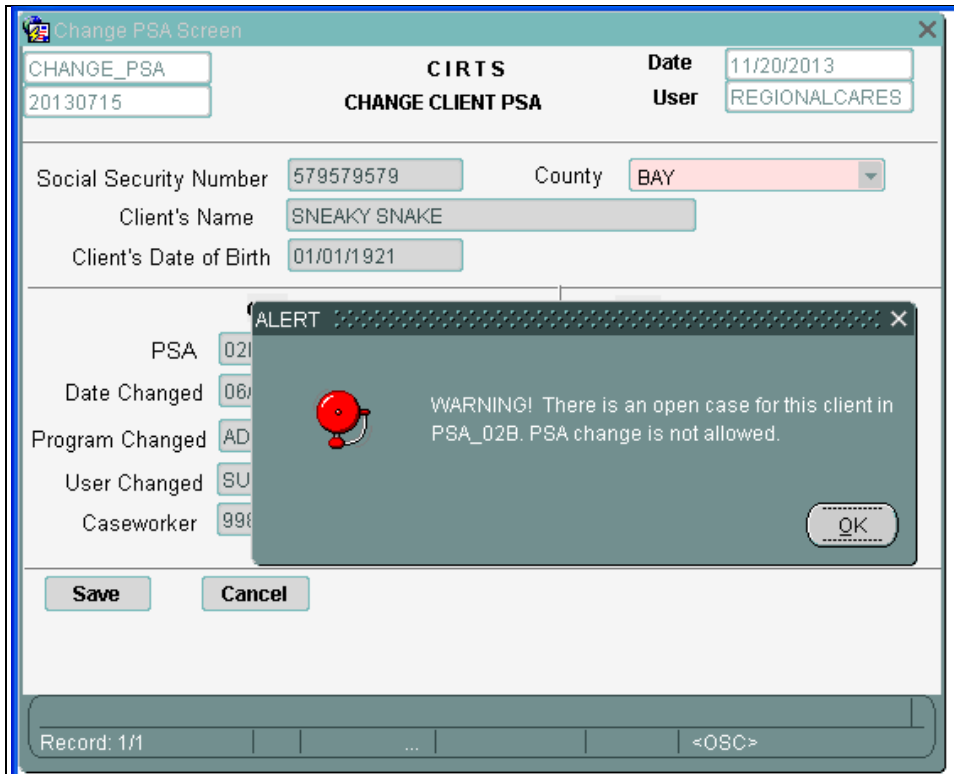


Instructions for changing your password are as follows:

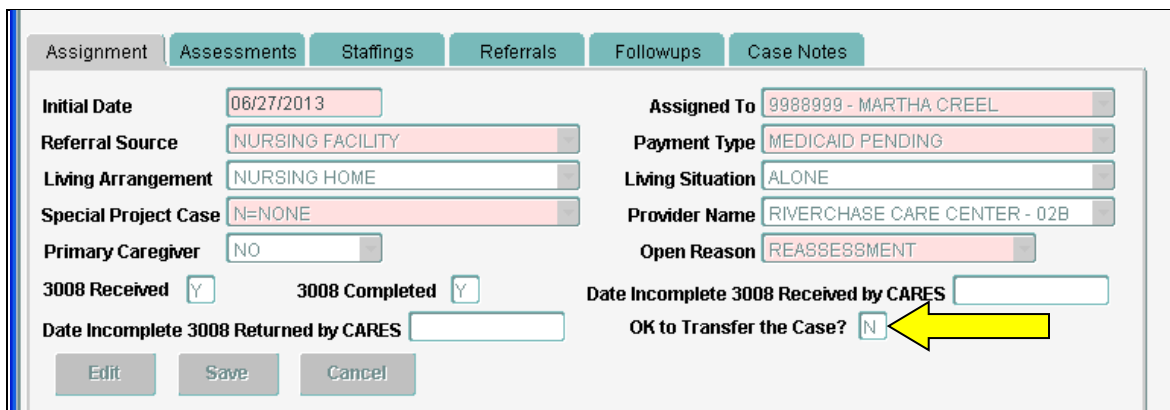
- ✓ Type your current password in the **Old Password** field.
- ✓ Type your new password in the **New Password** field (the password is case-sensitive).
- ✓ Type your new password in the **Confirm New Password** field.
- ✓ Click the **Submit** button.

TRANSFERRING OPEN CASES

CIRTS allows open cases to be transferred to a new office, and the case becomes “shared.” The new office uses the **Change PSA** screen to pull the client into their area. If CIRTS finds an open case in another office that has been staffed, it will tell the user which office has the open case and check to see if that office has given permission to transfer the case. If permission has not been given, the user must contact the old office to request permission.



The old office must enter “Y” in the “*OK to Transfer the Case?*” field on the Assignment tab.



When the old office gives permission, they will be reminded of any incomplete referrals and forced to complete or delete them before giving permission.

The screenshot shows the CIRTS software interface for a case titled "CARE CASE" with ID 20130827. The user is REGIONALCARES and the date is 11/20/2013. The case is for JOHNNY GOOD, SSN: 182182182, with "Demographic Complete" and "PAS Complete" checked. A table below shows a referral on 07/16/2013, reason "INITIAL CASE", source "FAMILY", payment type "MEDICAID PENDING", and status "OPEN".

An "Error Occured" dialog box is displayed in the center, containing the message: "There are incomplete referrals for the case. You need to complete or delete those referrals before allowing the case transfer." The dialog has an "OK" button.

The background form includes fields for "Initial Date" (07/16/2013), "Referral Source" (FAMILY), "Living Arrangement" (PRIVATE RESID), "Special Project Case" (N=NONE), and "Primary Caregiver" (YES). There are also checkboxes for "3008 Received" (Y) and "3008 Completed" (Y), and a field for "Date Incomplete 3008 Received by CARES". At the bottom, there is a prompt: "Enter a 'Y' or 'N' for OK to Transfer the Case?" and a "Record: 1/1" indicator.

They will also be reminded of any overdue or almost due (due in the next two weeks) follow-ups. The follow-ups must be completed prior to giving permission to transfer.

This screenshot is similar to the one above, showing the same case information. However, the "Error Occured" dialog box contains a different message: "There is either an overdue follow up or a scheduled follow up within 15 days for the case. You need to complete this follow up before allowing the case transfer." The dialog has an "OK" button.

The background form is identical to the previous screenshot, but the "Open Reason" dropdown menu is now set to "INITIAL CASE".

The **Change PSA** screen prompts the user to select the caseworker that the case should be re-assigned to. *Note: The Change PSA screen also checks for incomplete referrals and overdue or almost due follow-ups.*

| Field | Value |
|------------------------|---------------------|
| CHANGE_PSA | 20130715 |
| CIRTS | CHANGE CLIENT PSA |
| Date | 11/14/2013 |
| User | SUPERVISOR02B |
| Social Security Number | 182182182 |
| County | BAY |
| Client's Name | JOHNNY GOOD |
| Client's Date of Birth | 01/01/1950 |
| OLD | |
| PSA | 02A |
| Date Changed | 09/09/2013 |
| Program Changed | ADD_CLIENT_INFO |
| User Changed | REGIONALCARES |
| Caseworker | OTHER - OTHER OTHER |
| NEW | |
| PSA | 02A |
| Date Changed | 09/09/2013 |
| Program Changed | ADD_CLIENT_INFO |
| User Changed | REGIONALCARES |
| Caseworker | [Empty Dropdown] |

When the PSA change is saved, the system updates the Case Assignment screen and any scheduled (or unscheduled) follow-ups due to the new office and new caseworker. Staffings, assessments, referrals, and completed follow-ups are not changed to the new PSA and can only be edited by the old office. The new office can add assessments, staffings, and referrals. The Follow-up Planning screen shows the follow-up due to the new office for the new caseworker.

Once the PSA change is complete, the new office should update the client's address.

REMINDER:

You cannot transfer a case that has not been staffed. Cases that have not been assessed and staffed should be manually closed in the old office and opened in the new office.

Users who have the Supervisor Role, or the Caseworker Role with "the change PSA field=Y" will be able to transfer cases.

The manual Close Case screen reminds (but does not stop) the user not to close a case manually with closed reason “Case Transfer” when the open case can be transferred.

REMINDER:

If the case is open and has been assessed and staffed, use the transfer procedures provided in this guide to transfer a case. The manual case closure with reason “Case Transfer” should only be used if the case is open without an assessment and staffing and is being transferred.

General information regarding “shared” cases:

- ✓ If a “shared” case must be deleted, the office that first staffed the case is the only office that can delete the case. The Delete Case button is disabled for all users except the Supervisor Role for the original staffing office. If the original staffing office deletes a case, CIRTS will give a reminder that the case is shared. For example, *“Part of the case was entered by CARES 02A. Deleting the case will also delete all those records. Are you certain that you want to delete the case?”*
- ✓ If a client must be deleted who has a “shared” case, the office that first staffed the “shared” case must delete the case, then either office can delete the client.

REMINDER:

If the PAS is incomplete (and entered by any office), the case will continue with 30-day follow-ups until it is complete.
The office that completes the 30-day follow-up will get counted in the diversion reports.

COUNTY CODES

| | | | |
|----|--------------|----|--------------|
| 01 | Alachua | 36 | Lee |
| 02 | Baker | 37 | Leon |
| 03 | Bay | 38 | Levy |
| 04 | Bradford | 39 | Liberty |
| 05 | Brevard | 40 | Madison |
| 06 | Broward | 41 | Manatee |
| 07 | Calhoun | 42 | Marion |
| 08 | Charlotte | 43 | Martin |
| 09 | Citrus | 44 | Monroe |
| 10 | Clay | 45 | Nassau |
| 11 | Collier | 46 | Okaloosa |
| 12 | Columbia | 47 | Okeechobee |
| 13 | Dade | 48 | Orange |
| 14 | De Sota | 49 | Osceola |
| 15 | Dixie | 50 | Palm Beach |
| 16 | Duval | 51 | Pasco |
| 17 | Escambia | 52 | Pinellas |
| 18 | Flagler | 53 | Polk |
| 19 | Franklin | 54 | Putnam |
| 20 | Gadsden | 55 | St. Johns |
| 21 | Gilchrist | 56 | St. Lucie |
| 22 | Glades | 57 | Santa Rosa |
| 23 | Gulf | 58 | Sarasota |
| 24 | Hamilton | 59 | Seminole |
| 25 | Hardee | 60 | Sumter |
| 26 | Hendry | 61 | Suwannee |
| 27 | Hernando | 62 | Taylor |
| 28 | Highlands | 63 | Union |
| 29 | Hillsborough | 64 | Volusia |
| 30 | Holmes | 65 | Wakulla |
| 31 | Indian River | 66 | Walton |
| 32 | Jackson | 67 | Washington |
| 33 | Jefferson | 99 | Out of State |
| 34 | Lafayette | | |
| 35 | Lake | | |

STAFFING CHART

| Placement Rec. | Program Considered | Program Recommendation | Level of Care/Waiver |
|--|--|--|------------------------------|
| AFCH=Adult Family Care Home | ACFW, ADAW, ADHC, BSCW, CCDA, HEMO, HSPC, LTCP, NONE, OTHR, PACE, PACW, LTCC | ACFW, ADAW, ADHC, BSCW, LTCP, PACE, PACW, LTCC | INO, INT, MWC, ROH, RON, SKD |
| | | CCDA, HEMO, HSPC, NONE, OTHR | DNM, DWC, INO, INT, SKD, WHL |
| ALFE=ALF with Extended Cong. Care | ALFW, BSCW, CCDA, HEMO, HSPC, LTCP, NONE, OTHR, PACE, PACW, LTCC, CHAN, ELDC | ALFW, BSCW, LTCP, PACE, PACW, LTCC, CHAN, ELDC | INO, INT, MWC, ROH, RON, SKD |
| | | CCDA, HEMO, HSPC, NONE, OTHR | DNM, DWC, INO, INT, SKD, WHL |
| ALFM=ALF with Limited MH Services | ADAW, BSCW, CCDA, HEMO, HSPC, LTCP, NONE, OTHR, PACE, PACW, LTCC, CHAN, ELDC | ADAW, BSCW, LTCP, PACE, PACW, LTCC, CHAN, ELDC | INO, INT, MWC, ROH, RON, SKD |
| | | CCDA, HEMO, HSPC, NONE, OTHR | DNM, DWC, INO, INT, SKD, WHL |
| ALFN=ALF with Limited Nurs. Services | ALFW, BSCW, CCDA, HEMO, HSPC, LTCP, NONE, OTHR, PACE, PACW, LTCC, CHAN, ELDC | ALFW, BSCW, LTCP, PACE, PACW, LTCC, CHAN, ELDC | INO, INT, MWC, ROH, RON, SKD |
| | | CCDA, HEMO, HSPC, NONE, OTHR | DNM, DWC, INO, INT, SKD, WHL |
| ALFS=Assisted Living Facility | ADAW, BSCW, CCDA, HEMO, HSPC, LTCP, NONE, OTHR, PACE, PACW, LTCC, CHAN, ELDC | ADAW, BSCW, LTCP, PACE, PACW, LTCC, CHAN, ELDC | INO, INT, MWC, ROH, RON, SKD |
| | | CCDA, HEMO, HSPC, NONE, OTHR | DNM, DWC, INO, INT, SKD, WHL |
| ARTS=Adult/Geriatric Residential Treat. Fac. | ACFW, ADAW, BSCW, CCDA, HEMO, HSPC, NONE, OTHR, PACE, PACW | ACFW, ADAW, BSCW, PACE, PACW | INO, INT, MWC, ROH, RON, SKD |
| | | CCDA, HEMO, HSPC, NONE, OTHR | DNM, DWC, INO, INT, SKD, WHL |
| GRHO=Group Home | DEVS, NONE, OTHR | DEVS, NONE, OTHR | DNM, INO, INT, SKD, WHL |
| HOSP=Hospital | HSPC, NONE, SBHO, SNUH | HSPC, NONE | DNM, INO, INT, SKD, WHL |
| | | SNUH | SKD |
| | | SBHO | INO, INT, SKD |
| MRDD=MR/DD Fac. | NONE | NONE | DNM, INO, INT, SKD, WHL |
| NHTP=Temporary NH | ACFW, ADAW, ADHC, ALFW, ALZW, BSCW, CCDA, CCFE, CDCW, CHAN, DEVS, ELDC, FDMW, HEMO, HSPC, LTCP, NHSS, NONE, OMDW, OTHR, PACE, PACW, LTCN | LTCP | INO, INT, MWC, SKD |
| | | HSPC, NHSS, NONE, LTCN | INO, INT, SKD |

| Placement Rec. | Program Considered | Program Recommendation | Level of Care/Waiver |
|---------------------------------------|--|---|---------------------------------|
| NHTR=NH Transition | ACFW, ADAW, ADHC, ALFW, ALZW, BSCW, CCDA, CCFE, CDCW, CHAN, DEVS, ELDC, FDMW, HEMO, HSPC, LTCP, NHSS, NONE, OMDW, OTHR, PACE, PACW, LTCC | ACFW, ADAW, ADHC, ALFW, ALZW, BSCW, CDCW, CHAN, FDMW, LTCP, OMDW, PACE, PACW, LTCC | INO, INT, MWC, ROH, RON, SKD |
| | CCDA, CCFE, DEVS, ELDC, HEMO, HSPC, NHSS, NONE, OTHR | | INO, INT, SKD |
| NUHO=Nursing Home | ACFW, ADAW, ADHC, ALFW, ALZW, BSCW, CCDA, CCFE, CDCW, CHAN, DEVS, ELDC, FDMW, HEMO, HSPC, LTCP, NHSS, NONE, OMDW, OTHR, PACE, PACW, LTCN | HSPC, NHSS, NONE, LTCN | INO, INT, SKD |
| OTHR=Other | NONE, OTHR | NONE, OTHR | DNM, INO, INT, SKD, WHL |
| PRNH=Prison NH | NONE | NONE | NONE |
| PRRE=Private Residence | ACFW, ADAW, ADHC, ALZW, BSCW, CCDA, CCFE, CDCW, CHAN, ELDC, FDMW, HEMO, HSPC, LTCP, NONE, OMDW, OTHR, PACE, PACW, LTCC | ACFW, ADAW, ADHC, ALZW, BSCW, CDCW, CHAN, FDMW, LTCP, OMDW, PACE, PACW, LTCC | INO, INT, MWC, ROH, RON, SKD |
| | CCDA, CCFE, ELDC, HEMO, HSPC, NONE, OTHR | | INO, INT, SKD, DNM, DWC, WHL |
| PSYF= Psychiatric Fac. | NONE | NONE | DNM, INO, INT, SKD, WHL |
| REHB= Rehab Hospital | NONE | NONE | DNM, INO, INT, SKD, WHL |
| SAPT= Supervised Apt. | ACFW, ADAW, ADHC, ALZW, BSCW, CCDA, CCFE, CDCW, CHAN, ELDC, HEMO, HSPC, LTCP, NONE, OMDW, OTHR, PACE, PACW, LTCC | ACFW, ADAW, ALZW, BSCW, CDCW, CHAN, LTCP, OMDW, PACE, PACW, LTCC | INO, INT, MWC, ROH, RON, SKD |
| | CCDA, CCFE, ELDC, HEMO, HSPC, NONE, OTHR | | DNM, DWC, INO, INT, SKD, WHL |
| SHNH=State Mental Hosp. NH Unit | NONE | NONE | INO, INT, SKD |
| SMHO=State Mental Hosp. | NONE | NONE | DNM, INO, INT, SKD, WHL, MEN |

This chart identifies the available program and level of care codes for each placement recommendation.

FOLLOW UP SCHEDULE FOR CIRTS

| Schedule Follow Up | Living Arrangement | Placement Recommendation | Program Recommendation | MI/MR Exclusion | Follow Up Schedule | Case Termination Reasons |
|--------------------|-------------------------|----------------------------------|--|-----------------|---|--|
| Nursing Home | Not Equal NUHO, SHNH | Equal NUHO, SHNH | Equal HSPC, NONE, LTCN | | Every 30 days until Living Arrangement=NUHO or SHNH then Auto Close (or manually closed) | <ol style="list-style-type: none"> 1. If placed IN=In Nursing Home 2. Manual Close |
| Community | | Not Equal NHTP, NUHO, SHNH | Equal ACFW, ADAW, ADHC, ALFW, ALZW, BSCW, CCDA, CCFE, CDCW, CHAN, DEVS, ELDC, FDMW, HEMO, HSPC, LTCP, NONE, OMDW, OTHR, PACE, PACW | | Assessor=CAR 30, 90, 180, Annual, Auto Close (or manually closed) Assessor Does Not=CAR & Program Recommendation=Waiver Case will automatically close at staffing Assessor Does Not=CAR & Program Recommendation Does Not=Waiver 30, 90, 180, Annual, Auto Close (or manually closed) | <ol style="list-style-type: none"> 1. If Annual CA=Close Annual 2. If Waiver/CARES not Assessor NN=No Longer Needed 3. Manual Close |
| | | | | | Initial: Assessor=CAR 30, 90, 180, Annual, Auto Close (or manually closed) until Case Manager does not=CAR, then Auto Close | <ol style="list-style-type: none"> 1. If Annual CA=Close Annual 2. If CARES not Case Manager CP=Closed/In Plan 3. Manual Close |
| | | | | | Annual: Assessor Does Not=CAR Case will automatically close at staffing Assessor Does Not=CAR & Case Manager Does Not=CAR at Follow Up Auto Close | <ol style="list-style-type: none"> 1. CP=Closed/In Plan |
| | | | LTCC | | | |

| Schedule Follow Up | Living Arrangement | Placement Recommendation | Program Recommendation | MI/MR Exclusion | Follow Up Schedule | Case Termination Reasons |
|----------------------------|--------------------|--------------------------|------------------------|------------------------------|--|--|
| Swing Bed/SNUH | | Equal HOSP | Equal SBHO, SNUH | | 30, 90, 180, Annual & Ongoing Annual (or manually closed) | 1. Manual Close |
| Needs Specialized Services | | Equal NHTP, NUHO | Equal NHSS | | 30, 90, 180, Annual & Ongoing Annual (or manually closed) | 1. Manual Close |
| Temporary Nursing Home | | Equal NHTP | Equal HSPC, NONE, LTCN | | 30, 90, 180, Annual, Auto Close (or manually closed) | 1. If Annual CA=Closed Annual 2. Manual Close |
| | | | Equal LTCP | | Every 30 days until Case Manager does not = CARES and then 90, 180, Annual, Auto Close (or manually closed) | |
| Temporary PAS | | | | Equal CC, DE, ER, PS, EH, EM | Every 30 days until the Living Arrangement does not=NUHO, SHNH or [HOSP when the PR. REC.=SBHO or SNUH] or PAS=COMPLETE (or manual close) | 1. Manual Close |
| Referral | | | | | Every 30 days until Referral=COMPLETE (or manually close) | 1. Manual Close |

Follow-Up Schedule:

The first follow-up will be based on the staffing date. All other follow-ups will be based on the previous follow-up date. For example, the first follow-up will be one month from the staffing date, the 90 day follow-up will be two months from the 30 day follow-up, the 180 day follow-up will be three months from the 90 day follow-up, and the Annual follow-up will be six months from the 180-day follow-up. Unscheduled follow-ups may be scheduled at any time for an open case and will not interfere with the regular follow-up schedule. If the case is reassessed and staffed, the follow-up schedule will start over and will be based on the staffing date.

CARES REPORT SPECIFICATIONS

ASSESSMENTS:

1. **Summary of Cases by Worker, County and Assessment Site:** Date range is based on the assessment date. This report counts all assessments and re-assessments completed during the date range indicated. It includes all payment types.
2. **Summary of Cases by Assessor and Program Recommendation:** This report summarizes and lists cases assessed between the dates entered. The output is grouped by the caseworker on the assessment and the program recommendation from the staffing.
3. **Number of Assessments by Caseworker, Site and Instrument Report:** This report summarizes and lists cases assessed between the dates entered. The output is grouped by the caseworker on the assessment and provides a total by assessor and instrument.
4. **Assessment Delay Report:** Date range is based on the assessment date. This report counts all assessments and re-assessments completed during the date range indicated. It includes all payment types.
5. **Incomplete Assessments Report:** Lists all assessments that have been “partially” saved and remain incomplete. The output format can be by Client ID or SSN.
6. **Assessment Inconsistency Report:** This report summarizes and lists inconsistencies in assessments done between the start date and end date. **This report looks at assessment dates before July 16, 2013 only.**

CRR:

1. **CRR Barrier Report on Cases with Community Potential:** Date range is based on the CRR date.
2. **CRR Summary Report:** Date range is based on the CRR date.
3. **CRR Summary by Reviewers and Nursing Facilities:** Date range is based on the CRR date.
4. **Final Report of CRRs:** Date range is based on the CRR date.
5. **Preliminary Report of CRRs by Client Name and Nursing Facility:** Date range is based on the CRR date.

MANAGEMENT:

1. **Client List for Diversions Report on Clients Assessed by CARES:** Date range is based on the staffing date. This is a list of clients assessed by CARES. This report only includes payment types of Medicaid or Medicaid Pending.
2. **Client List for Diversions Report on Clients Not Assessed by CARES:** Date range is based on the staffing date. This is a list of clients not assessed by CARES. This report only includes payment types of Medicaid or Medicaid Pending.
3. **Client List for Diversion Report on Hospital-Based Clients Assessed by CARES:** This is a list of clients assessed by CARES that had a Special Project Case code of U=Upstreaming at case assignment. The date range is based on the staffing date.
4. **Client List for Temporary NH Diversions Report on Clients Assessed by CARES:** This is a list of clients assessed by CARES that had a placement recommendation of NHTP=Temporary Nursing Home. The date range is based on the staffing date.
5. **Count of All PAC Cases by Case Closed Reason:** Date range is based on the case closed date.
6. **Diversion Barrier Report:** Date range is based on the nursing home admit date.
7. **Diversion (Alternative Placements) on Clients Assessed by CARES:** Date range is based on the staffing date. This report only includes payment types of Medicaid or Medicaid Pending.

8. **Diversion (Alternative Placements) on Clients Not Assessed by CARES:** Date range is based on the staffing date. This report only includes payment types of Medicaid or Medicaid Pending.
9. **Diversion Report on Hospital-Based (Upstreaming) Clients Assessed by CARES:** Date range is based on the staffing date.
10. **Diversion Report based on Care Level, PR and Living Arrangement at 30 Days Staffing:** Date range is based on the staffing date. Clients on this report have a living arrangement of community at staffing and 30-day follow-up, meet level of care, have a community placement recommendation, and have a payment type of Medicaid or Medicaid Pending.
11. **Hospital-Based (Upstreaming) Encounter Report:** Date range is based on the information request date.
12. **Hospital-Based (Upstreaming Log):** Date range based on initial date or date reassessment requested.
13. **Imminent Risk Referral Disposition Report:** Date range is based on the referral date.
14. **Information Only Case Summary Report:** Date range is based on information request date.
15. **Non-Imminent Risk Referral Disposition Report:** Date range is based on the referral date.
16. **Number of Cases by Referral Source:** Date range is based on the initial date. This report provides a summary for the PSA as well as a total for each caseworker.
17. **Nursing Home Diversion EMS Summary Report:** This report is based on the EMS release date. It lists the number of EMS released clients that have left the pipeline or have been referred to a provider.
18. **Nursing Home Transition Log:** Date range is based on the staffing date. This report captures information for those clients that have a placement recommendation of NHTR=Nursing Home Transition.
19. **Pending Assessment/Staffing Report:** This report lists all cases pending an assessment and/or staffing. The output format can be by caseworker, SSN, or Client ID.
20. **Project Aids Care Summary Report:** Date range based on waiver accepted date. This report will show the PAC Termination Reason, Termination Date, and the number of days in the PAC Waiver.
21. **Summary of CARES Assignments:** This report lists all assignments that are due for a caseworker. For example, assessments, staffings, follow-ups.
22. **Temporary Nursing Home Diversion on Clients Assessed by CARES:** Date range is based on follow-up date. This report includes all clients that had a placement recommendation of NHTP=Temporary Nursing Home and at any follow-up have a community placement recommendation and living arrangement.
23. **Time Lag Report by Caseworker:** Date range is based on the staffing date.
24. **Unduplicated Count of All PAC Clients:** Date range is based on the staffing date. This report provides a summary of all PAC clients by county and payment type.
25. **3008 Report:** Date range is based on the Initial Date or Date Reassessment Requested (whichever is greater). This report captures information regarding the receipt of the 3008.
26. **Summary of Work Completed by Caseworker and Payment Type:** Date range is based on initial date. This report provides a summary by county and payment type of all referrals, assessments, staffings, follow ups completed, and information requests for an individual caseworker or all caseworkers.
27. **Freedom of Choice Report:** Date range is based on date Freedom of Choice given to client. This report captures information regarding the receipt of the Freedom of Choice form.
28. **Open Cases whose clients have moved Report:** This report lists all clients that have an open CARES case but have moved to a county outside of the CARES PSA. The output format can be by SSN or Client ID.

29. **Number of Assessments Completed VS. Number of Assessments Entered in CIRTS By Caseworker Report:** Date range is based on date assessment is entered in CIRTS. This report shows which caseworkers are entering their own assessments (medical case file reviews and on-sites).
30. **Possible Duplicate Clients with Open Cases Report:** This report looks at all open cases. This report lists clients with more than one SSN whose names and dates of birth are the same and have open cases. Confirm that the clients are the same person before moving the client data from the incorrect SSN to the correct SSN. Once this is done, delete the incorrect SSN.
31. **Data Inconsistencies Found When Comparing Vital Statistics Death Certificates with CIRTS-Open Cases Report:** This report is to be used to correctly identify CARES' clients with an open case who are deceased, so the case can be closed due to death or a date of death entered at Demographic for cases already closed. The shaded records indicate clients who have different dates of birth and/or different names. There may be SSN mistakes. Compare Vital Statistics name and DOB with CIRTS name and DOB.
32. **Nursing Home Diversion Enrollment Management System Report:** Date range is based on the release date. This report gives the status of clients who have been released. The last page gives a summary of client activity. This report can be run by caseworker. It can also be opened in EXCEL.
33. **New Admission Review Report:** This report counts and lists clients who have Special Project Case=New Admission Review on case opened during the date range or on assessments done during the date range.
34. **Cases by Zipcode:** This report lists open cases and closed cases with initial date or date reassessment requested between the start and end dates. It lists a summary by zip code and a client list by zip code. The client's current home zip code is used.
35. **List of Open Cases by Case Manager Report:** This report lists client id, zip code and initial date for open cases by case manager.
36. **Time Parameters Report:** Date range is based on the initial date or date reassessment requested.

PAS:

1. **PAS Name List:** Date range is based on the Level I Evaluation Screening Date.
2. **PAS Report:** Date range is based on the Level I Evaluation Screening Date.
3. **Incomplete or Pending PAS:** Date range is based on the Level I Evaluation Screening Date.

STAFFING:

1. **Staffing Log:** Date range is based on the staffing date. This report lists all cases staffed during the date range.
2. **Unduplicated Count of Clients by Level of Care:** Date range is based on the staffing date.
3. **Level of Care Approvals:** This report includes a summary and detail list of level of care approvers for cases staffed between the start date and end date.
4. **Authorized LOCs sent to Enrollment Broker for SMMC LTC Report:** This report is sent to the enrollment broker nightly by the system and provides CARES level of care information (staffing date, program recommendation, and level of care). The levels of care include INO, INT and SKD. The program recommendations include ADAW, ALFW, CDCW, CHAN, ELDC, HEMO, LTCP, NONE, OMDW, OTHR, LTCC, LTCN, and PACE. The staffing date will be in the last year.

HEADQUARTER REPORTS:

1. **Diversion Barrier Report:** This report is available to CARES Central Office only.
2. **Continued Residency Review Transition Barriers:** This report is available to CARES Central Office only.
3. **Summary of Cases by Assessment Site:** This report is available to CARES Central Office only.
4. **PAS Summary:** This report is available to CARES Central Office only.
5. **PAS Statewide Report:** This report is available to CARES Central Office only.

MISCELLANEOUS:

1. **Aging Network Provider Information Report:** This report allows the user to view or print a list of providers for the AAA/ADRC within their PSA.
2. **Code Descriptions:** This report allows the user to view or print a list of codes for a certain field in CIRTS. You can select the category from the drop-down box on the screen.

SERVICE LEVEL AGREEMENT
BETWEEN THE FLORIDA DEPARTMENT OF ELDER AFFAIRS AND
THE DEPARTMENT OF MANAGEMENT SERVICES
DIVISION OF STATE TECHNOLOGY

This Service Level Agreement (Agreement) is entered into between **THE FLORIDA DEPARTMENT OF ELDER AFFAIRS** (“Customer Entity”) and the **DEPARTMENT OF MANAGEMENT SERVICES, DIVISION OF STATE TECHNOLOGY** (“Service Provider”), collectively the “Parties”, to authorize the Service Provider to provide the services described herein. **This Agreement aligns with the Service Provider’s Service Catalog, contained in Attachment A, which houses the Service Provider’s service definitions, roles and responsibilities, and performance expectations.**

I. GENERAL

- A. TERM.** The term of this Agreement is **three (3) years, zero (0) months**, starting on **July 1, 2020**, or the last date signed by the Parties, whichever is later. No term may exceed three years.
- B. RENEWALS.** This Agreement may be renewed as agreed to in writing by the Parties, but a renewal may not exceed three years.
- C. DEFINITIONS.** Definitions that are applicable to this Agreement are contained in Attachment F - Service Level Agreement Definitions.
- D. AUTHORITY.** The authority of the Parties to enter into this Agreement is found in section 282.201(1)(d), Florida Statutes (F.S.).
- E. CHANGES TO SERVICES, INCLUDING TERMINATION.** Adding or deleting services will be accomplished through the Customer Portal and will be reflected annually through an updated Attachment D - Subscribed Services, which will become part of this Agreement. Services may be terminated without cause by either party, in part or whole, after providing at least 180 calendar days’ written notice to the other party of its intent to terminate services, per section 282.201(3)(b), F.S. This Agreement may be terminated for cause by either party only after giving the other Party written notice identifying the cause for termination and an opportunity for the other Party to resolve the identified cause within a reasonable period per section 282.201(1)(d)(9), F.S. The Service Provider may cease service if the Customer Entity fails to execute an agreement for such services within 60 calendar days after commencement of a service per section 282.201(1)(d), F.S.
- F. AMENDMENTS.** Amendments to this Agreement, agreed to in writing and executed by the Parties, shall take precedence over any conflicting provision in this Agreement without invalidating the remaining provisions of this Agreement.
- G. CONFLICT MANAGEMENT.** Any provision of this Agreement determined to be in violation of the laws of the State of Florida, or any provision of federal law, shall be ineffective to the extent of such violation, without invalidating the remaining provisions of this Agreement. Any provision of this Agreement in violation of rules adopted by the Service Provider pursuant to section 282.0051(19), F.S., shall be ineffective to the extent of such violation, without invalidating the remaining provisions of this Agreement.
- H. RIGHT TO AUDIT.** During the term of this Agreement, the Service Provider agrees to provide access to records and to cooperate fully with the Customer Entity’s Office of Inspector General, the Auditor General, and the Office of Program Policy Analysis and Government Accountability with respect to any audits, investigations, and management reviews relating to programs or operations of the Customer Entity, as well as any similar audits based upon federal funding. The Service Provider costs related to audit activities shall be charged directly to the Customer Entity. All audits must be processed through the Service Provider’s Inspector General’s office.

II. BILLING

- A. BILLING AND INVOICING.** The Service Provider will follow the methodology described in Rule 60GG-3.007, F.A.C., which is hereby incorporated by reference, and the requirements of Title 2-Part 200, Code of Federal Regulations (“Uniform Guidance,” formerly known as Federal OMB Circular No. A-87 or A-21), when billing the Customer Entity for State Data Center (SDC) services and recovering costs for such services. Annually, the Service Provider will provide the Customer Entity with the projected cost of each service provided, as well as cost of each service by agency application pursuant to this Agreement.
- B. BUDGETARY OBLIGATIONS.** The Customer Entity must have legal authority to incur costs and enter into this Agreement. If the Customer Entity is a state agency, its obligation to pay under this Agreement is contingent upon an annual appropriation by the Legislature; however, this acknowledgement shall not be construed to eliminate the Customer Entity’s annual reconciliation obligations to the Service Provider pursuant to Rule 60GG-3.007, F.A.C.
- C. DISPUTE RESOLUTION - BILLING.** The Customer Entity may dispute payment of an invoice line item using the Service Provider’s Billing and Dispute Process available on

the self-service Customer Portal (<https://dst-servicedesk.myflorida.com/CherwellPortal/DST>). If the dispute is found to be valid, the Service Provider will correct the accuracy of the data and adjust for true-up purposes. Payment for non-disputed items will be made in accordance with Section II.A.

- D. SOVEREIGN IMMUNITY.** The Service Provider, as a public entity of the State of Florida, is entitled to the benefits of sovereign immunity, including immunities from taxation. Unless the Customer Entity is a public entity of the State of Florida, entitled to the benefits of sovereign immunity, including immunities from taxation, the Customer Entity will be liable for any applicable taxes or tariffs associated with this Agreement. The Customer Entity hereby agrees to provide a certificate of tax exemption upon request.

III. CUSTOMER SERVICE

- A. SERVICE DESK.** The Service Provider maintains a Service Desk which serves to convey service-related information to the Customer Entities. Service requests, including general service inquiries, incident reports, billing inquiries, change requests, and terminations, should be placed through the Service Provider's Service Desk. The Service Provider's Service Desk delivers customer support 24 hours per day, 7 days per week, including holidays. The contact information to reach the Service Provider's Service Desk is:

- Phone: (850) 487-1746
- Toll Free: (877) 299-7772
- E-mail: DST.ServiceDesk@dms.myflorida.com

- B. CUSTOMER PORTAL.** During the term of this Agreement, including the terms of any renewals or extensions, the Service Provider shall maintain a Customer Portal. (<https://dst-servicedesk.myflorida.com/CherwellPortal/DST>).

The Customer Portal shall have the following functionality: access to the Customer Entity's Configuration Management Data Base (CMDB), access to availability and performance reports, information for submitting service requests, incident reporting, capacity planning, and Customer-maintained distribution lists to enable the Service Provider to maintain appropriate contact with Customer Entity representatives for reporting service outages and other critical customer account information.

- C. INCIDENT MANAGEMENT AND SERVICE REQUESTS.** The Customer Entity may report incidents by phone or via e-mail (using the contact information provided in Section III.A.), or by using the Customer Portal. However, if the Customer Entity is experiencing an urgent or entity-wide service outage, the Customer Entity should report the incident to the Service Provider's Service Desk by phone. The Service Provider will manage and assign a priority level to reported incidents as specified in Attachment E - Information Technology Service Management. Service requests should be received through the Service Provider's Service Desk. Service requests may initiate a change request as part of fulfilling the service request.

- D. SERVICE OUTAGE DOCUMENT (SOD).** After a Priority 1 Incident, a SOD will be created to document the incident and its resolution. The Customer Entity may request the Service Provider create a SOD for Priority 2 Incidents within 14 calendar days after the incident has been resolved. To request a SOD for a Priority 2 Incident, the Customer Entity should e-mail a service request to the Service Provider's Service Desk at DST.ServiceDesk@dms.myflorida.com. The estimated time for completion of the SOD is 14 calendar days after the incident has been resolved and when the investigation is complete. The Service Provider does not create SOD documents for Priority 3 and 4 incidents; however, information will be available within the Service Desk documentation ("ticket").

- E. EQUIPMENT AND DATA OWNERSHIP.** Pursuant to section 282.201(1)(e), F.S., the Service Provider is the custodian of the resources and equipment at the SDC, but not the owner of the Customer Entity's data. As a result, any disclosure obligations, including fulfilling requirements of all applicable state or federal law public record responsibilities regarding such data, remain with the Customer Entity. The review of application data and/or individual record level information by the Service Provider, unless specifically requested by the Customer Entity, will be considered an unauthorized access. The Service Provider will ensure that appropriate support and license agreements are maintained on equipment and software owned by the Service Provider. The Service Provider will maintain an accurate inventory of these assets. The Service Provider will restrict access to equipment and data to those authorized persons who require access as an essential part of their required work activities. The Customer Entity is responsible for application software not provided within the Service Provider's services, including compliance with all applicable licensing agreements, terms, and conditions. If the Service Provider, as part of its service to the Customer Entity, is required to purchase equipment, licenses and/or services beyond what is available within the defined service, the Customer Entity agrees to be financially liable and responsible for the total amount due for the equipment, licenses and/or services, even if the service is terminated by the Customer Entity. All equipment, software, or other resources purchased by the Service Provider in execution of services via this Agreement will remain the property of the Service Provider upon the termination of this Agreement.

- F. CUSTOMER MAINTENANCE OF SYSTEM METADATA.** In order to effectively manage incident response and meet compliance, security, and statutory requirements, the Service Provider requires the Customer Entity to complete and maintain certain system/application metadata within the Service Provider's CMDB through the Customer Portal. The metadata attributes include, but are not limited to, system/application name, purpose, application-specific usage of subscribed services, business function and criticality, security and compliance requirements, data classification, primary user(s), and other contextual

information. Specific CMDB fields required to be accurately maintained will be clearly indicated for editing in the Customer Portal and must be reviewed and updated at least bi-annually. If the agency metadata is not current or is absent, the Service Provider will not record the service interruption within the Service Provider's metrics to the extent the metadata was required to appropriately respond to the incident.

- G. DELEGATION OF ADMINISTRATIVE ACCESS RIGHTS.** Per section 282.201(1)(f), F.S., the Service Provider shall assume administrative access rights to resources and equipment, including servers, network components, and other devices that are consolidated into the SDC. The SDC will provide the Customer Entity with access to applications, tools, servers, network components, and other devices necessary to perform business activities and functions, as defined and documented within the delegation system of record. Delegated access rights will be granted by the Service Provider to individuals with the appropriate skill, the existence of appropriate audit controls, strong authentication, appropriate security clearance, and approval by the Customer Entity's named authority to grant the delegation. In such cases where an incident occurs that is not attributable to the Service Provider within the audit logs and access has been delegated, the Service Provider will not record the service interruption within the Service Provider's metrics. Customer Entities required to comply with State Criminal Justice Information Systems and Federal Criminal Justice Information Services (CJIS) policy shall retain all administrative access rights to specific systems that process, store, and/or transmit Criminal Justice Information (CJI), as defined in section 943.045(12), F.S., pursuant to section 282.201(1)(f)(1), F.S.
- H. PHYSICAL SECURITY.** The Service Provider will provide physical access and security for the SDC in compliance with Rule 60GG-3.002, F.A.C.
- I. IT SECURITY MANAGEMENT.** The Service Provider and the Customer Entity acknowledge their duty to maintain security of data and information technology resources pursuant to the *Florida Cybersecurity Standards*, Rule Chapter 60GG-2, F.A.C., and applicable state and federal laws. Customer Entities that are not state agencies will have IT security management roles, encompassing security incidents and compromised security notifications, documented within Attachment B - Customer-Specific Requirements/Direct Services.
- J. BUSINESS CONTINUITY PLANNING.** The Service Provider is required to develop and implement its own business continuity plan, which is separate and distinct from the business continuity plans of the Customer Entity. If the Service Provider's Continuity of Operations Plan (COOP) is invoked and requires a change in existing business

processes that impacts the Customer Entity, the Service Provider will notify the Customer Entity in a timely manner.

- K. DISASTER RECOVERY.** The Service Provider is required to develop and implement its own Disaster Recovery plan, pursuant to section 282.201(1)(c), F.S., which is separate and distinct from disaster recovery plans of the Customer Entity.
- L. INSURANCE.** The Service Provider maintains insurance coverage through the Florida Department of Financial Services' Division of Risk Management only for equipment and facilities owned by the Service Provider. The Customer Entity is responsible for insurance coverage for all hardware owned by the Customer Entity and co-located at the Service Provider's facility.
- M. SERVICE PLANNING AND REVIEW.** The Customer Entity and the Service Provider will conduct joint planning and review sessions at planned intervals, which will be facilitated by the Service Provider's Business Relationship Team. During these meetings, the Parties will discuss performance of services, convey strategic initiatives, requirements that may impact SDC services, conduct capacity planning, identify potential service improvement plans, and verify point-of-contact information (maintained on the Customer Portal) is current.
- N. DISPUTE RESOLUTION - PERFORMANCE.** In the event either party has a dispute concerning performance of the terms of this Agreement, the disputing party will document such concerns in writing and provide notice of them to the other party's Agreement Coordinator named in Attachment B - Customer-Specific Requirements/Direct Services. Thereafter, unless exigent circumstances warrant immediate attention to the matter, within one (1) week of the above-mentioned notice being provided, the Agreement Coordinators will in good faith attempt to resolve the dispute by negotiation. If both Parties cannot reach a resolution to the dispute, the dispute will be escalated to the Division of Administrative Hearings. Prior to escalation, mediation, pursuant to section 120.573, F.S., as appropriate and authorized by law may be utilized by the Parties to resolve the disputed issue.

IV. SERVICES TO BE DELIVERED

- A. SERVICES.** The services provided by the Service Provider are outlined in Attachment A - Service Catalog. The Service Catalog contains the description and service standards that must be met for each service, and the metrics and processes by which the service standards for each service are to be objectively measured and reported. Direct Services requested by the Customer Entity that are not within the Service Catalog are identified in Attachment B - Customer Specific Requirements/Direct Services.

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The following attachments are hereby incorporated into this Agreement:

- Attachment A – Service Catalog
- Attachment B – Customer-Specific Requirements/Direct Services
- Attachment C – Customer Costs
- Attachment D – Subscribed Services
- Attachment E – Information Technology Service Management (ITSM)
- Attachment F – Service Level Agreement Definitions

The Parties hereby agree that the Service Provider will provide State Data Center services as specified in this Agreement.

DEPARTMENT OF MANAGEMENT SERVICES

FLORIDA DEPARTMENT OF ELDER AFFAIRS

Name: Drew Richardson

Name: RICHARD PRUDOM

Signature: _____

Signature: R Prudom

Title: Deputy State Chief Information Officer

Title: SECRETARY

Date: _____

Date: 6/29/20

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Department of
**MANAGEMENT
SERVICES**



▶ We serve those who serve Florida

July 2020

FY 2020-2021 Service Catalog

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INTRODUCTION

The Florida Department of Management Services, Division of State Technology (“DST” or “Service Provider”) operates and maintains the State Data Center (SDC), the State’s Private Cloud. The SDC is an Uptime Institute certified Tier III facility, owned by the State of Florida (“State”). The Service Provider provides all Customers with the latest in security, redundancy, and connectivity. To ensure that the SDC operates in a manner consistent with best practices and effectively utilizes equipment and facilities, the Service Provider offers a standard set of services founded on Information Technology Infrastructure Library (ITIL), International Organization for Standardization and the International Electrotechnical Commission (ISO/IEC) 20000 and Project Management Institute (PMI) best practices, designed to add value and support to each Customer’s mission.

In addition to the detailed descriptions to the services listed below, Customers also receive the following benefits:

- Mature change management and service request processes
- ISO/IEC 20000 and ITIL-oriented processes
- Ability to integrate with Customers’ Information Technology Service Management (ITSM) ticketing tools for streamlined service management
- Dedicated Business Relationship Management team (BRM) for Customer advocacy
- Self-service customer portal for centralized service level agreement (SLA), service reporting, and requests
- License compliance assistance through Software Asset Management (SAM) tools
- 24/7/365 support for all services
- Access to Disaster Recovery offerings that protect all layers of the application at secondary sites
- Uptime Institute certified, Tier III-built data center facility
- Robust security protections, including Multi-State Information Sharing and Analysis Center (MS-ISAC) security monitoring and global distributed denial of service (DDoS) protection
- Privileged identity management with multi-factor authentication
- Event tracking and auditing through centralized remote host logging
- Capacity management, forecasting, and alerting through enterprise monitoring
- Highly qualified and certified staff, many with vast institutional knowledge of State and Customer systems

This Service Catalog, for Fiscal Year 2020-2021, defines each of the Service Provider’s service offerings and the associated service boundaries, and is Attachment A to Customers’ SLAs.

Allocated Shared Services

The Service Provider's services are divided into the following service areas:

- Backup and Recovery Services
- Cloud Services
- Database Services
- Data Center Facility and Operations Services
- Mainframe Services
- Managed Applications
- Network Services
- Open Systems Services
- Storage Services
- Windows Services
- Direct Service Offerings
- Cloud-Based Custom Support Offerings

Direct Services

Direct Services are services that benefit a single Customer only and cannot be considered a shared or allocated cost. Examples of Direct Services include services that are not included in the Service Catalog or activities outside the scope of the defined service. While it is expected that some Customers will have specific process, security, and legislative requirements, it is necessary to document all Customer specific requirements in the Customer's Attachment B, (Subscribed Services/Direct Services). Direct Services are contingent on resource availability and require advanced notice to be able to schedule adequate resources to handle the requested out-of-scope work.

Billing

As a full cost recovery organization, no mark-up or profit is added to the charges assessed for services, as is the case with private sector organizations. The Service Provider will follow the State Data Center Cost-Recovery Methodology described in Rule 60GG-3.007, Florida Administrative Code (F.A.C.), and the requirements of Title 2-Part 200, Code of Federal Regulations (CFR) ("Uniform Guidance," formerly known as Federal Office of Management and Budget (OMB) Circular No. A-87 or A-21). Customers are billed based on actual services consumed.

Customer entities are billed one twelfth of their annual appropriation monthly, including adjustments when appropriation changes are made during the year. Actual utilization is captured and reported to Customers on a monthly basis. Actual costs are reconciled during the True-Up process annually after the close of the fiscal year. Upon completion of the True-Up, all Customers will be notified of any adjustments required to balance what was billed to what is actually owed for each service. For Customers that receive an appropriation in the General Appropriations Act (GAA), this True-Up amount will be carried forward and applied to the following year's appropriation. Non-State Customers that do not receive an appropriation from the State will get a bill for one twelfth of their projected costs with True-Up adjustments applied to future projections.

Security Events

The Service Provider stands ready to assist with any security event investigation and remediation activity to protect the information assets of its Customers. Security events that are outside of the scope of the services offered by the Service Provider, or of a failure to adhere to Service Provider's standards, will be considered a Direct Service.

Standard Environment

The Service Provider has established enterprise architecture standards for hardware, software, and supporting infrastructure hosted at the SDC. These standards include, but are not limited to, requirements for operating systems, storage, security, facilities, cabling, and other elements relating to efficient and effective data center operations. Standards are available for review upon request. All Service Level Targets regarding availability, continuity, security, and capacity are contingent upon systems complying with the established architectural standards.

Deprecated and/or End-of-Service-Life (EOSL) hardware and software no longer receive security patches and lack the latest security improvements and features required to meet common compliance measures and security best practice. As major hardware and software providers drop support for legacy products, so do the satellite vendors providing software and services used to manage, monitor, and backup those products. Many product providers offer only 'best effort' support when installed on deprecated operating system versions; some product providers offer no support at all. For the latest support and compatibility matrix, please contact your

DST BRM. Costs related to maintaining deprecated and/or EOSL hardware or software that do not meet the standards will be considered a Direct Service.

Monitoring and Instrumentation

The Service Provider maintains various monitoring and instrumentation tools to support the delivery of services. In some cases, these tools are available to Customers as a “value add” and without service level expectations. As such, the Service Provider may modify, update, patch, and restart these monitoring platforms at any time and without notice. While these changes are processed through the Service Provider’s internal change process, these events may not be visible to your organization. Incidents submitted to the Service Provider instrumentation issues will be excluded from service level calculations and will be handled during business hours. Access requires an Active Directory trust for authentication and is limited to agency staff with the prerequisite skill to appropriately interpret the monitoring data.

Glossary of Terms

| Term | Definition |
|------------------------------------|---|
| Division of State Technology (DST) | A division of the state of Florida’s Department of Management Services, charged with ensuring Floridians’ information and access to government services are protected, increasing government efficiency by continuously improving information technology (IT) services, and protecting the State’s investment in large IT projects through project assurance. |
| Active Directory (AD) | A distributed authentication and directory service implemented by Microsoft for Windows domain networks. |
| Agreement | A formal document entered into by the Service Provider and the Customer that outlines the terms and conditions, description of services offered, and responsibilities of both parties. |
| Allocated Shared Service | Service Provider services shared by participating Customers. |
| Backup | Copying data to protect against loss of integrity or availability of the original data. |
| Bandwidth | In networking, bandwidth is a measurement of bit-rate of available or consumed data communication resources expressed in bits per second or multiples of domain networks. |

| Term | Definition |
|--|---|
| Block-based Storage | A traditional storage architecture where data is managed as blocks within sectors and tracks and abstracted by a file system or database management system for use by applications and end users. Block-based are typically seen where higher input/output (I/O) requirements are required. |
| Business Day, Business Hours | Monday through Friday, excluding applicable holidays, from 7am ET to 6pm ET. Note: The Service Provider's Hours of Operations are 24 hours per day, 7 days per week, 365 days per year, including holidays. |
| Change | The addition, modification, or removal of anything that could have an effect on IT services. |
| Change Management | The process responsible for controlling the lifecycle of all changes, enabling beneficial changes to be made with minimum disruption to IT services. |
| Cloud Computing | Same meaning as provided in Special Publication 800-145 issued by the National Institute of Standards and Technology. Cloud computing is a model for enabling ubiquitous, convenient, on-demand network access to a shared pool of configurable computing resources (e.g., networks, servers, storage, applications, and services) that can be rapidly provisioned and released with minimal management effort or service provider interaction. |
| Configuration Items (CI) | Any element that needs to be managed and controlled in order to ensure the successful delivery of a service or services. CIs can vary quite a bit. Examples include software elements such as applications, systems, and modules; and hardware elements such as computers, tools, equipment, furniture, and buildings. CIs can also include documents such as drawings, photographs, plans, policies, procedures, manuals, contracts, licenses, and agreements. |
| Configuration Management Database (CMDB) | A configuration management database stores data about the attributes of configuration items and the relationships between these items. It is used to control items and to track how they change throughout their lifecycle. |
| Customer Entity | The entity that receives services from the Service Provider; the entity that agrees to the terms of this Agreement, per 282.201(1)(a)(d), Florida Statutes (2019) |

| Term | Definition |
|---|--|
| Customer Information Control Systems (CICS) | A family of application servers and connectors that provides industrial-strength, online transaction management and connectivity for mission-critical applications. |
| Customer Resource Forest | The hierarchical Active Directory structure managed by the Service Provider designed to host managed servers and to segregate network traffic based on security zones. |
| Database | An organized collection of data. |
| DB2 | A family of database server products that support the relational model or object-relational features and non-relational structures in a particular encoding document. |
| Direct Service | Service Provider services that benefit a single Customer only and cannot be considered a shared or allocated cost. Examples include services that are not included in the Service Catalog or activities outside the scope of the defined service. |
| Disaster | A natural, man-made, or technological hazard resulting in an event of substantial extent causing significant physical damage or destruction or drastic change to the environment. |
| End of Service Life (EOSL) | All support, including both primary and extended, will no longer be offered by the Original Equipment Manufacturer. |
| Exceptions | Exceptions to the standard service (i.e., no backup, administrative access granted, etc.); can be part of the service request to build the server/service and requires approval from the Service Provider before being granted. |
| FICON I/O Channel | A fibre-channel communication protocol designed for IBM mainframe computers and peripherals. |
| Information Management System (IMS) | IMS, database and transaction management system. |
| Incident | An unplanned interruption to an IT service or reduction in the quality of an IT service. |
| Issue | An important topic or problem for debate or discussion. |
| Load Balancing | A computer networking method for distributing workloads across multiple computing resources, such as computers, a computer cluster, network links, central processing units or disk drives. Load balancing aims to optimize resource use, maximize throughput, minimize response time, and avoid overload of any one of the resources. |

| Term | Definition |
|------------------------|---|
| Maintenance Windows | Allotted time in which the Service Provider and the Customer agree that maintenance can be performed on a Customer's managed systems that are housed within the SDC. |
| Malware Protection | Security protection which includes any type of software program designed to prevent, detect, and remove malicious software ("malware") on IT systems, as well as individual computing devices. |
| Object-based Storage | Storage architecture that manages data as objects, as opposed to other storage architectures like file systems which manage data as a file hierarchy and block storage which manages data as blocks within sectors and tracks. Each object typically includes the data itself, a variable amount of metadata, and a globally unique identifier. Targeted at lower I/O unstructured data - and typically less expensive than block-based storage – the Service Provider's implementation of object-based storage offers greater namespace scalability, period snapshot that eliminate the need for the Data Protection service, client-side self-service file restoration through the native Windows Previous Versions client, and multi-protocol access for development activities, among other benefits. |
| Operating System (OS) | A collection of software that manages computer hardware resources and provides common services for computer programs. |
| Oracle Database | An object-relational database management system produced and marketed by Oracle Corporation . |
| OS Platform Management | Management of the operating system and all associated DST systems that support the security, management, and infrastructure for the operating system to comply with the desired configuration standards. |
| Parties | The Service Provider entity and the Customer entity authorized to agree to, act upon and abide by the terms of this Agreement. |
| Patch | A piece of software designed to update a computer program or its supporting data, to fix or improve it. This includes fixing security vulnerabilities and other defects and improving the usability or performance. |
| Platform | A group of technologies that are used as a base upon which other applications, processes or technologies are developed. |

| Term | Definition |
|---|--|
| Responsible, Accountable, Consulted, and Informed (RACI) Matrix | A responsibility assignment matrix (RAM), also known as RACI matrix or linear responsibility chart, describes the participation by various roles in completing tasks or deliverables for a business process. |
| Redundant Array of Independent Disks (RAID) | A data storage technology that combines multiple disk drive components into a logical unit for the purposes of data redundancy and performance improvement. |
| Recovery | Returning a configuration item or an IT service to a working state. Recovery of an IT service often includes recovering data to a known consistent state. After recovery, further steps may be needed before the IT service can be made available to the users (restoration). |
| Recovery Point Objective (RPO) | Describes the acceptable amount of data loss measured in time. The RPO is the point in time to which data must be recovered as defined by the Customer. This is generally a definition of what a Customer determines is an "acceptable loss" in a disaster situation. |
| Recovery Time Objective (RTO) | The duration of time and a service level within which a business process must be restored after a disaster (or disruption) in order to avoid unacceptable consequences associated with a break in business continuity. It includes the time for trying to fix the problem without a recovery, the recovery itself, tests and the communication to the users. |
| Scheduled Availability | The number of minutes in a month minus planned downtime. |
| Service | A means of delivering value for the Customer by facilitating results the Customer wants to achieve. The term 'service' is sometimes used as a synonym for core service, IT service or service package. |
| Service Desk | The first point of contact between the Service Provider and the Customer. The Service Provider's Service Desk receives Customer incidents, service requests, billing inquiries, general inquiries and changes. |
| Service Request | A formal request from the Customer for something to be provided - for example, a request for information. Service requests may initiate a change request as part of fulfilling the service request. |
| Snapshot (storage) | The state of a computer system at a particular point in time. It can refer to an actual copy of the state of a system or to a capability provided by certain systems. |
| Storage Area Network (SAN) | A dedicated network that provides access to consolidated, block level storage. |

| Term | Definition |
|---------------------------------|---|
| Structured Query Language (SQL) | A special-purpose programming language designed for managing data held in a relational database management system. |
| Time Sharing Option (TSO) | Allows creating an interactive session with IBM z operating systems. |
| Virtualization | The creation of a virtual (rather than actual) version of something, such as an operating system, a server, storage device, or network resources. |

BACKUP AND RECOVERY SERVICES

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|--------------------------------|-------------------------|---------------------|--|--|--|
| Data Protection Service | Gigabytes Written/Month | % of Service Use | 95% of scheduled backup jobs being serviced by the Service Provider's standard backup environment will be successful in a monthly period | 1 business day (following approval of service order and independent of other services) | <p>Provides backup of protected Customer data for the purpose of system and data recovery (not records retention), and data protection reporting for Customer visibility. The Service Provider will plan, schedule, and implement standard backup and recovery processes. The retention period for backup data is 6 weeks for scheduled backups. All backups are retained off-site in a secured facility, using either encrypted tape transport services or encrypted data replication. Restoration for system recovery within the 6-week retention timeframe is included in this service.</p> <p>Customers may request additional retention beyond 6 weeks by subscribing to the Data Archival Service.</p> |
| Data Archival Service | Gigabytes Stored/Month | % of Service Use | 95% of scheduled archive jobs of supported operating systems will be successful in a monthly period | 1 business day (following approval of service order and independent of other services) | <p>Provides long-term retention of Customer data beyond the native six weeks included in the Data Protection Service (or the native object-based snapshot retention period) to meet various compliance or business requirements. Retention increments are in periods of 6 months and must be specified on a per-CI basis. Archives may take the</p> |

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|--------------|---------------|---------------------|-----------------|-------------------------|--|
| | | | | | form of storage to tape, on-premises disk, or cloud-based storage services. Restorations will be considered a Direct Service. |

Service Level Commitment

The Service Provider is committed to meeting a 95% success rate for scheduled backup jobs being serviced by the Service Provider’s standard backup environment in a monthly period.

Note: Interdependencies on other services may affect a specific service’s performance metrics.

The Service Provider will distribute standard data protection reports demonstrating service target success. Reports shall be generated and distributed to Customer-provided contacts in the form of a target e-mail distribution list and distributed by one or multiple methods and formats including: e-mail, html, and raw .csv data. Custom data protection reports with Customer-Specific requirements are available upon request.

Data Protection Service

The Data Protection Service provides scheduled backups of customer data contained within the SDC and on supported managed or co-location (co-lo) operating systems within the designated backup window. The Service Provider’s Enterprise Data Protection System has been architected to separate backup communication from production communication whenever possible to ensure overall system performance, reliability, and efficiency. Data is retained online for 6 weeks and replicated to an off-site facility within 24 hours.

This off-site replication of protected data aligns with the disaster recovery capabilities that exist in the off-site facility. As a result, all customers that subscribe to the Data Protection Service, and are housed on the enterprise solution, inherit a basic level of recoverability during a disaster (an effective RPO of 24 hours and estimated RTO of 90 days).

The Data Protection Service is intended for the purpose of recovering data and systems due to human error, corruption, or localized system failure, but not records retention. As such, the Customer is responsible for any costs associated with data retention beyond what is included in this service.

Systems that cannot meet the backup window due to data volume size or network design limitations will be communicated with the Customer and options discussed to bring any deficits into compliance in order to protect systems within the standard window.

Customer-managed applications outside of the Service Provider's service offerings (such as Active Directory, SharePoint, Exchange, IIS and some databases), may require special backup handling for increased restore granularity or recoverability. Agencies installing these applications must declare their use so that appropriate backup plans and orchestration can be put in place. While the Service Provider stands ready to assist with the restoration of any data protected by the Data Protection Service, restoration SLAs for those specific applications will not be honored in cases where those pre-arrangements have not been made.

Under certain circumstances, the Service Provider may grant exceptions to exclude data from backups. Customers may submit exception requests by submitting a service request through the Service Provider's Service Desk or via the Customer's Portal.

Legacy backup systems will be maintained at best effort and will be migrated to the Service Provider's standard Data Protection Service System to ensure continuous improvements in data protection and ensure the highest level of service. Customers with legacy backup systems protecting remote data outside of the SDC are encouraged to replicate data to systems hosted at the SDC facility where backup SLAs apply.

Service includes an annual audit and review with the customer of all systems targeted for backup. The Service Provider will conduct random data restores to validate recoverability, in addition to the daily exercise the backup system receives per routine operations. All customers will receive daily reports showing backup summary and status, to ensure proper recoverability.

DST will retain backups for decommissioned servers up to the period of time specified by the backup service (Data Protection or Data Archival) subscribed to for each server.

Data Archival Service

The Data Archival Service provides long-term retention of Customer data beyond the native six weeks included in the Data Protection Service to meet compliance or business requirements identified by the Customer, and may take the form of storage to tape, on-premises disk, or cloud-based storage services. The Data Archival Service is founded upon the Data Protection Service solution and

leverages monthly point-in-time snapshots of protected data. This service must be specified on a per-CI basis with retention specified in six-month increments.

Restorations will be considered a Direct Service.

Requests for restores during the Direct Services window must include an after-hours point of contact name, email address and phone number to validate the completed work.

In addition to the standard information required to open a support incident, all restore requests must include the name of the folder(s) and/or file(s) to be restored, the file share or host (server) name, and the date to which the file should be restored. Time spent by the Service Provider's staff to identify, search or locate data without this detail will be considered a Direct Service.

DST will retain backups for decommissioned servers up to the period of time specified by the backup service (Data Protection or Data Archival) subscribed to for each server. Data Archival service can persist beyond the termination of a server.

It is expected that Customers will make DST aware of those scenarios where archive data associated with a server needs to be purged. In absence of that notification, data retained in the archive service after a server is decommissioned will remain in archive for the duration of the declared archival time period. Requests to forcibly expire data prior to the declared archival period will be considered a Direct Service.

Data Restoration

All data restores will be directed to an alternate, pre-determined restore destination for movement by Customer staff to the originating file location. Excessive restore requests (defined as greater than ten restore requests per 100 managed servers per month) will be considered a Direct Service.

Restore requests for data within the standard retention period will be serviced during normal business hours. Request for restores during the Direct Services Window will be considered a Direct Service. Request for restores during the Direct Services Window must include an after-hours point of contact name, email address and phone number to validate the completed work.

In addition to the standard information required to open a support incident, all restore requests must include the name of the folder(s) and/or file(s) to be restored, the file share or host (server) name, and the date to which the file should be restored. Time spent by the Service Provider's staff to identify, search or locate data without this detail will be considered a Direct Service.

Due to data size and associated bandwidth requirements, the Service Provider does not guarantee that backups will be scheduled on a particular day or that they will be completed within scheduled backup windows. For these same reasons, data restoration times cannot be guaranteed. The Service Provider is not responsible for backup or recovery failures caused by customer maintenance or limitations introduced by customer-owned infrastructure.

Note: Customer entities are cautioned that the Data Protection Service and the Data Archival Service should not be used as an alternative to, or a substitute for, proper records archiving pursuant to section 257.36, Florida Statutes. The backup of data by the Service Provider is intended to assist only in recovery from infrastructure failures or human errors. Because backups traditionally utilize a point-in-time technology, it is not possible to guarantee that records have not been altered or destroyed. Accordingly, the Service Provider cannot guarantee compliance with applicable records retention requirements of the Department of State’s Division of Library and Information Services. Public records may be disposed of only in accordance with the Division’s records retention schedules.

Direct Services

Examples of Backup activities that will be a Direct Service to the Customer include:

- Custom job configurations for recurring backups that deviate from the standard retention schedule and any additional maintenance, tracking, and intervention associated with the non-standard jobs.
- Customer requested backups or system snapshots for customer driven events such as major application changes, code deployments, or other upgrades.

Direct Services are contingent on resource availability. The Service Provider requires advance notice to be able to schedule adequate resources to handle the requested out-of-scope work.

Maintenance and Support Windows

Backup and Recovery Services support windows are outlined in the tables below.

| Maintenance and Support Windows | | |
|--|---------------------------|--|
| Standard Times | Time of Occurrence | Description of Maintenance Activities to be Performed |
| Normal Business | Monday - Friday | Backup technicians are scheduled during this time to fulfill service requests and troubleshoot incidents. Priority 3 and 4 |

| Maintenance and Support Windows | | |
|---------------------------------|--|--|
| Standard Times | Time of Occurrence | Description of Maintenance Activities to be Performed |
| Hours/ Window | 7:00 AM – 6:00 PM (ET) | issues will be worked within this window. Priority 1 and 2 issues are also worked during this window and are continuously worked until resolved. Changes may be executed during this time, following the Service Provider's change and release management processes. |
| Standard Maintenance Window | Monday - Friday 7:00 AM – 6:00 PM (ET) | Normal maintenance, changes, and system enhancements will be performed during this time. |
| Direct Services Window | Monday - Friday 6:00 PM - 7:00 AM (ET) Saturday, Sunday, and State Holidays: All day | Service or change requests initiated by the Customer during this window will be considered a Direct Service. |

Roles and Responsibilities

General roles and responsibilities for this service are defined in the following RACI responsibility matrix below.

1. **Responsible (R)** - Those who do the work to achieve the task. There is typically one role with a participation type of responsible, although others can be delegated to assist in the work required.
2. **Accountable (A)** - (also approver or final approving authority) - The one ultimately answerable for the correct and thorough completion of the deliverable or task, and the one from whom responsible is delegated the work. In other words, an accountable

must sign off (approve) on work that responsible provides. There **must** be only one accountable specified for each task or deliverable.

3. **Consulted (C)** - (sometimes counsel) - Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication. Consultation prior to event/decision typically done through Change Management.
4. **Informed (I)** - Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

| Backup and Recovery Services Functions | | Customer | | Service Provider | |
|--|--|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 1 | Inform customer of change requests. | C | I | R | A |
| 2 | Inform customer of incidents or issues. | C | I | R | A |
| 3 | Ensure all backup processes are accurately and timely completed. | C | I | R | A |
| 4 | Monitor services 24 hours a day, 7 days a week. | C | I | R | A |
| 5 | Provide offsite replication or media transport of protected data. | C | I | R | A |
| 6 | Purchase and maintain all data protection components and licenses necessary to maintain standard service. | | | CI | RA |
| 7 | Provide precise file location (host name, share name, and file name) for the restore requests. | R | A | I | |
| 8 | Provide customer contact information (name, phone, email address) for after-hours or high priority restore requests. | R | A | I | |

| Backup and Recovery Services Functions | | Customer | | Service Provider | |
|--|---|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 9 | Provide a named individual authorized to grant exception requests when the alternate restore location is not used during requested restores. | C | RA | I | |
| 10 | Conduct annual backup audits. | C | I | R | A |
| 11 | Provide offsite replication or media transport of protected data. | C | I | R | A |
| 12 | Ensure compliance with State retention schedules. This includes the recovery of such data for backup systems no longer maintained or integral to the Service Provider's standard environment. | | RA | | |
| 13 | Provide standard data protection reports demonstrating service target results. | C | I | R | A |
| 14 | Provide contact distribution list(s) for standard data protection reports. | R | A | I | |
| 15 | Provide custom data protection reports per Customer specific requirements. | C | I | R | A |
| 16 | Provide requirements for custom data protection reports. | R | A | I | C |
| 17 | Provide connectivity and administrative-level user access to protected servers as required to provide Data Protection Services. | R | A | C | I |

| Backup and Recovery Services Functions | | Customer | | Service Provider | |
|--|---|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 18 | Recognize, mitigate and potentially accept risks associated with maintaining deprecated/EOSL operating systems, software, and hardware. | R | A | C | I |

CLOUD SERVICES

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|---|---|--------------------------------|--|------------------------------|--|
| Enterprise Vault (EV) Cloud | User/Month | % of Service Used | Provided by vendor. | Contact agency assigned BRM. | Provides Customers access to Symantec's EV Cloud services at a reduced rate due to volume discounts. This provides for robust e-mail archiving, search, and discovery. |
| Azure (Microsoft Compute Cloud Offering) | Costs are billed directly to the customer based on usage. | Actual usage computed by Azure | Negotiated at contract within limits of vendor's service offering. | Contact agency assigned BRM. | This service includes Azure compute, storage, and application services as defined by Microsoft's service catalog. Charges associated with agency usage of 3 rd party cloud resources beyond the forecasted budget will be the responsibility of the agency. |

Service Level Commitment

The Service Provider is committed to meeting the performance metrics for Cloud-based Services. Reference the individual service definitions above for specific service availability.

Note: Interdependencies on other services may affect a specific service's performance metrics.

Cloud Service Offerings

Please see the Cloud-Based Custom Support Offerings section for additional details. DST also provides consulting, design, migration, deployment, and maintenance services across a variety of cloud platforms and providers, leveraging DST's qualified and certified subject matter experts. As part of DST's managed cloud offerings, DST provides architecture, design, and planning activities intended to augment security and compliance needs, support interoperability, and facilitate long-term enterprise solutions. As a certified reseller of AWS, Microsoft Cloud, Google Cloud, and the State Data Center's premier Tier III certified private cloud, DST

adds value by providing application rationalization and cloud-readiness assessment, multi-acquisition options, secure templates, discounted billing, access to billing optimization tools, and service portal support. As a full cost-recovery entity, budget allocations are set in advance by the Legislature. As such, some cloud-based consumption may be limited by available budget. However, DST does offer multiple cloud-based offerings that can be found in the Cloud-Based Custom Support Offerings section of this document.

Maintenance and Support Windows

Cloud-based Services support windows are outlined in the table below.

| Maintenance and Support Windows | | |
|---------------------------------|---|---|
| Windows | Time of Occurrence | Description of Activities to be Performed |
| Normal Business Hours/ Window | Monday through Friday 8:00 AM – 5:00 PM (ET) | Business office staff will be available during these hours to assist customer with contract-related issues. |

Roles and Responsibilities

General roles and responsibilities for this service are defined in the following RACI responsibility matrix below.

1. **Responsible (R)** - Those who do the work to achieve the task. There is typically one role with a participation type of responsible, although others can be delegated to assist in the work required.
2. **Accountable (A)** - (also approver or final approving authority) - The one ultimately answerable for the correct and thorough completion of the deliverable or task, and the one from whom responsible is delegated the work. In other words, an accountable must sign off (approve) on work that responsible provides. There **must** be only one accountable specified for each task or deliverable.
3. **Consulted (C)** - (sometimes counsel) - Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication. Consultation prior to event/decision typically done through change management.
4. **Informed (I)** - Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

| Cloud-based Services Functions | | Customer | | Service Provider | |
|--------------------------------|--|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 1 | Understand and identify appropriate license and utilization requirements. | R | A | C | I |
| 2 | Establish and maintain purchase requisitions for requested services in customer specified quantities. | C | I | | R/A |
| 3 | Monitor service utilization to ensure budget compliance. | R | A | C | I |
| 4 | Manage user access and service changes (including user adds/removes/deletes). | R | A | | |
| 5 | Monitor performance and escalate issues to third-party service providers' technical support. | R | A | | |
| 6 | Verify accuracy of third-party invoices on a timely basis and attest to services received, per section 215.422, Florida Statutes. | R | A | C | I |
| 7 | Appropriately configure and utilize services to protect state assets and comply with applicable state and federal security rules and best practices. | R | A | C | I |
| 8 | Ensure adherence to customer-specific compliance requirements and security rules. | R | A | C | I |

DATABASE SERVICES

| Service Name | Billable Unit | Billing Methodology | Service Targets (monthly) | Estimated Delivery Time | Service Description |
|-------------------------------|--|-------------------------|---|---|---|
| <p>Oracle Services</p> | <p>Oracle Resource Units (ORU)/Month</p> | <p>% of Service Use</p> | <p>Each Oracle standalone database will be available 99.5% of the scheduled availability in a monthly period of the Service Provider's database supporting infrastructure (network, servers).</p> <p>Each Oracle RAC cluster will be available 99.9% of the scheduled availability in a monthly period of the Service Provider's supporting infrastructure (network, servers).</p> <p>Actual scheduled availability (minutes) minus reported downtime (minutes)</p> | <p>Oracle Resource Units:</p> <p>Delivery time for Oracle Resource Unit changes is 1 business day. Delivery time is dependent on an available maintenance window for the server in addition to CPU/Memory /Storage resource and Oracle license availability (following approval of service order and independent of other services).</p> <p>New Oracle Instance:</p> <p>Delivery time for a new Oracle instance on an existing DST Managed Server is 5 business days (following approval of service order and independent of other services). This time does not include build time for an Open Systems Server.</p> | <p>Provides physical database management of Oracle-based databases and Oracle RAC clusters hosted at the SDC or at selected remote sites. Service includes installation, configuration, Oracle database and diagnostics license maintenance, 24x7 performance monitoring, 24x7 availability monitoring by Operations and quarterly Oracle security patch deployment for supported versions. Selected critical workload deployment is available to accelerated hyper-converged, purpose-built database appliances, hosted both on-premises and in the cloud.</p> |

| Service Name | Billable Unit | Billing Methodology | Service Targets (monthly) | Estimated Delivery Time | Service Description |
|-------------------------------|--------------------------------------|---------------------|---|--|--|
| | | | divided by scheduled availability (minutes). | | |
| Oracle Storage Service | Maximum Gigabytes Utilized per Month | % of Service Use | <p>Storage for each standalone Oracle database will be available 99.5% of the scheduled availability in a monthly period of the Service Provider's supporting infrastructure (network, servers, storage area network (SAN) arrays, Fiber Channel switches).</p> <p>Storage for Oracle RAC cluster instance will be available 99.9% of the scheduled availability in a monthly period of</p> | <p>For workload provisioned on converged infrastructure, delivery time for Oracle Storage is dynamic with the growth of the database, or concurrent with the build time associated with a newly provisioned database instance.</p> <p>Legacy database builds deployed on file systems require 2 business days (following approval of service order and independent of other services).</p> <p>Delivery time for legacy database builds will be dependent on an available maintenance window for the server in addition to CPU/Memory/Storage resource and Oracle license availability.</p> | <p>Provides management of the underlying automatic storage management (ASM) and filesystem-based storage environments servicing Oracle databases hosted at the SDC or at selected remote sites. Service includes 24x7 performance monitoring, 24x7 availability monitoring, and quarterly Oracle security patch deployment for supported versions.</p> |

| Service Name | Billable Unit | Billing Methodology | Service Targets (monthly) | Estimated Delivery Time | Service Description |
|--|---|-------------------------|--|--|---|
| | | | <p>the Service Provider's Cluster supporting infrastructure (network, servers, SAN arrays, fiber channel switches).</p> <p>Actual scheduled availability will be reported within the Database Performance Metric.</p> | | |
| <p>DB2 For LUW (UDB) Services</p> | <p>Processor Value Unit (PVU) per month</p> | <p>% of Service Use</p> | <p>Each DB2 For LUW database will be available 99.5% of the scheduled availability in a monthly period of the Service Provider's database supporting infrastructure (network, servers).</p> <p>Actual scheduled availability (minutes) minus reported downtime (minutes)</p> | <p>5 business days (following approval of service order and independent of other services).</p> <p>This time does not include the build time for an Open Systems server.</p> | <p>Provides physical database management of DB2 for Linux, UNIX, and Windows (LUW)-universal based databases (UDB) hosted at the SDC or at select remote sites. Service includes installation, configuration, DB2 for LUW (UDB) database and diagnostics license maintenance, 24x7 performance monitoring, 24x7 availability monitoring by Operations and scheduled DB2 for LUW (UDB) security patch deployment coordinated with Customers.</p> |

| Service Name | Billable Unit | Billing Methodology | Service Targets (monthly) | Estimated Delivery Time | Service Description |
|-----------------------------|-----------------|---------------------|--|--|---|
| | | | divided by scheduled availability (minutes). | | This service is provided for existing subscribers only. |
| SQL Managed Instance | Instances/Month | % of Service Use | <p>Each SQL instance will be available 99.5% of the scheduled availability in a monthly period of the Service Provider's database supporting infrastructure (network, servers).</p> <p>Availability for clustered instances will be 99.9%.</p> <p>Actual scheduled availability (minutes) minus reported downtime (minutes) divided by scheduled</p> | 5 business days (following approval of service order and independent of other services). | Provides physical database management of Customer SQL Server databases at DST-managed data centers, third party co-location hosting facilities, or with cloud providers. Service details may vary depending on location, provider and/or services requested. Service includes SQL Server installation, configuration, troubleshooting, SQL backup job management, 24x7 monitoring, and Service Pack deployment. |

| Service Name | Billable Unit | Billing Methodology | Service Targets (monthly) | Estimated Delivery Time | Service Description |
|--------------------------|---------------------------|---------------------|--|---|---|
| | | | availability (minutes). | | |
| SQL Capacity Unit | Capacity Units (CU)/Month | % of Service Use | This service was born out of a need for cost allocation and is not a measurable service. | 3 business days (following approval of service order and independent of other services). Adding or removing capacity units may require a server reboot. Delivery time for these changes will be dependent on an availability maintenance window for the server. | Provides processing capacity as required to support the associated SQL Managed Instance. SQL CUs are sold in quantities of processing power, specifically gigabytes of random access memory (RAM) and gigahertz (GHz) of central processing unit (CPU). The CU count for a SQL server is equal to the Windows CU for the hosting of Windows Managed Server. |

Service Level Commitment

Oracle Standalone database, DB2 for LUW (UDB), and SQL Services databases – Excluding scheduled maintenance time for each database or instance and all infrastructure services required to support each database or instance, the service will be available 99.5% of the scheduled time. This is scheduled availability. Service will comply with the Service Provider’s change and release management processes, which include client notification.

Oracle real application clusters (RAC) – Excluding scheduled maintenance time for the cluster instance and all infrastructure services required to support the cluster instance, the RAC cluster service will be available 99.9% of the scheduled time. This is scheduled availability. Service will comply with the Service Provider’s change and release management processes, which include client notification.

Note: Interdependencies on other services may affect a specific service’s performance metrics.

Oracle Service

The Oracle Services consist of Customer Oracle databases or clustered instances residing on servers located at the Service Provider's facility or at select remote sites, managed at the database (and instance for RAC clusters) level, and includes applying Oracle security patches received quarterly from Oracle for supported versions.

This service provides for the use of a fully managed dedicated Oracle database or clustered instance. Each Oracle database or clustered instance requires the Oracle Storage Service in support of the Oracle database or clustered instance. Service includes physical database management.

Physical database management and support includes:

1. Physical administration of database objects (e.g., creation of a database, creating and dropping table space, etc.).
2. Database software installation and implementation.
3. Database migration (upgrades) to supported database versions (coordinated with the Customers).
4. Application of database software patches and vulnerability scanning.
5. Maintenance of the database tuning parameters.
6. Database instance backup and recovery.
7. Management of the database administrative rights (coordinated with the Customers).
8. System level inter-database connectivity.
9. 24/7/365 on-call support for production environment.
10. 24/7/365 database monitoring.
11. Database license management.
12. RAC cluster instance and services administration.

Logical database management is available based on staff availability and will incur Direct Service charges.

Oracle Database Licensing

Appropriate Oracle licensing is required for this service. Licenses may be transferred from the Customer to the Service Provider or purchased by the Service Provider on the Customer's behalf. The Oracle Database Service includes maintenance costs for the Oracle Database, Diagnostic and Tuning Pack licenses, but no other Oracle database licenses. All Oracle database licenses and maintenance costs for licenses, other than those included in the service, will be considered Direct Services. In addition, the Oracle Database Service

does not include any costs for extended lifecycle maintenance. Customers requiring extended maintenance must contract for such through the Service Provider and will be assessed direct costs.

Oracle Storage Service

Oracle Storage Services consists of Oracle automatic storage management (ASM) instances and filesystem resources residing on servers located at the Service Provider's facility or at select remote sites, managed at the ASM instance or database level. This service includes applying Oracle security patches received quarterly from Oracle, for supported versions of ASM.

This service provides storage resources for dedicated Oracle databases and RAC cluster instances. Each Oracle database or RAC clustered instance requires the Oracle Storage Service in support of the Oracle database or RAC clustered instance.

Physical ASM/GI instance and filesystem management and support includes:

1. Physical administration of ASM instance and storage objects (e.g., creation of an ASM instance, creating and dropping table space, etc.).
2. ASM/GI software installation and implementation.
3. 24/7/365 on-call support for production environment.
4. 24/7/365 ASM instance and filesystem monitoring.
5. ASM license management.

Oracle Storage Licensing

Appropriate Oracle licensing is required for this service. Licenses may be transferred from the Customer to the Service Provider or purchased by the Service Provider on the Customer's behalf.

DB2 for LUW (UDB) Service

DB2 for LUW Services consists of Customer DB2 for LUW databases residing on servers located at the Service Provider's facility. Managed at the database level, this service includes applying DB2 for LUW security patches on vendor supported versions of the software. This service is provided for existing subscribers only.

This service provides for the use of a fully managed and dedicated DB2 for LUW database. Each DB2 for LUW database requires managed server, capacity unit, network connectivity, storage and backup services in support of the DB2 for LUW database. Service

includes physical database management; logical database management is available based on staff availability and will be considered a Direct Service.

Physical database management and support includes:

1. Physical administration of database objects (e.g. creation of a database, creating and dropping tablespace, etc.).
2. Database software installation and implementation.
3. Database migration (upgrades) to supported database versions (coordinated with the Customers).
4. Application of database software patches and vulnerability review scanning.
5. Maintenance of the database configuration parameters.
6. Database system performance tuning.
7. Database instance backup and recovery.
8. Management of the database administrative rights (coordinated with the Customers).
9. System level inter-database connectivity.
10. 24/7/365 on-call support for production environment.
11. 24/7/365 database monitoring.
12. Database license management.

DB2 for LUW Database Licensing

Appropriate DB2 for LUW licensing is required for this service. Licenses may be transferred from the Customer to the Service Provider or purchased by the Service Provider on the Customer's behalf. The DB2 for LUW Database Service includes the maintenance costs for the DB2 for LUW Database license. All new DB2 for LUW database licenses and maintenance cost for licenses, other than those included in the service, will be considered a Direct Service. In addition, the DB2 for LUW database service does not include any costs for extended lifecycle maintenance. Customers requiring extended maintenance must contract those services through the Service Provider and will be assessed direct costs.

SQL Managed Instance

The SQL Managed Instance provides physical layer management of Customer SQL Server database instances residing on servers located at the Service Provider's Tier III facility or at select remote sites (service details may vary depending on location, provider, and/or services requested). Customers may provision multiple databases within a single SQL instance and may have multiple SQL instances on standalone Windows servers or on multiple servers in a SQL Cluster. In some configurations, the SQL Cluster can be stretched to other data centers for additional high availability options and disaster recovery.

This service provides for the use of a fully managed and dedicated Microsoft SQL Server instance. The SQL Server instance requires Windows Managed Server, Windows Managed Server Capacity Unit, SQL Capacity Unit, Network Unit, Storage and Data Protection services in support of the SQL Managed Instance.

This service includes the following:

1. Physical administration of SQL Server.
2. SQL Server software installation and implementation.
3. SQL Server migration (upgrades) to supported SQL Server versions (coordinated with the Customers).
4. Application of SQL Server software patches and vulnerability scanning.
5. Maintenance of the instance parameters.
6. SQL Server backup and recovery.
7. Management of the SQL Server administrative rights (coordinated with the Customers).
8. System level inter-database connectivity.
9. 24/7/365 on-call support for production environment.
10. 24/7/365 SQL Server monitoring.
11. SQL Server license management in accordance with the SQL Capacity Unit Matrix (below).
12. SQL Server licenses when the server is hosted within the Service Provider's enterprise virtual infrastructure in accordance with the SQL Capacity Unit Matrix (below).
13. Logical database support when resources are available and when requested by the Customer via a service request and will be considered a Direct Service.

*Note: DST manages and monitors SQL servers, services, and supporting drives to ensure availability and meet uptime SLAs. Customers are cautioned not to export user or temporary data to SQL-reserved drives. These drives are typically C:\ (System drive), D:\ (SQL install), E:\ (SQL data), F:\ (SQL log), T:\ (Tempdb), or P:\ (Page file). Storing customer data on DST monitored drives can potentially generate utilization tickets or impact service availability. DST recommends using network shares for storing customer data or requesting additional drive mappings for such activity. Adhering to this practice will ensure service availability and avoid inadvertent removal of customer files to maintain service.

SQL Server Licensing

Appropriate SQL licensing is required for the SQL Managed Instance service and is generally included with the SQL Capacity Unit charge. Licenses may be transferred from the Customer to the Service Provider, purchased by the Service Provider on the Customer's behalf or assigned to the Service Provider in accordance with the Microsoft Enterprise Agreement. Legacy SQL instances transferred to the Service Provider are supported within the constraints of the SQL Server license restrictions in effect at the time of transfer to the Service Provider. Customers who utilized customer access licenses (CALs) with any transferred license must continue to pay for support of those CALs. Customers who purchased Software Assurance must transfer those contracts to the Service Provider for consolidation and payment. Customers wishing to maintain Software Assurance for SQL instances will be considered a Direct Service, unless the database instance is provisioned within the shared enterprise SQL environment. In addition, Customers must continue to maintain license compliance for their internal SQL developers. This is typically handled with SQL developer licenses, which are often covered via Visual Studio licenses or Microsoft Developer Network (MSDN) memberships.

SQL licenses for *new* production servers are included in the cost of SQL Capacity Units, assuming the server is hosted within the Service Provider's enterprise virtual infrastructure. These licenses include the latest versions of Microsoft SQL Enterprise Edition. Customers utilizing standalone physical servers must continue to provide appropriate licensing. Licensing at disaster recovery sites must be discussed and planned during disaster recovery planning.

SQL Capacity Unit Matrix

Below is a table describing how SQL capacity units are applied and who is responsible for providing funding for the appropriate SQL license. DST is the owner of all SQL licenses. The Service Provider provides the funding when it is a shared service; the Customer provides the funding when the request is deemed to be a direct charge.

| Platform | Lifecycle Stage | SQL Version | License Type | Funding for License Provided By | License Owned and Managed By | Capacity Units Applied |
|---|-----------------|--------------------|---|---------------------------------|------------------------------|------------------------|
| Physical Machine or Virtual Machine | Non-Production | SQL 2014 and newer | Developer Edition | Provider | Provider | N |
| Physical Machine Or Virtual Machine | Non-Production | SQL 2012 and older | Minimum license required to perform necessary functions | Customer | Customer (MSDN) | Y |
| Physical Machine | Production | All Versions | Minimum license required to perform necessary functions | Customer | Provider | Y |
| Virtual Machine | Production | All Versions | Enterprise Edition | Provider | Provider | Y |

Maintenance and Support Windows

Database Services support windows are outlined in the tables below.

| Maintenance and Support Windows | | |
|--|--|---|
| Windows | Time of Occurrence | Description of Activities to be Performed |
| Normal Business Hours/ Window | Monday through Friday 7:00 AM – 6:00 PM (ET) | Database technicians are scheduled during this time to fulfill service requests and troubleshoot incidents. Priority 3 and 4 issues will be worked within this window. Priority 1 and 2 issues are also worked during this window and are continuously worked until resolved. Changes may be executed during this time, following the Service Provider's change and release management processes. |
| Standard Maintenance Window | Monday - Friday 6:00 PM – Midnight (ET) | Normal maintenance, changes and system enhancements will be performed during this time. |
| Direct Services Window | Monday - Friday 6:00 PM - 7:00 AM (ET) Saturday, Sunday, and State Holidays: All day | Service or change requests initiated by the Customer during this window will be considered a Direct Service. |

Roles and Responsibilities

General roles and responsibilities for this service are defined in the RACI responsibility matrix below.

1. **Responsible (R)** - Those who do the work to achieve the task. There is typically one role with a participation type of responsible, although others can be delegated to assist in the work required.
2. **Accountable (A)** - (also approver or final approving authority) - The one ultimately answerable for the correct and thorough completion of the deliverable or task and the one from whom responsible is delegated the work. In other words, an accountable must sign off (approve) on work that responsible provides. There **must** be only one accountable specified for each task or deliverable.
3. **Consulted (C)** - (sometimes counsel) - Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication. Consultation prior to event/decision typically done through change management.
4. **Informed (I)** - Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

| Database Services Functions | | | Customer | | Service Provider | |
|-----------------------------|-----------------------------|--|----------|-----|------------------|-----|
| | | | Tech | Mgt | Tech | Mgt |
| 1 | DB2 for LUW, SQL, Oracle | Install and maintain database system software. | C | C | R | A |
| 2 | Oracle, Oracle Storage | Create database instances/tablespace. | C | C | R | A |
| 3 | SQL, DB2 for LUW | Create clusters/instances/databases. | C | C | R | A |
| 4 | DB2 for LUW, Oracle | Create user level objects. | R | A | | |
| 5 | SQL, DB2 for LUW | Create database level objects. | R | A | | |
| 6 | DB2 for LUW, Oracle Storage | Provide storage/tablespace management. | I | | R | A |

| Database Services Functions | | | Customer | | Service Provider | |
|-----------------------------|--------------------------|---|----------|-----|------------------|-----|
| | | | Tech | Mgt | Tech | Mgt |
| 7 | DB2 for LUW, SQL, Oracle | Backup databases. | C | I | R | A |
| 8 | DB2 for LUW, SQL, Oracle | Restore database. | A | I | R | I |
| 9 | DB2 for LUW, SQL, Oracle | Perform database imports/exports. | R | A | C | |
| 10 | DB2 for LUW, SQL, Oracle | Maintain cluster, instance, and database availability. | C | C | R | A |
| 11 | Oracle Storage | Maintain ASM instance. | C | C | R | A |
| 12 | DB2 for LUW, SQL, Oracle | Monitor cluster, instance, database performance, and log. | I | I | R | A |
| 13 | DB2 for LUW, SQL, Oracle | Implement SQL and application performance tuning. | R | A | | |
| 14 | DB2 for LUW, SQL, Oracle | Provide physical database security. | C | I | R | A |
| 15 | SQL, Oracle | Provide and monitor instance privilege management. | I | I | R | A |

| Database Services Functions | | | Customer | | Service Provider | |
|-----------------------------|--|---|----------|-----|------------------|-----|
| | | | Tech | Mgt | Tech | Mgt |
| 16 | DB2 for LUW | Provide and monitor database privilege management. | I | I | R | A |
| 17 | DB2 for LUW, SQL, Oracle | Manage application and user security. | R | A | | |
| 18 | DB2 for LUW, SQL, Oracle | Manage database replication. | C | I | R | A |
| 19 | DB2 for LUW, SQL, Oracle, Oracle Storage | Migrate/upgrade database or cluster. | C | I | R | A |
| 20 | DB2 for LUW, SQL, Oracle | Validate database migration/upgrade. | R | A | C | I |
| 21 | DB2 for LUW, SQL, Oracle | Manage physical instance/database related job scheduling. | C | | R | A |
| 22 | DB2 for LUW, SQL, Oracle | Manage application related job scheduling. | R | A | I | |
| 23 | DB2 for LUW, SQL, Oracle | Manage business capacity planning. | R | A | C | I |
| 24 | DB2 for LUW, SQL, Oracle | Provide data modeling. | R | A | | |

| Database Services Functions | | | Customer | | Service Provider | |
|-----------------------------|--------------------------|---|----------|-----|------------------|-----|
| | | | Tech | Mgt | Tech | Mgt |
| 25 | DB2 for LUW, SQL, Oracle | Manage user accounts. | R | A | C | I |
| 26 | DB2 for LUW, SQL, Oracle | Provide database license management and compliance. | I | C | R | A |
| 27 | DB2 for LUW, SQL, Oracle | Recognize, mitigate and potentially accept risks associated with maintaining deprecated/EOSL operating systems, software, and hardware. | R | A | C | I |

DATA CENTER FACILITY AND OPERATIONS

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|--|------------------|---------------------|---|---|---|
| Additional Electrical Circuit (Co-location service) | Circuit/Month | % of Service Use | 99.9% facility uptime in a monthly period | For Standard Electrical Service – 5 business days (after receipt of the installation form). Non-standard requests may require additional delivery time for special order parts. | Provides electrical circuits for requirements that exceed the standard number of circuits provided for cabinets or rack mount installs. Standard single cabinets include 1 - 30 Amp - 208V (2) pole circuit, and standard rack mounts include 2 power strip receptacles (1 primary and 1 backup) within the cabinet. If additional power is requested or required by the Customer, the Customer will be responsible for the installation cost of the new circuit(s). Circuits are monitored for current, voltage and power. |
| Floor Tiles (Co-location service) | Tile/Month | % of Service Use | 99.9% facility uptime in a monthly period | 10 business days for installation (after receipt of the installation form). | Provides a physically secured footprint for Customer owned cabinets within the SDC that includes under floor cable management, power (cabinets should not exceed 1.25 kW per tile), HVAC, and is monitored 24x7x365. A floor tile is a 2' x 2' tile used as the unit of measure. |
| Rack Mounts (Co-location service) | 1U/Month | % of Service Use | 99.9% facility uptime in a monthly period | 10 business days for installation (after receipt of the installation form). | Provides a physically secured 19" standard cabinet for Customer owned equipment within the SDC. The standard rack mount unit measurement is 1 Rack Unit = 1U or 1.75". |
| Scheduling Services | Labor Hour/Month | Hour | Customer's Scheduling Services will be available at least | Production Region requests: 1-hour turnaround. | Provides administration and support of workload scheduling and batch activity. Included are Job Control Language (JCL) documentation review for job compliancy, correctness, and accuracy to |

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|--------------|---------------|---------------------|--|--|---|
| | | | 99.5% of scheduled availability in a monthly period. | Test Region requests: 4-hour turnaround. This is during normal business hours, for both production and test regions (following approval of service order and independent of other services). | ensure jobs sustain production ready status. Planned implementation, upgrades, and installations to support workload scheduling are also in-scope for this service. |

In-Scope Scheduling Services

- Automated change management (e.g., mainframe code turnover) administration & support
- On-request change management & on-request workload scheduling
- Automated workload scheduling administration, support, forecasting, and reporting
- On-request forecasting and reporting
- Automated output management, archive and retrieval administration, and support
- Job documentation and JCL comment block reviews and compliancy
- Special event monitoring, preparation and handling
- JCL variable complication, testing, variable substitutions, date formula testing and implementation
- Supported product training and support
- Monthly SLA metrics performance reviews & reporting

Additional In-Scope Services:

- 2nd tier On-call support
- Consulting support
- Support/participate in weekend application implementations, upgrades and installs (3-day notice required)
- Participate in new product/software evaluations & testing of software changes
- Decommissioning of obsolete jobs, tasks, members, or other components where authorized

Remote Hands Service for limited support activities is available only via separate, signed agreement between the Customer and the Service Provider as part of the SLA. This must be included in the Direct Services (Attachment B) section of the SLA.

Service Level Commitment

The Service Provider is committed to meeting a minimum uptime of 99.9% for the Data Center Facility and Operations services. Reference the individual service definitions above for service availability.

Note: Interdependencies on other services may affect a specific service's performance metrics.

Maintenance and Support Windows

Data Center Facility and Operations maintenance is performed as needed.

Roles and Responsibilities

General roles and responsibilities for this service are defined in the following RACI responsibility matrix below.

1. **Responsible (R)** - Those who do the work to achieve the task. There is typically one role with a participation type of responsible, although others can be delegated to assist in the work required.
2. **Accountable (A)** - (also approver or final approving authority) - The one ultimately answerable for the correct and thorough completion of the deliverable or task, and the one from whom responsible is delegated the work. In other words, an accountable must sign off (approve) on work that responsible provides. There **must** be only one accountable specified for each task or deliverable.
3. **Consulted (C)** - (sometimes counsel) - Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication. Consultation prior to event/decision typically done through change management.

4. **Informed (I)** - Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

| Data Center Facility and Operations Functions | | | Customer | | Service Provider | |
|---|-------------|---|----------|-----|------------------|-----|
| | | | Tech | Mgt | Tech | Mgt |
| 1 | Co-Location | Continuously review and evaluate security procedures. | | | R | A |
| 2 | Co-Location | Monitor all areas of the SDC 24 hours a day. | | | R | A |
| 3 | Co-Location | Authorize identified persons with access to computer room before admission. | | | R | A |
| 4 | Co-Location | Verify that all cabinets within the computer room are locked when not being accessed. | | | R | A |
| 5 | Co-Location | Ensure a staff member is assigned to receive and inspect any equipment received. | | | R | A |
| 6 | Co-Location | Assign SDC staff for cleaning all secure areas of the facility. | | | R | A |
| 7 | Co-Location | Ensure only authorized personnel access restricted areas. | | | R | A |

| Data Center Facility and Operations Functions | | | Customer | | Service Provider | |
|---|-------------|--|----------|-----|------------------|-----|
| | | | Tech | Mgt | Tech | Mgt |
| 8 | Co-Location | Ensure redundant facility components through tests. | | I | R | A |
| 9 | Co-Location | <p>The following criteria are required for each visitor before entering the computer room:</p> <ul style="list-style-type: none"> • Have proper written authorization from their organization for access and have a security record and photo identification on file. • Provide proper photo identification. | R | | | A |
| 10 | Co-Location | Ensure all visitors will be escorted within the SDC, unless they have passed the Service Provider Criminal Justice Information Services (CJIS) compliant background check. | | | R | A |
| 11 | Co-Location | Notify the Service Provider's Operations staff of deliveries. | R | A | | C/I |
| 12 | Co-Location | <p>Submit proper forms (as identified) for equipment installation, removal, and changes:</p> <ul style="list-style-type: none"> • Equipment Installation Request Document (Attachment 1) must be completed and returned to | R | A | | C/I |

| Data Center Facility and Operations Functions | | | Customer | | Service Provider | |
|---|-------------|---|----------|-----|------------------|-----|
| | | | Tech | Mgt | Tech | Mgt |
| | | <p>Operations staff before any equipment is brought into the facility. This includes the delivery of equipment. If all required information is not provided, the installation of Customer equipment may be delayed.</p> <ul style="list-style-type: none"> • Equipment Removal / Transfer document (Attachment 2) before any equipment is removed from the facility. • Submit CSA form to SUNCOM for SDC ports to be installed and when equipment is removed. | | | | |
| 13 | Co-Location | Ensure all hardware for installation is accurately inventoried for DST. | | | R | A |
| 14 | Co-Location | Provide and install the hardware for the rack mount. | R | A | | |
| 15 | Co-Location | Provide a staff list requiring access to the equipment. | R | A | | I |
| 16 | Co-Location | Follow DST-BIOS-P-112 – State Data Center Standards, and DST-BIOS-P-115 Raised Floor Area Rules | R | A | | |

| Data Center Facility and Operations Functions | | | Customer | | Service Provider | |
|---|------------|---|----------|-----|------------------|-----|
| | | | Tech | Mgt | Tech | Mgt |
| | | Adhere to all State Data Center Standards and Raised Floor Area Rules. Failure to comply with the Standards and Rules may lead to termination of the Agreement and the subsequent removal of Customer equipment at the SDC. Compliance with State Data Center Standards and Raised Floor Area Rules is determined at the discretion of the SDC Manager. | | | | |
| 17 | Scheduling | Periodically review and evaluate Scheduling Services Group related security procedures. | | | R | A |
| 18 | Scheduling | Monitor all areas of the workload scheduling services from 7:00 am to midnight ET daily. On call is available during non-business hours. | | | R | A |
| 19 | Scheduling | Submit and maintain production documentation workflow (including critical path) electronically to Service Provider's Scheduling Services Group. | R | A | C | I |
| 20 | Scheduling | Review production documentation workflow for accuracy. | C | I | R | A |

| Data Center Facility and Operations Functions | | | Customer | | Service Provider | |
|---|------------|---|----------|-----|------------------|-----|
| | | | Tech | Mgt | Tech | Mgt |
| 21 | Scheduling | Ensure all hardcopy production documentation is stored properly at day's end. | | | R | A |
| 22 | Scheduling | Ensure production work requests are production ready prior to submitting to the Services Provider's Service Desk. | R | A | | |
| 23 | Scheduling | Ensure production work requests are quality checked and processed in a timely manner. | | | R | A |
| 24 | Scheduling | Ensure only authorized personnel access restricted areas. | | | R | A |
| 25 | Scheduling | Ensure same day production must go work is received by established cutoff time of 1 pm EST. | R | A | | |
| 26 | Scheduling | Ensure all outages that impact production batch processing work is documented, scheduled and approved through change management, well in advance, unless an emergency occurs. | R | A | | |
| 27 | Scheduling | Submit properly completed requests through DST's ITSM tool so production | R | A | | |

| Data Center Facility and Operations Functions | | | Customer | | Service Provider | |
|---|------------|---|----------|-----|------------------|-----|
| | | | Tech | Mgt | Tech | Mgt |
| | | work can be processed without conflicts or delays. | | | | |
| 28 | Scheduling | Identify all obsolete tasks, members, or other components to be removed from all environments. | R | A | C/I | |
| 29 | Scheduling | Ensure all obsolete tasks, members, or other components are removed from all environments. | I | I | R | A |
| 30 | Scheduling | Ensure a list of authorized persons or liaisons is submitted to the Service Provider's Service Desk and is kept up-to-date. | R | A | | |
| 31 | Scheduling | Ensure all calendar run and no-run dates are provided at least one month in advance for every month. | R | A | | |
| 32 | Scheduling | All production JCL changes (including overrides) shall be made by the Customer's development staff. | R | A | | |
| 33 | Scheduling | All production code moves made outside of the standardized scheduling tool shall be made by the Customer's development staff. | R | A | | |

| Data Center Facility and Operations Functions | | | Customer | | Service Provider | |
|---|------------|---|----------|-----|------------------|-----|
| | | | Tech | Mgt | Tech | Mgt |
| 34 | Scheduling | Manage and monitor all batch job processing run outside of the standardized scheduling tool for the entirety of the job flow. | R | A | | |
| 35 | Scheduling | Perform all job output restores. | R | A | | |
| 36 | Scheduling | Manage cataloging/un-cataloging tapes and dataset spooling. | R | A | I | |
| 37 | Scheduling | Act as the project leader or manager for internal customer processes. | R | A | | |
| 38 | Scheduling | Diagnose all problems related to applications. | R | A | | |
| 39 | | Recognize, mitigate and potentially accept risks associated with maintaining deprecated/EOSL operating systems, software, and hardware. | R | A | C | I |

MAINFRAME SERVICES

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|-------------------------------|---------------------------|---------------------|--|---|---|
| z/OS Processing | IBM Resource Units/ Month | % of Service Use | <p>Mainframe Services will be available 99.5% of the availability in a monthly period.</p> <p>Actual scheduled availability (minutes scheduled) minus reported downtime (minutes) divided by scheduled availability (minutes).</p> | <p>Adding an additional logical partition (LPAR) will take 14 days (following approval of service request and independent of other services). Changes to an existing LPAR will take 2 days. Changes to an LPAR requiring an IPL will be implemented in the next maintenance window. Changes requiring a Power On Reset will be done at a date agreed upon by all customers residing on the machine since those changes affect all customers. Dependent on the availability of existing mainframe services compute, storage, and licensing capacity.</p> | <p>Provides mainframe system resources for batch, TSO and other basic services. Includes batch process monitoring for automated jobs. The Service Provider provides monitoring, troubleshooting system level issues, routine maintenance and configuration of operating system level software.</p> |
| Backup/Virtual Storage | Gigabyte/ Month | % of Service Use | <p>99.5% of system backups will run successfully on schedule in a monthly period.</p> | <p>Adding or changing backups will take 1 business day (following approval of service request and independent of other services). Dependent on the</p> | <p>Provides management and proactive monitoring of the virtual tape subsystem environment used for mainframe data backup. In addition, this service includes the movement of tape media containing the backup data to the designated off-site vaulting facility. Customer mainframe system backups (full and incremental) are scheduled based on criteria specified in the SLA.</p> |

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|------------------------|---------------------------|---------------------|---|--|---|
| | | | | availability of existing mainframe services compute, storage, and licensing capacity. | |
| CICS Processing | IBM Resource Units/ Month | % of Service Use | Customer Information Control System (CICS) application regions will be available 99.5% of the scheduled availability in a monthly period. Actual scheduled availability (minutes) minus reported downtime (minutes) divided by scheduled availability (minutes). | Changes to CICS regions will take 1 business day (following approval of service request and independent of other services). Dependent on the availability of existing Mainframe Services compute, storage, and licensing capacity. | Provides IBM - CICS subsystem(s) and IBM - CICS transaction manager software for Customer applications. CICS offers advanced recovery options and ensures that transactions are rolled back appropriately when they fail. CICS related software is included in this service. This service consists of monitoring, troubleshooting system level issues, routine maintenance, and configuration of CICS and related software. |

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|--|---------------------------|---------------------|---|--|--|
| DB2 Processing | IBM Resource Units/ Month | % of Service Use | <p>DB2 databases will be available 99.5% of the scheduled availability in a monthly period.</p> <p>Actual scheduled availability (minutes) minus reported downtime (minutes) divided by scheduled availability (minutes).</p> | <p>Changes to DB2 regions will take 1 business day (following approval of service request and independent of other services). Dependent on the availability of existing mainframe services compute, storage, and licensing capacity.</p> | <p>Provides IBM - DB2 database subsystem(s) for Customer applications. All DB2 related software hosted in the Service Provider's mainframe environment is included in this service. This service consists of monitoring, troubleshooting system level issues, routine maintenance, and system configuration of DB2 and related software.</p> |
| Data Collection Facility (DCF) DB2 Processing | Actual Cost/ Month | Direct Cost | <p>DB2 databases will be available 99.5% of the scheduled availability in a monthly period.</p> <p>Actual scheduled availability (minutes) minus reported downtime (minutes)</p> | <p>Changes to DB2 regions will take 1 business day (following approval of service request and independent of other services). Dependent on the availability of existing mainframe services compute, storage, and licensing capacity.</p> | <p>Provides IBM - DB2 database subsystem(s) for Customer applications. All DB2 related software hosted in the Service Provider's mainframe environment is included in this service. This service consists of monitoring, troubleshooting system level issues, routine maintenance, and system configuration of DB2 and related software.</p> |

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|---------------------------|--------------------|---------------------|---|--|---|
| | | | divided by scheduled availability (minutes). | | |
| DCF IMS Processing | Actual Cost/ Month | Direct Cost | <p>Information Management System (IMS) databases will be available 99.5% of the scheduled availability in a monthly period.</p> <p>IMS application regions will be available 99.5% of the scheduled availability in a monthly period.</p> <p>Actual scheduled availability (minutes) minus reported downtime (minutes) divided by</p> | <p>Changes to IMS regions will take 1 business day (following approval of service request and independent of other services). Dependent on the availability of existing mainframe services compute, storage, and licensing capacity.</p> | <p>Provides IBM - IMS database subsystem(s) for Customer applications. All IMS DB/TM related software hosted in the Service Provider's mainframe environment is included in this service.</p> <p>This service consists of monitoring, troubleshooting system level issues, routine maintenance, and system configuration of IMS and related software.</p> |

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|---|--------------------|---------------------|---|---|---|
| | | | scheduled availability (minutes). | | |
| DCF Storage | Actual Cost/ Month | Direct Cost | <p>Mainframe storage will be available 99.5% of the scheduled availability in a monthly period.</p> <p>Actual scheduled availability (minutes) minus reported downtime (minutes) divided by scheduled availability (minutes) in a monthly period.</p> | <p>Adding or deleting volumes or changes to Automatic Class Selection (ACS) routines will take 1 business day (following approval of service request and independent of other services). Dependent on the availability of existing mainframe services compute, storage, and licensing capacity.</p> | <p>Provides management of storage resources to ensure needed capacity is available for Customer use. Consists of monitoring available capacity, adding new storage when needed, routine maintenance, and configuration of storage software, and catalog maintenance.</p> |
| DCF operating system for IBM mainframes, (z/OS) Processing | Actual Cost/ Month | Direct Cost | <p>z/OS processing will be available 99.5% of the scheduled availability in a monthly period.</p> <p>Actual scheduled</p> | <p>Adding an additional LPAR will take 14 days (following approval of service request and independent of other services). Changes to an existing LPAR will take 2 days (following approval of service request and independent of other</p> | <p>Provides mainframe system resources for batch, Time Sharing Option (TSO) and other basic services. Includes batch process monitoring for automated jobs that can be executed with minimal human interaction. The Service Provider provides monitoring, troubleshooting system level issues, routine maintenance, and configuration of operating system level software.</p> |

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|---------------------------------|-----------------------|-------------------------|---|---|--|
| | | | <p>availability (minutes) minus reported downtime (minutes) divided by scheduled availability (minutes).</p> | <p>services). Changes to an LPAR requiring an IPL will be implemented in the next maintenance window. Changes requiring a Power On Reset will be done at a date agreed upon by all customers residing on the machine since those changes affect all customers. Dependent on the availability of existing mainframe services compute, storage, and licensing capacity.</p> | |
| <p>Mainframe Storage</p> | <p>Gigabyte/Month</p> | <p>% of Service Use</p> | <p>Mainframe storage will be available 99.5% of the scheduled availability in a monthly period.</p> <p>Actual scheduled availability (minutes) minus reported downtime (minutes) divided by scheduled</p> | <p>Adding or deleting volumes or changes to ACS routines will take 1 business day (following approval of service request and independent of other services). Dependent on the availability of existing mainframe services compute,</p> | <p>Provides management of mainframe storage resources to ensure needed capacity is available for Customer use. Consists of monitoring available capacity, adding new storage when needed, routine maintenance, and configuration of storage software, and catalog maintenance.</p> |

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|--------------|---------------|---------------------|-------------------------|----------------------------------|---------------------|
| | | | availability (minutes). | storage, and licensing capacity. | |

Service Level Commitment

The Service Provider is committed to meeting a minimum uptime of 99.5% for the Mainframe Services. Reference the individual service definitions above for service availability.

Note: Interdependencies on other services may affect a specific service’s performance metrics.

Maintenance and Support Windows

Mainframe maintenance and support windows are performed as needed on a Customer-specific basis.

Roles and Responsibilities

General roles and responsibilities for this service are defined in the following RACI responsibility matrix below.

1. **Responsible (R)** - Those who do the work to achieve the task. There is typically one role with a participation type of responsible, although others can be delegated to assist in the work required.
2. **Accountable (A)** - (also approver or final approving authority) - The one ultimately answerable for the correct and thorough completion of the deliverable or task, and the one from whom responsible is delegated the work. In other words, an accountable must sign off (approve) on work that responsible provides. There **must** be only one accountable specified for each task or deliverable.
3. **Consulted (C)** - (sometimes counsel) - Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication. Consultation prior to event/decision typically done through change management.
4. **Informed (I)** - Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

| Mainframe Services Functions | | Customer | | Service Provider | |
|------------------------------|---|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 1 | Acquisition of mainframe hardware and software. | | I | R | A |
| 2 | Manage mainframe related hardware upgrades and replacements. | I | | R | A |
| 3 | Allocation of system resources. | I | | R | A |
| 4 | Provide data backup and restoration services in accordance with SDC policies and Customer requirements. | I | C | R | A |
| 5 | System monitoring, troubleshooting, escalation, and resolution of problems for the mainframe. | | I | R | A |
| 6 | Install & maintain all mainframe operating system (OS) related software & patches. | I | | R | A |
| 7 | Install & maintain all mainframe DB2 related software & patches. | I | | R | A |
| 8 | Install & maintain all mainframe IMS related software & patches. | I | | R | A |
| 9 | Install & maintain all mainframe CICS related software & patches. | I | | R | A |
| 10 | Install & maintain all mainframe print management related software & patches. | I | | R | A |

| Mainframe Services Functions | | Customer | | Service Provider | |
|------------------------------|---|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 11 | Maintain code promotion software. | I | | R | A |
| 12 | Maintain computer programs and batch jobs for data collection of system utilization. | | | R | A |
| 13 | Provide access control software implementation, configuration, and maintenance. | I | | R | A |
| 14 | Perform program product (vendor software) installation, upgrades, and maintenance. | I | | R | A |
| 15 | Manage mainframe software license and compliance. | | | R | A |
| 16 | Monitor the mainframe systems for performance & tuning. | | | R | A |
| 17 | Manage and make OS performance tuning changes. | I | | R | A |
| 18 | Manage batch resources and priorities. | I | | R | A |
| 19 | Provide information necessary to determine workload management requirements. | R | A | I | C |
| 20 | Provide Application User Account Management. | R | A | | |
| 21 | Manage the Customer change processes. | R | A | C | |
| 22 | Identify data retention requirements. | R | A | C | |
| 23 | Recognize, mitigate and potentially accept risks associated with maintaining deprecated/EOSL operating systems, software, and hardware. | R | A | C | I |

MANAGED APPLICATIONS

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|---|-----------------------------|---------------------|----------------------------------|---|--|
| Citrix | Peak Concurrent Users/Month | % of Service Use | 99.5% uptime in a monthly period | New Citrix hosting will be available on a case-by-case basis. For existing Citrix customers, the normal Service Request response times apply. | <p>Provides support for remote access and central application deployment for Customers in a shared, highly available configuration, while providing capability for dedicated application servers for each entity. Service includes installation, administration, support, licensing, and maintenance of the Citrix environment. The service maintains three (3) tiers, Development, Test/Quality Assurance, and Production for full application life cycle management. This provides the Customer the flexibility to test applications prior to deploying to production. All three (3) tiers are designed to be highly available.</p> <p>Customer applications deployed remain the responsibility of the Customer.</p> |
| Hosted Messaging Archive Service <small>(This service has been sunsetted)</small> | GB of Storage /Month | % of Service Use | 99.5% uptime in a monthly period | 7 business days (following approval of service request and independent of other services) | <p>The Hosted Messaging Archive Service provides storage for messages archived from the Hosted Messaging Service previously provided at DST.</p> <p>This service has been sunsetted.</p> |

Service Level Commitment

The Service Provider is committed to meeting the performance metrics for the Managed Applications Service. Reference the individual service definitions above for specific service availability.

Note: Interdependencies on other services may affect a specific service’s performance metrics.

Citrix Service

The Service Provider is responsible for ensuring the overall health and availability of the server hardware, operating system, storage, backup, Citrix application and network services as part of the basic service cost. Customer applications deployed remain the responsibility of the Customer. Time spent by the Service Provider performing release management, application or code support and security response to Customer supplied applications will be considered a Direct Service.

Hosted Messaging Archive Service

The Hosted Messaging Service offers storage and search services for messages archived from the Hosted Messaging Service previously hosted by DST. Only messages archived from the legacy service are retained in this system. This service will not archive any new messages.

Maintenance and Support Windows

Managed Applications support windows are outlined in the tables below.

| Maintenance and Support Windows | | |
|---------------------------------|---|--|
| Windows | Time of Occurrence | Description of Activities to be Performed |
| Normal Business Hours/ Window | Monday through Friday 7:00 AM – 6:00 PM (ET) | Technicians are scheduled during this time to fulfill service requests and troubleshoot incidents. Priority 3 and 4 issues will be worked within this window. Priority 1 and 2 issues are also worked during this window and are continuously worked until resolved. Changes may be executed during this time, following the Service |

| Maintenance and Support Windows | | |
|---------------------------------|---|--|
| Windows | Time of Occurrence | Description of Activities to be Performed |
| | | Provider's change and release management processes. |
| Standard Maintenance Window | Monday – Friday 6:00 PM – Midnight (ET) | Normal maintenance, changes and system enhancements will be performed during this time. |
| Direct Services Window | Monday – Friday Midnight - 7:00 AM (ET) Saturday, Sunday and State Holidays: All day | Service or change requests initiated by the Customer during this window will be considered a Direct Service. |
| Citrix Application Support | Production: Monday – Friday 7:00 AM – Midnight (ET) Development/Test: Monday – Friday 7:00 AM – 6:00 PM (ET) | Citrix and Citrix application patching, installation, deployment, and support. |

Roles and Responsibilities

General roles and responsibilities for this service are defined in the following RACI responsibility matrix below.

1. **Responsible (R)** - Those who do the work to achieve the task. There is typically one role with a participation type of responsible, although others can be delegated to assist in the work required.

2. **Accountable (A)** - (also approver or final approving authority) - The one ultimately answerable for the correct and thorough completion of the deliverable or task, and the one from whom responsible is delegated the work. In other words, an accountable must sign off (approve) on work that responsible provides. There **must** be only one accountable specified for each task or deliverable.
3. **Consulted (C)** - (sometimes counsel) - Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication. Consultation prior to event/decision typically done through change management.
4. **Informed (I)** - Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

| Managed Application Functions | | Managed Application | Customer | | Service Provider | |
|-------------------------------|--|---------------------|----------|-----|------------------|-----|
| | | | Tech | Mgt | Tech | Mgt |
| 1 | Citrix XenApp components infrastructure management and administration. | Citrix | C | I | R | A |
| 2 | Citrix XenApp components availability and monitoring. | Citrix | C | I | R | A |
| 3 | Citrix XenApp components patch management and maintenance. | Citrix | C | I | R | A |
| 4 | Citrix XenApp Server components license purchase and maintenance. | Citrix | C | I | R | A |
| 5 | Utilize the Service Provider's Change, Incident, Release, Problem and Configuration Management Processes. | All | C | I | R | A |
| 6 | Maintain server/service security; Comply with Rule Chapter 74-2, FL Administrative Code, with respect to server, network and service security. | Citrix | C | I | R | A |
| 7 | Usage reporting. | Citrix | C | I | R | A |

| Managed Application Functions | | Managed Application | Customer | | Service Provider | |
|-------------------------------|--|---------------------|----------|-----|------------------|-----|
| | | | Tech | Mgt | Tech | Mgt |
| 8 | Determine access rules and setup. | Citrix | R | A | C | I |
| 9 | Purchase and maintain Microsoft Remote Desktop Services (RDS) CAL licenses. | Citrix | R | A | C | I |
| 10 | Perform application testing following the Service Provider's patch services. | Citrix | R | A | C | I |
| 11 | Hosted application management & support. | Citrix | R | A | C | I |
| 12 | Purchase and maintain hosted application licenses. | Citrix | R | A | C | I |
| 13 | Endpoint support & maintenance including the Citrix Receiver client component | Citrix | R | A | C | I |
| 14 | 1 st level end user support. | Citrix | R | A | C | I |
| 15 | Notify the Service Provider's Service Desk of all service issues and requests. | Citrix | R | A | C | I |
| 16 | Active Directory controlled access to applications via domain groups. | Citrix | R | A | C | I |
| 17 | Maintain Customer application code; Comply with Rule Chapter 74-2, FL Administrative Code, if applicable, with respect to Customer application security and logical separation of development, test and production services. | Citrix | R | A | C | I |
| 18 | Customer Wide Area Network (WAN) bandwidth charges. | Citrix | R | A | C | I |

| Managed Application Functions | | Managed Application | Customer | | Service Provider | |
|-------------------------------|---|---------------------|----------|-----|------------------|-----|
| | | | Tech | Mgt | Tech | Mgt |
| 19 | Notify Customer of planned and emergency outages. | Hosted Messaging | C | I | R | A |
| 20 | Server availability and monitoring. | Hosted Messaging | C | I | R | A |
| 21 | Server backup and recovery. | Hosted Messaging | C | I | R | A |
| 22 | Server connectivity to WAN. | Hosted Messaging | C | I | R | A |
| 23 | Server patch management and maintenance. | Hosted Messaging | C | I | R | A |
| 24 | Off-site storage of backup media. | Hosted Messaging | C | I | R | A |
| 25 | Purchase and maintain server licenses. | Hosted Messaging | C | I | R | A |
| 26 | Client Desktop Application (e.g., Outlook) installation and support. | Hosted Messaging | R | A | C | I |
| 27 | Client Desktop Application Internet (WAN) connectivity and troubleshooting. | Hosted Messaging | R | A | C | I |
| 28 | Notify the Service Provider's Service Desk of all service needs. | Hosted Messaging | R | A | C | I |
| 29 | Notify the Service Provider's Service Desk of all service problems. | Hosted Messaging | R | A | C | I |
| 30 | Recognize, mitigate and potentially accept risks associated with maintaining deprecated/EOSL operating systems, software, and hardware. | | R | A | C | I |

NETWORK SERVICES

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|---------------------------------|---------------------------------------|---------------------|--|---|--|
| Load Balancing and Proxy | Virtual Internet Protocol (VIP)/Month | % of Service Use | Service will be available 99.5% of scheduled availability in a monthly period. | 3 business days (following approval of service order and independent of other services) | <p>Provides for the creation and maintenance of VIP Address and Proxy or Load Balancing to backend hosts. Includes SSL termination, acceleration, optimization, and health monitoring. Charged per VIP provisioned. Hardware and software components of service are designed to be Highly Available (HA) with device failover. HTTP-to-HTTPS redirect services and application layer filtering are also included with this service, provided the customer uses the standard Service Provider's template.</p> <p>Content switching, advanced scripting, or SSL certificate purchases for applications unable to leverage the Service Provider's wildcard certificate will be considered a Direct Service.</p> <p>For customers leveraging Web/URL filtering capabilities, Global Traffic Manager (GTM), support and maintenance will also be considered a Direct Service.</p> |
| Network Unit | Network Units (NU)/Month | % of Service Use | Service will be available 99.5% of scheduled availability in a monthly period. | 3 business days (following approval of service order and independent of other services) | <p>Provides local network connectivity to servers or appliances (physical or virtual). One NU is required per server or appliance that requires network connectivity or backup. Multiple physical or virtual connections may be configured for redundancy or access reasons. Interface specific settings are based on speed, usage, and other parameters available on the upstream switch and connected device. Service includes configuration and maintenance of port settings and monitoring of link status and usage. Non-standard configurations such as fiber or special port setup will be considered a Direct Service. Firewall services and administration are included in the service. Annually, all firewall rules will be audited and reviewed with the customer.</p> |

Service Level Commitment

The Service Provider is committed to meeting a minimum uptime of 99.5% for Network Services. Reports are provided via the self-service portal.

Note: Interdependencies on other services may affect a specific service’s performance metrics.

Maintenance and Support Windows

Network Services support windows are outlined in the tables below.

| Maintenance and Support Windows | | |
|---------------------------------|--|--|
| Standard Times | Time of Occurrence | Description of Maintenance Activities to be Performed |
| Normal Business Hours/ Window | Monday through Friday 7:00 AM – 6:00 PM | Network technicians are scheduled during this time to fulfill service requests and troubleshoot incidents. Priority 3 and 4 issues will be worked within this window. Priority 1 and 2 issues are also worked during this window and are continuously worked until resolved. Changes may be executed during this time, following the Service Provider’s change and release management processes. |
| Standard Maintenance Window | Minor and Standard Changes: Monday - Friday 6:00 PM – Midnight (ET) Major Changes: Sunday – Monday 6:00 PM - 5:00 AM (ET) | Normal maintenance, changes, and system enhancements will be performed during this time. |

| Maintenance and Support Windows | | |
|---------------------------------|--|--|
| Standard Times | Time of Occurrence | Description of Maintenance Activities to be Performed |
| Direct Services Window | Monday - Friday 6:00 PM - 7:00 AM (ET) Saturday, Sunday and State Holidays: All day | Service or change requests initiated by the Customer during this window will be considered a Direct Service. |

Roles and Responsibilities

General roles and responsibilities for this service are defined in the following RACI responsibility matrix below.

1. **Responsible (R)** - Those who do the work to achieve the task. There is typically one role with a participation type of responsible, although others can be delegated to assist in the work required.
2. **Accountable (A)** - (also approver or final approving authority) - The one ultimately answerable for the correct and thorough completion of the deliverable or task, and the one from whom responsible is delegated the work. In other words, an accountable must sign off (approve) on work that responsible provides. There **must** be only one accountable specified for each task or deliverable.
3. **Consulted (C)** - (sometimes counsel) - Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication. Consultation prior to event/decision typically done through change management.
4. **Informed (I)** - Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

| Network Services Functions | | Customer | | Service Provider | |
|----------------------------|---|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 1 | Purchase SSL certificate for load balanced or proxy applications unable to leverage the Service Provider's wildcard certificate (Load Balancing and Proxy). | R | A | C | I |
| 2 | Configure Customer virtual routing and forwarding (VRF) (Network Unit). | I | C | R | A |
| 3 | Configure network infrastructure devices (Network Unit). | | I | R | A |
| 4 | Monitor network infrastructure devices (Network Unit). | | I | R | A |
| 5 | Backup network infrastructure device configurations (Network Unit). | | | R | A |
| 6 | Maintain device software on network infrastructure devices (Network Unit). | | I | R | A |
| 7 | Configure firewall device and network settings (Network Unit). | | | R | A |
| 8 | Install firewall policy rules (Network Unit). | I | C | R | A |
| 9 | Define application-specific requirements to meet customer's business needs (Network Unit). | | R | | C |
| 10 | Configure network/firewall policies based on application-specific requirements (Network Unit). | C | I | R | A |
| 11 | Configure firewall threat objects and profiles (Network Unit). | C | I | R | A |

| Network Services Functions | | Customer | | Service Provider | |
|----------------------------|---|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 12 | Configure web filtering profiles (Network Unit). | R | A/C | I | |
| 13 | Configure report distribution/content settings (Network Unit). | | C | R | A |
| 14 | Configure device and network settings (Load Balancing and Proxy). | | | R | A |
| 15 | Maintain device software (Load Balancing and Proxy). | | I | R | A |
| 16 | Provide SSL keychain (Certificate + Key) (Load Balancing and Proxy). | R | A | I | |
| 17 | Configure virtual IP address and service (Port) - virtual server (Load Balancing and Proxy). | C | I | R | A |
| 18 | Maintain virtual IP address and service (Port) - virtual server (Load Balancing and Proxy). | C | I | R | A |
| 19 | Monitor virtual IP address and service (Port) - virtual server (Load Balancing and Proxy). | | | R | A |
| 20 | Install SSL keychain (Certificate + Key) (Load Balancing and Proxy). | C | I | R | A |
| 21 | Recognize, mitigate and potentially accept risks associated with maintaining deprecated/EOSL operating systems, software, and hardware. | R | A | C | I |

OPEN SYSTEMS SERVICES

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|--|---------------------------|---------------------|---|---|---|
| Electronic Data Interchange (EDI) Translation | Kilobyte Transfer/Month | % of Service Use | 99.5% Availability in a monthly period | 5 business days to deploy translation (following approval of service request and independent of other services) | Provides EDI data transformation services in support of database and application loading. This service is provided for existing subscribers only. |
| Web/App/File Transfer Services | Web Unit/Month | % of Service Use | 99.5% Availability in a monthly period | 3 business days (following approval of service request and independent of other services) | Provides HA web hosting of customer-deployed content and file transfer services via shared Linux/UNIX environment. |
| Linux/UNIX Capacity Unit | Capacity Units (CU)/Month | % of Service Use | N/A (This service was born out a need for cost allocation and is not a measurable service.) | 3 business days (Adding or removing capacity units may require a server reboot. Delivery time for these changes will be dependent on an available maintenance window for the server.) | Provides processing capacity as required to support the associated Linux/UNIX Managed Server Service. Capacity Units are sold in quantities of memory and processing power, specifically gigabytes of random access memory (RAM) and gigahertz (GHz) of central processing unit (CPU). Minimums apply. Customers requiring dedicated physical hardware must provide justification and, if approved, will be billed for all the compute resources present within the server. |

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|---|-------------------------------------|-------------------------|---|---|---|
| <p>Linux/UNIX Managed Server</p> | <p>Unix Server Units (SU)/Month</p> | <p>% of Service Use</p> | <p>99.5% Availability in a monthly period</p> | <p>10 business days * (following approval of service order and independent of other services)</p> | <p>Provides management of a Linux/UNIX-based server OS instance and includes OS licenses (Red Hat and Solaris on x86) and support, OS configuration and tuning, OS patch management in standard maintenance window, 24x7 availability and performance monitoring, security management, and anti-virus protection. DST managed servers can be provisioned at DST-managed data centers, third party co-location hosting facilities, or with cloud providers. Service details may vary depending on location, provider and/or services requested. Capacity Unit, Storage, Data Protection (backup), and Network Unit services are required and covered under separate offerings.</p> <p>The Service Provider is responsible for ensuring the overall health and availability of the server hardware, operating system and basic network connectivity. Application-layer management responsibility is maintained by the Customer with optional Service Provider support.</p> <p>Purchase of non-standard OS licenses and support is the Customer's responsibility. Support of non-standard OS or hardware is at the discretion of the Service Provider, and any customization of processes or code required to maintain the systems to adhere to the Service Provider's best practices will be considered a Direct Service.</p> |

* This includes both simple and complex builds with or without OS or database high-availability (HA) features. Simple builds are typically delivered in less than 5 days. Customer-requested applications that are not part of the native OS roles and features are not included in the build process delivery time. Infrastructure dependencies outside of the full control of DST may adversely affect delivery time. These dependencies include but are not limited to customer firewalls, customer network routing and IP

address management, and customer Active Directory domain access. Additionally, unless an exception is filed and granted, a server cannot be delivered without anti-virus protection, data protection services, or the DST system management tool(s) installed.

Server restrictions apply, including minimum sizing for new physical servers and all such server capacity must be x86 based commodity hardware. Customers requiring non-commodity hardware should contact the Service Provider and will be required to provide justification for approval.

Service Level Commitment

The Service Provider is committed to meeting a minimum uptime of 99.5% for the Open Systems Services Service. Reports are provided via the self-service portal.

Note: Interdependencies on other services may affect a specific service's performance metrics.

Open Systems Capacity Unit

Open Systems Capacity Unit is defined as each 1 GB of RAM and each 1000 MHz of processor pool resources allocated to the OS. Customers of physical servers will be charged for all RAM and all processor MHz for all cores available to the OS.

Nine (9) Open Systems Capacity Units (5 CU processing and 4 CU RAM) are required to minimally provision a new managed server under this model. Additional capacity will be provisioned upon request and is subject to availability. New Open Systems Managed Servers also require a minimum system partition of 50 gigabytes (GB) of storage to be used exclusively for the operating system. Additional data/applications storage will be provisioned at Customer request, subject to availability. The additional storage, assigned a different drive designation, will be the storage location for customer data and applications. Wherever possible, system disks will be maintained such that 20% of total storage is available. Customers with legacy direct attached storage which are not part of the Service Provider's Storage Service is considered a Direct Service.

Open Systems Managed Server requires the Data Protection Service to meet service availability requirements. Server restoration time will be excluded from the Managed Server performance metrics where backup exception requests have been granted and are related to the outage.

Open Systems Managed Server

Open Systems Managed Server includes:

1. OS installation and configuration.
2. Server operating system license.
3. OS services management including, but not limited to, creation of user accounts and groups, disk management, and network stack configuration.
4. Server patch management - Regular deployment of operating system patches as provided by the operating system vendors. The Open Systems Managed Server offering does not include patch services for other customer-installed applications and software.
5. Server health and availability monitoring - Managed Servers are monitored 24x7x365 and include DST incident notification and response. Standard monitored metrics include CPU, RAM, and disk space usage along with network response time, latency and availability. Additional advanced monitoring is available upon request and as a Direct Service.
6. Security vulnerability scanning and remediation efforts – Additional security settings above and beyond the standard template can be set at customer request. Remediation efforts resulting from customer-managed audits must be explicitly requested by the customer.
7. Malware protection - Installation, tuning, and on-going administration of malware protection software. All malware protection software policy settings and exclusions, as well as threat intelligence, are administered and approved by DST Security.
8. Remote host security log shipping – Security logs are stored separately from the generating system for a minimum of 30 days.
9. Virtual machine snapshots (available upon request) which are retained for a maximum of 5 business days. For longer term needs, clones are available.
10. Clustering solutions are available upon request and can provide application uptime greater than 99.5%.
11. Delegated access per the SLA. Open Systems Rights Assignment document available upon request.

To perform the functions described above, DST installs and manages additional agents on each Open Systems Managed Server. These agents consume CPU, RAM, and disk space, but are required to provide a fully documented, secure, and available system that meets common security, audit, and industry best practices. This resource usage is taken into consideration when setting Open Systems Capacity Unit minimums.

An Open Systems Managed Server requires the Data Protection Service to meet service availability requirements. Server restoration time will be excluded from the Managed Server performance metrics where backup exception requests have been granted and are related to the outage.

Unless an exception has been granted, newly provisioned servers will be provisioned as virtual machines in the Service Provider's highly available (HA) virtual infrastructure.

Maintenance and Support Windows

Open Systems Services support windows are outlined in the tables below.

| Maintenance and Support Windows | | |
|--|---|---|
| Standard Times | Time of Occurrence | Description of Maintenance Activities to be Performed |
| Normal Business Hours/ Window | Monday through Friday 7:00 AM – 6:00 PM (ET) | Open Systems technicians are scheduled during this time to fulfill service requests and troubleshoot incidents. Priority 3 and 4 issues will be worked within this window. Priority 1 and 2 issues are also worked during this window and are continuously worked until resolved. Changes may be executed during this time, following the Service Provider's change and release management processes. |
| Standard Maintenance Window | Monday - Friday 6:00 PM – Midnight (ET) | Normal maintenance, changes, and system enhancements will be performed during this time. |

| Maintenance and Support Windows | | |
|---------------------------------|--|--|
| Standard Times | Time of Occurrence | Description of Maintenance Activities to be Performed |
| Direct Services Window | Monday - Friday 6:00 PM - 7:00 AM (ET) Saturday, Sunday, and State Holidays: All day | Service or change requests initiated by the Customer during this window will be considered a Direct Service. |

Roles and Responsibilities

General roles and responsibilities for this service are defined in the following RACI responsibility matrix below.

1. **Responsible (R)** - Those who do the work to achieve the task. There is typically one role with a participation type of responsible, although others can be delegated to assist in the work required.
2. **Accountable (A)** - (also approver or final approving authority) - The one ultimately answerable for the correct and thorough completion of the deliverable or task, and the one from whom responsible is delegated the work. In other words, an accountable must sign off (approve) on work that responsible provides. There **must** be only one accountable specified for each task or deliverable.
3. **Consulted (C)** - (sometimes counsel) - Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication. Consultation prior to event/decision typically done through change management.
4. **Informed (I)** - Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

| Open Systems Services Functions | | Customer | | Service Provider | |
|---------------------------------|--|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 1 | Install, provision, maintain, troubleshoot, protect, and retire server instances. | C | I | R | A |
| 2 | License the server OS. | C | I | R | A |
| 3 | Reboot servers when required. | C | I | R | A |
| 4 | Restart native operating system services. | C | I | R | A |
| 5 | Restart application-specific services not provided by the Service Provider as an enterprise service. (Runs with elevated privileges) ³ | C | I | R | A |
| 6 | Restart application-specific services not provided by the Service Provider as an enterprise service. (Runs without elevated privileges) ¹ | R | A | C | I |
| 7 | License, install, maintain, and troubleshoot server anti-malware products. | | | R | A |
| 8 | License, maintain and troubleshoot applications not provided by the Service Provider as an enterprise service. ¹ | R | A | C | I |
| 9 | Patch/update application code not provided by the Service Provider as an enterprise service. (Runs with elevated privileges) ³ | C | I | R | A |
| 10 | Patch/update application code not provided by the Service Provider as an enterprise service. (Runs without elevated privileges) ¹ | R | A | C | I |
| 11 | Installation of applications not provided by the Service Provider as an enterprise service. (Runs with elevated privileges) ¹ | C | I | R | A |

| Open Systems Services Functions | | Customer | | Service Provider | |
|---------------------------------|---|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 12 | Installation of applications not provided by the Service Provider as an enterprise service. (Runs without elevated privileges) ¹ | R | A | C | I |
| 13 | Plan and coordinate continuity of operations plans for critical customer-specific servers. ³ | C | I | R | A |
| 14 | Plan and coordinate continuity of operations plans for critical customer-specific applications. | R | A | C | I |
| 15 | Manage and update application code and web content. (Runs with elevated privileges) ³ | C | I | R | A |
| 16 | Manage and update application code and web content. (Runs without elevated privileges) ¹ | R | A | C | I |
| 17 | Monitor key application services for health and availability 24x7x365. | R | A | C | I |
| 18 | Monitor system services for health and availability 24x7x365. | C | I | R | A |
| 19 | Plan for and request capacity to fulfill customer initiatives and growth. | R | A | C | I |
| 20 | Acquire capacity required to fulfill customer initiatives and growth. ² | C | I | R | A |
| 21 | Rightsize virtual machine memory and processor allocations to ensure efficient use of State compute resources. | C | I | R | A |
| 22 | Perform application testing/validation following changes performed by the SDC. | R | A | C | I |

| Open Systems Services Functions | | Customer | | Service Provider | |
|---------------------------------|---|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 23 | Recognize, mitigate and potentially accept risks associated with maintaining deprecated/EOSL operating systems, software, and hardware. | R | A | C | I |

- 1) May require custom scripts and controlled access methods.
- 2) Dependent on funding, availability and customer notice.
- 3) Will be considered a Direct Service.

STORAGE SERVICES

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|------------------------------------|--------------------------|---------------------|---|---|---|
| Block-Based Storage Service | Allocated Gigabyte/Month | % of Service Use | <p>Storage will be available 99.9% of the scheduled availability in a monthly period.</p> <p>Actual scheduled availability (minutes) minus reported downtime (minutes) divided by scheduled availability (minutes).</p> | Routine storage expansions can be delivered same business day; storage expansions that involve new infrastructure can take up to three business days (following approval of service order and independent of other services). | <p>Provides high-performance physical or virtual volumes accessed via a SAN using a protocol such as Internet Small Computer System Interface (iSCSI), Fibre Channel (FC) or Fiber Channel over Ethernet (FCoE) in a non-mainframe environment. Includes the Service Provider's multi-path management software licenses, standard maintenance on storage arrays and SAN infrastructure devices, 24x7 availability and performance monitoring, and security management for storage components.</p> <p>Data protection (backup) services are required and covered under separate offerings.</p> <p>DST storage can be provisioned at DST-managed data centers, third party co-location hosting facilities, or with cloud providers. Service details may vary depending on location, provider and/or services requested.</p> |
| Object-Based | Allocated Gigabyte/Month | % of Service Use | Storage will be available 99.5% of the scheduled | 2 business days (following approval of service order and independent of other services). | Provides storage via Common Internet File System (CIFS), network file system (NFS), and other protocols for distributed unstructured data and |

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|-------------------------------|---------------|---------------------|--|--|--|
| <p>Storage Service</p> | | | <p>availability in a monthly period.</p> <p>Actual scheduled availability (minutes) minus reported downtime (minutes) divided by scheduled availability (minutes).</p> | <p>For existing Object-based Storage Service customers, additional storage does not need to be provisioned. For new customers of the service, a number of configuration pre-requisites must be performed by both DST and the customer before services can be delivered. Depending on the technical complexity and other factors (e.g., change control), these pre-requisites may take up to two weeks to deploy.</p> | <p>includes the Service Provider’s standard component maintenance, 24x7 monitoring, file-level auditing, self-service restores, and security management for storage components.</p> <p>Data protection (backup) services are included in this offering via native snapshot technology. The Service Provider will plan, schedule, and implement standard snapshot processes. The retention period for snapshot data is 6 weeks for daily snapshots. All snapshots are replicated off-site to a secured facility, using encrypted data replication. Restoration for file-level recovery within the 6-week retention timeframe is self-serviced by end users through the native, client-side recovery dialog boxes (i.e., “Previous Versions Client”). Recovery services of data up to 18 months, are available via Service Request.</p> <p>Data archival beyond the standard retention is available through the Data Archival Service.</p> |

Service Level Commitment

The Service Provider is committed to meeting a minimum uptime of 99.9% for the Storage Services.

Note: Interdependencies on other services may affect a specific service's performance metrics.

Block-Based Storage Service

The Block-Based Storage Service has been architected to provide the most powerful, flexible, and highly available storage solution. It provides efficiency by utilizing:

- Storage virtualization
- Modular design
- Array optimization
- Auto-tiering of data between Solid-State Disk (SSD), performance (SAS), and capacity (Near-line SAS) drives
- Flexible I/O modules which support Fiber Channel (FC), Fiber Channel over Ethernet (FCoE), and internet Small Computer System Interface (iSCSI)

Enterprise storage is provided via a SAN using either FC or iSCSI-based disks with Redundant Array of Independent Disks (RAID) protection provisioned within the enterprise storage infrastructure to provide high availability.

The Service Provider has simplified the deployment and billing of the storage environment through the use of storage virtualization and auto-tiering. The auto-tier feature allows a single Logical Unit Number (LUN) to leverage the advantages of SSD, Serial Attached SCSI (SAS), and Near-line SAS drives simultaneously. The array collects activity statistics at a sub-LUN level to determine which components should be promoted to faster tiers of storage.

The Storage Service requires the Data Protection Service to ensure recoverability due to hardware, system, or data integrity failure. Additional information can be found in the Data Protection Service description.

Object-Based Storage Service

The Object-Based Storage Service provides storage via Ethernet connectivity (typically using either CIFS or NFS protocols). This storage is best used for distributed/unstructured data sets such as static web content, data backups, archival images, user shares, and multi-media files (videos, pictures, or music).

One important difference between block and object systems is that in object-based storage systems, the objects are not stored in a file-folder hierarchy (though they are viewed and retrievable in a file-folder hierarchy). Objects are allocated and stored with metadata associated directly with each data object and are actual storage objects that are understood, managed and secured at the device level.

Primary benefits of the Object-Based Storage Service:

- Simultaneous multi-protocol (HDFS, S3, Swift, WebHDFS, REST API, etc.) access support – to aid in the support of cloud-ready application development
- Cloud integration to third-party storage providers via file-level metadata attributes
- Data at-rest Encryption (DARE)
- Granular file-level access auditing
- End user access to data restoration via self-service, client-side recovery dialog boxes
- Fully mountable, replicated snapshots speed disaster recovery

Object-based Storage billing is based on storage consumed at the primary site.

Note: Customers are cautioned that the snapshot technology used in the Object-based Service should not be used as an alternative to, or a substitute for, proper records archiving pursuant to section 257.36, Florida Statutes. The snapshot technology native to this service is intended to assist only in recovery from infrastructure failures or human errors. Because snapshots utilize a point-in-time technology, it is not possible to guarantee that records have not been altered or destroyed in the time between snapshots. Accordingly, the Service Provider cannot guarantee compliance with applicable records retention requirements of the Department of State's Division of Library and Information Services. Public records may be disposed of only in accordance with the Division's records retention schedules.

Media Disposal

For media that has failed or is removed from service, the Service Provider will properly dispose of the media. The Service Provider will maintain appropriate documentation in conformance with approved media disposal procedures.

Functioning media being decommissioned and not disposed of, shall conform to Rule Chapter 60GG-2.001, F.A.C., the Florida Cybersecurity Standards, disk sanitation requirements.

Note: The Customer is responsible for managing data on non-OS partitions/drives/volumes and should act on storage alerts as they are received. In critical situations where the Service Provider's service availability is jeopardized, the Service Provider may add additional capacity to non-OS partitions.

Maintenance and Support Windows

Storage Services support windows are outlined in the tables below.

| Maintenance and Support Windows | | |
|--|---|---|
| Windows | Time of Occurrence | Description of Activities to be Performed |
| Normal Business Hours/ Window | Monday through Friday 7:00 AM – 6:00 PM (ET) | Storage technicians are scheduled during this time to fulfill service requests and troubleshoot incidents. Priority 3 and 4 issues will be worked within this window. Priority 1 and 2 issues are also worked during this window and are continuously worked until resolved. Changes may be executed during this time following the Service Provider's change and release management processes. |
| Standard Maintenance Window | Monday - Friday 6:00 PM – Midnight (ET) | Normal maintenance, changes and system enhancements will be performed during this time. |
| Direct Services Window | Monday - Friday 6:00 PM - 7:00 AM (ET) | Service or change requests initiated by the Customer during this window will be considered a Direct Service. |

| Maintenance and Support Windows | | |
|---------------------------------|--|---|
| Windows | Time of Occurrence | Description of Activities to be Performed |
| | Saturday, Sunday and State Holidays: All day | |

Roles and Responsibilities

General roles and responsibilities for this service are defined in the following RACI responsibility matrix below.

1. **Responsible (R)** - Those who do the work to achieve the task. There is typically one role with a participation type of responsible, although others can be delegated to assist in the work required.
2. **Accountable (A)** - (also approver or final approving authority) - The one ultimately answerable for the correct and thorough completion of the deliverable or task, and the one from whom responsible is delegated the work. In other words, an accountable must sign off (approve) on work that responsible provides. There **must** be only one accountable specified for each task or deliverable.
3. **Consulted (C)** - (sometimes counsel) - Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication. Consultation prior to event/decision typically done through change management.
4. **Informed (I)** - Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

| Storage Services Functions | | Customer | | Service Provider | |
|----------------------------|---|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 1 | Inform Customer of incident and change requests. | I | | R | A |
| 2 | Purchase, install, manage, maintain, and troubleshoot back-end storage systems. | | | R | A |

| Storage Services Functions | | Customer | | Service Provider | |
|----------------------------|---|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 3 | Create, edit, and delete zones within the storage area network infrastructure. | | I | R | A |
| 4 | Acquire and plan for storage capacity to fulfill Customer requests. | I | A | R | C |
| 5 | Monitor storage infrastructure 24x7x365. | I | | R | A |
| 6 | Provide capacity plan to the Service Provider bi-annually per Florida Statutes. | R | A | C | I |
| 7 | Manage data on non-OS partitions/drives/volumes and act on storage alerts as they are received from the Service Provider. | R | A | C | I |
| 8 | Monitor services 24 hours a day x 7 days a week. | C | I | R | A |
| 9 | Purchase, install, manage, maintain, and troubleshoot back-end storage systems. | | | R | A |
| 10 | Acquire and plan for object-based storage capacity to fulfill Customer requests. | I | A | R | C |
| 11 | Monitor object-based storage infrastructure 24x7x365. | I | | R | A |
| 12 | Manage data on non-OS partitions/drives/volumes and act on storage alerts as they are received from the Service Provider. | R | A | C | I |

| Storage Services Functions | | Customer | | Service Provider | |
|----------------------------|--|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 13 | Provide encrypted offsite replication for protected data sets. | C | I | R | A |
| 14 | Discuss long-term data retention strategies with the Service Provider prior to implementation of any product, solution, or service to ensure strategic alignment, technical compatibility, and cost effectiveness. | | RA | C | I |
| 15 | Recognize, mitigate and potentially accept risks associated with maintaining deprecated/EOSL operating systems, software, and hardware. | R | A | C | I |

WINDOWS SERVICES

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|-------------------------------|--------------------------------|---------------------|---|---|--|
| Windows Capacity Unit | Capacity Units (CU)/Month | % of Service Use | This service was born out of a need for cost allocation and is not a measurable service. | 3 business days (Adding or removing capacity units may require a server reboot. Delivery time for these changes will be dependent on an available maintenance window for the server.) | Provides processing capacity as required to support the associated Windows Managed Server Service. Capacity Units are sold in quantities of memory and processing power, specifically gigabytes of RAM and GHz of CPU. Minimums apply. Customers requiring dedicated physical hardware must provide justification and, if approved, will be billed for all the compute resources present within the server. In these situations, delivery times may be impacted. |
| Windows Managed Server | Window Server Units (SU)/Month | % of Service Use | Windows Managed Server will be available 99.5% of the scheduled availability in a monthly period (the number of minutes in a month minus planned downtime). | 10 business days* (following approval of service order and independent of other services). | Provides management of a Windows-based server OS instance, and includes OS licenses and support, OS configuration and tuning, OS patch management in standard maintenance window, 24x7 availability and performance monitoring, security management, and anti-malware protection. DST managed servers can be provisioned at DST-managed data centers, third party co-location hosting facilities, or with cloud providers. Service details may vary depending on location, provider and/or services requested. Capacity Unit, Storage, Data Protection (backup), |

| Service Name | Billable Unit | Billing Methodology | Service Targets | Estimated Delivery Time | Service Description |
|--------------|---------------|---------------------|--|-------------------------|---|
| | | | Actual scheduled availability (minutes) minus reported downtime (minutes) divided by scheduled availability (minutes). Microsoft Clustering solutions are available upon request and can provide application uptime greater than 99.5%. | | and Network Unit services are required and covered under separate offerings. The Service Provider is responsible for ensuring the overall health and availability of the server hardware, operating system and basic network connectivity. Application-layer management responsibility is maintained by the Customer with optional Service Provider support. |

* This includes both simple and complex builds with or without OS or database high-availability (HA) features. Simple builds are typically delivered in less than 5 days. Customer-requested applications that are not part of the native OS roles and features are not included in the build process delivery time. Infrastructure dependencies outside of the full control of DST may adversely affect delivery time. These dependencies include but are not limited to customer firewalls, customer network routing, IP address management, and customer Active Directory domain access. Additionally, unless an exception is filed and granted, a server cannot be delivered without anti-malware protection, data protection services, or the DST system management tool(s) installed.

Service Level Commitment

The Service Provider is committed to meeting a minimum uptime of 99.5% for Windows Managed Server. Reports are provided via the self-service portal.

Note: Interdependencies on other services may affect a specific service’s performance metrics.

Windows Capacity Unit

Windows Capacity Unit is defined as each 1024 MB of RAM and each 1000 MHz of processor pool resources allocated to the OS. Customers of physical servers will be charged for all RAM and all processor MHz for all cores available to the OS.

Eleven (11) Windows Capacity Units (5 CU processing and 6 CU RAM) are required to minimally provision a new managed server under this model. Additional capacity will be provisioned upon request and is subject to availability. New Windows Managed Servers also require a minimum system partition of 80 GB of storage to be used exclusively for the operating system. Additional data/applications storage will be provisioned at Customer request, subject to availability. The additional storage, assigned a different drive designation, will be the storage location for customer data and applications. Wherever possible, system disks will be maintained such that 20% of total storage is available. System disks may be minimally expanded by DST when required to avoid downtime or disruption in service. Management of legacy, direct-attached storage not part of the Service Provider's Storage Service is considered a Direct Service.

Windows Managed Server

Windows Managed Server includes:

1. Operating system installation, configuration, and licensing.
2. Operating system services management including, installation of roles and features, disk management, and network stack configuration. Other tasks such as software installation assistance, migration planning, and IIS configuration assistance are also available.
3. Server patch management - Regular deployment of Microsoft OS patches including Service Packs and all MS*-* security bulletin patches for the Service Provider's provided services. Microsoft security bulletins (e.g., MS16-001) are released and deployed on a monthly basis. The Windows Managed Server Service offering does not include patch services for other customer-installed Microsoft enterprise products such as SharePoint, SCCM, SCOM, Lync/Skype, and Exchange. Also excluded from routine patch operations are customer-installed third-party software such as Adobe Acrobat, Flash, ColdFusion, Java, or any other off-the-shelf products.
4. Server health and availability monitoring - Managed Servers are monitored 24x7x365 and include DST incident notification and response. Standard monitored metrics include CPU, RAM, and disk space usage along with network response time, latency and availability. Additional advanced monitoring is available upon request and as a Direct Service.
5. Security vulnerability scanning and remediation efforts – Additional security settings above and beyond the standard template can be set at customer request. Remediation efforts resulting from customer-managed audits must be explicitly requested by the customer.
6. Malware protection - All malware protection software policy settings and exclusions, as well as threat intelligence, are administered and approved by DST Security. Includes installation, tuning, and on-going administration of malware protection software.

7. Remote host security log shipping – Security logs are stored separately from the generating system for a minimum of 30 days.
8. Virtual machine snapshots - Virtual Machine snapshots are available upon request and are retained for a maximum of 5 business days. For longer term needs, clones and/or backups are available to provide point-in-time fallback.
9. Privileged Access - Delegated privileged access is granted per the SLA and statutory requirements. Windows Rights Assignment document available upon request. Wherever possible, Centrify shall be used to provide and monitor privileged access.

To perform the functions described above, DST installs and manages additional agents on each Windows Managed Server. These agents consume CPU, RAM, and disk space, but are required to provide a fully documented, secure, and available system that meets common security, audit, and industry best practices. This resource usage is taken into consideration when setting Windows Capacity Unit minimums.

Note: Unless an exception has been granted, newly provisioned servers will be provisioned as virtual machines in the Service Provider's highly available (HA) virtual infrastructure.

A Windows Managed Server requires the Data Protection Service to meet service availability requirements. Server restoration time will be excluded from the Managed Server performance metrics where backup exception requests have been granted and are related to the outage.

Deprecated and/or end of life hardware and software no longer receive security patches and lack the latest security improvements and features required to meet common compliance measures and security best practice. As major hardware and software providers drop support for legacy products, so do the satellite vendors providing software and services used to manage, monitor, and backup those products. For example, many backup product providers offer only 'best effort' support when targeting deprecated operating system versions; some product providers offer no support at all. For the latest support and compatibility matrix, please contact your DST Business Relationship Manager.

Maintenance and Support Windows

Windows Services support windows are outlined in the tables below.

| Maintenance and Support Windows | | |
|---------------------------------|--|--|
| Windows | Times | Description |
| Normal Business Hours | Monday through Friday 7:00 AM – 6:00 PM (ET) | Windows technicians are scheduled during this time to fulfill service requests and troubleshoot incidents. Priority 3 and 4 issues will be worked within this window. Priority 1 and 2 issues are also worked during this window and are worked continuously until resolved. Changes may be executed during this time, following the Service Provider's change and release management processes. |
| Extended Business Hours | Monday through Friday 6:00 PM – Midnight (ET) | Windows technicians are available during this time to fulfill <i>scheduled</i> service requests and troubleshoot incidents as they arise. |
| Standard Maintenance Hours | Monday through Friday 6:00 PM – 1:00 AM (ET) | This is the default window for maintenance to the Service Provider's services and infrastructure. Normal maintenance, changes, and system enhancements will be performed during this time following DST |

| Maintenance and Support Windows | | |
|---------------------------------|---|--|
| Windows | Times | Description |
| | | Change Management procedures. This is the regularly scheduled patch window for Windows servers. Patching outside of this window will be considered a Direct Service. |
| Direct Services Hours | Monday through Friday 1:00 AM - 7:00 AM (ET) Saturday, Sunday, and State Holidays – All Day | Service requests fulfilled during this window will be considered a Direct Service. |
| On-call Hours | Monday through Friday 1:00 AM to 7:00 AM (ET) All day Saturday and Sunday | On-call technicians are available during this time to help resolve server down or imminent failure incidents as they arise. |

Roles and Responsibilities

General roles and responsibilities for this service are defined in the RACI responsibility matrix below.

1. **Responsible (R)** - Those who do the work to achieve the task. There is typically one role with a participation type of responsible, although others can be delegated to assist in the work required.
2. **Accountable (A)** - (also approver or final approving authority) - The one ultimately answerable for the correct and thorough completion of the deliverable or task and the one from whom responsible is delegated the work. In other words, an accountable must sign off (approve) on work that responsible provides. There **must** be only one accountable specified for each task or deliverable.
3. **Consulted (C)** - (sometimes counsel) - Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication. Consultation prior to event/decision typically done through change management.

4. **Informed (I)** - Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

| Windows Services Functions | | Customer | | Service Provider | |
|----------------------------|---|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 1 | Ensures the overall health and availability of the server hardware, operating system and basic network connectivity. | I | I | R | A |
| 2 | Develop, deploy, and maintain Customer application code; Comply with Rule Chapter 74-2, FL Administrative Code, if applicable, with respect to Customer application security and logical separation of development, test and production services. | R | A | C | I |
| 3 | Application development and deployment in the development environment. | R | A | C | I |
| 4 | Application deployment in the test and production environments. | R | A | C | I |
| 5 | Manage Customer Active Directory, including account adds/modify/deletes. | R | A | C | I |
| 6 | Manage the Service Provider's Active Directory, including account adds/modify/deletes. (Customer resource forest) | C | I | R | A |
| 7 | Manage Customer application. | R | A | C | I |

| Windows Services Functions | | Customer | | Service Provider | |
|----------------------------|--|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 8 | Manage group policy within Customer Active Directory, with the exception of those settings which modify security, audit or patch behavior of those servers at the Service Provider's facility. | R | A | C | I |
| 9 | Manage group policy within the DST Customer Resource Forest. | C | I | R | A |
| 10 | Manage customer internal DHCP, WINS and DNS namespace(s). | R | A | C | I |
| 11 | Manage DST Customer Resource Forest DNS namespace. | C | I | R | A |
| 12 | Perform testing following changes performed by the SDC. | R | A | C | I |
| 13 | Purchase, maintain, manage, and report application licenses. | R | A | C | I |
| 14 | Restart application-specific services, not provided by the Service Provider as an enterprise service. | R | A | C | I |
| 15 | Notify the Service Provider's Service Desk of all service issues and requests. | R | A | C | I |
| 16 | Plan and coordinate continuity of operations plans for critical Customer-specific servers and applications. | R | A | C | I |
| 17 | Plan for and acquire capacity to fulfill Customer requests. | C | I | R | A |
| 18 | Rightsize virtual machine memory and processor allocations to ensure efficient use of State compute resources. | C | I | R | A |

| Windows Services Functions | | Customer | | Service Provider | |
|----------------------------|---|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 19 | Provide capacity plan to the Service Provider bi-annually per Florida Statutes. | R | A | C | I |
| 20 | Provide server anti-malware management and maintenance. | C | I | R | A |
| 21 | Provide server availability and monitoring. | C | I | R | A |
| 22 | Provide server connectivity to WAN. | C | I | R | A |
| 23 | Provide server installation and operating system configuration. | C | I | R | A |
| 24 | Maintain server/service security; comply with Rule Chapter 74-2, FL Administrative Code, with respect to server, network and service security. | C | I | R | A |
| 25 | Provide server management and administration. | C | I | R | A |
| 26 | Monitor server availability 24x7x365 on an on-going basis, with alerts sent to support staff when service interruptions or degradations are detected. | C | I | R | A |
| 27 | Manage server operating system license purchase and maintenance. | C | I | R | A |
| 28 | Perform server patch management and maintenance. | C | I | R | A |
| 29 | Reboot servers when required. | C | I | R | A |
| 30 | Restart native operating system services. | C | I | R | A |

| Windows Services Functions | | Customer | | Service Provider | |
|----------------------------|---|----------|-----|------------------|-----|
| | | Tech | Mgt | Tech | Mgt |
| 31 | Patch all MS*-* security patches supplied by Microsoft with the exception of patches related to non-operating system software such as SharePoint, Exchange, Lync/Skype, SCOM, and SCCM. | C | I | R | A |
| 32 | Patch all MS*-* security patches supplied by Microsoft for non-operating system software such as SharePoint, Exchange, Lync/Skype, SCOM, and SCCM. | R | A | C | I |
| 33 | Patch all third-party software such as Adobe Acrobat, Flash, ColdFusion, Java, or any other common, off-the-shelf products. | R | A | C | I |
| 34 | Utilize the Service Provider's Change, Incident, Release, Problem and Configuration Management Processes. | C | I | R | A |
| 35 | Accepting risks associated with maintaining deprecated/EOSL operating systems. | R | A | C | I |
| 36 | Provide Client Access Licenses (CALs) for Windows and SQL access. | R | A | C | I |
| 37 | Inform Customer of incident and change requests. | I | | R | A |
| 38 | Recognize, mitigate and potentially accept risks associated with maintaining deprecated/EOSL operating systems, software, and hardware. | R | A | C | I |

DIRECT SERVICE OFFERINGS

| Offering Name | Offering Description |
|--|--|
| <p>Disaster Recovery Offering</p> | <p>Provides a comprehensive and structured approach for managing, maintaining, and enhancing business-critical disaster recovery capabilities located at least 150 miles from Tallahassee. This offering builds on other appropriate SDC managed services (server, database, storage, network, etc.) and leverages capacity available through the SDC or Infrastructure as a Service (IaaS) and Disaster Recovery as a Service (DRaaS) from third-party contractors. The standard RTO is 24 hours, and the standard RPO is 2 hours for replicated solutions within the offering. Customized RTOs and RPOs can be provided; RTOs and RPOs for physical assets or tape-based restorations may be greater than the standard offering. This Direct Service offering is available for an additional fee for each of the SDC managed compute services (Mainframe, UNIX/Linux, and Windows). The cost components for this offering are comprised of replication circuits, IaaS, and other cloud service provider components necessary to provide service. Customers must provision a private VRF circuit with sufficient bandwidth for protected resources at the disaster recovery site. Agency-specific direct costs may also be applicable. While the State Data Center will maintain runbooks to document the necessary activities to return the underlying DST-managed infrastructure and customer-identified configuration items to service in a DR situation, agencies are responsible for creating and maintaining their own disaster recovery plans. Any changes required at the application or logical database layers are the responsibility of the customer. These include, but are not limited to, application code changes, DNS updates, or license modifications. Customers will receive a monthly automated email that requests review, acknowledgement, and update of DR Protected Configuration Items (including applications, databases, mainframe LPAR, network load balancers, and servers).</p> |
| <p>Security Training</p> | <p>Provides instructional content focused on the technical competencies, tools, and supporting processes required to identify security needs in government information technology resources, protect systems from potential security incidents, detect malicious activities, respond to incidents, and manage incident recovery activities. The target audience for this security training is information security technicians and managers employed by State of Florida agencies, data center customers, and local government entities.</p> |

CLOUD-BASED CUSTOM SUPPORT OFFERINGS

All Custom Support Offerings are billed at a flat rate of \$100/hour. If additional licenses are required to provide any service, Customers will be responsible for providing those additional licenses.

| Offering Name | Offering Description |
|---|--|
| Application Readiness Assessment for the Cloud | This offering provides assistance with Customer workload right sizing, fit-for-purpose assessments, application dependency mapping, software architecture, cost benefit analysis, capacity planning, fallback planning, and assessment of quality and resiliency requirements. |
| Design and Architectural Reviews | This offering provides assistance with best practices for efficient, cost-effective design of cloud services, as well as post-implementation review and remediation of existing cloud deployments. |
| Transition and Migration Services Offering | This offering provides cloud product guidance and recommendations, technical planning, project management, and migration/cutover assistance. |
| Routing and Traffic Management Offering | This offering provides assessment, configuration, and troubleshooting of Customer software-defined networking, routing, IP subnetting, and all connectivity to and from cloud services. Load balancer configuration and troubleshooting is also a part of this offering. |

| Offering Name | Offering Description |
|---|---|
| Firewall Management Offering | This offering includes firewall object and rule review, security policies, configuration of network/firewall policies based on application-specific requirements, best practice recommendations, deployment, rule placement, and troubleshooting, as well as third party and host-based firewall implementation. |
| Operation and Maintenance Services | This offering provides one-time or ongoing daily operational management of cloud-based workload. Services may include patch assessment and patch management implementation; backup configuration and testing; endpoint protection; validation and assurance reporting; system and utilization monitoring and alerting; and cost alerting. As appropriate, these offerings include planning, scheduling, change control, and deployment of cloud-based resources using cloud-native or standard deployment tools. License fees may apply and, if so, must be provided by the Customer. |

**SERVICE LEVEL AGREEMENT
ATTACHMENT B
CUSTOMER-SPECIFIC REQUIREMENTS / DIRECT SERVICES**

GENERAL INFORMATION:

| | | | |
|------------------------------|-------------------------------------|----------------------------|---------------|
| CUSTOMER NAME: | FLORIDA DEPARTMENT OF ELDER AFFAIRS | | |
| AGREEMENT START DATE: | JULY 1, 2020 | AGREEMENT END DATE: | JUNE 30, 2023 |

I. CUSTOMER-SPECIFIC REQUIREMENTS / DIRECT SERVICES

As applicable, listed in **Table A** are Customer-specific scope of service, standards, service level commitments, deliverables and roles and responsibilities requirements, as they differ from those detailed in the Service Provider's Service Catalog:

Table A

| | STATE DATA CENTER SERVICE | CUSTOMER-SPECIFIC REQUIREMENTS / DIRECT SERVICES |
|-----------|---|--|
| A. | BACKUP AND RECOVERY PLATFORM | |
| 1. | Data Protection Service | |
| 2. | Data Archival Service | |
| 3. | Service Level Commitment | |
| 4. | Maintenance and Support Windows | |
| 5. | RACI | |
| 6. | OTHER | |
| B. | CLOUD SERVICES | |
| 1. | Enterprise Vault (EV) Cloud Service | |
| 2. | Azure (Microsoft Compute) Cloud Service | |
| 3. | Service Level Commitment | |
| 4. | Maintenance and Support Windows | |
| 5. | RACI | |
| 6. | OTHER | |
| C. | DATABASE PLATFORM | |
| 1. | Oracle Services | |
| 2. | Oracle Storage Service | |
| 3. | DB2 For LUW (UDB) Services | |
| 4. | SQL Managed Instance | |
| 5. | SQL Capacity Unit | |
| 6. | Service Level Commitment | |
| 7. | Maintenance and Support Windows | |
| 8. | RACI | |
| 9. | OTHER | |
| D. | DATA CENTER FACILITY AND OPERATIONS | |
| 1. | Additional Electrical Circuit (Co-location service) | |
| 2. | Floor Tiles (Co-location service) | |
| 3. | Rack Mounts (Co-location service) | |
| 4. | Scheduling Services | |
| 5. | Service Level Commitments | |
| 6. | Service Availability | |

| | STATE DATA CENTER SERVICE | CUSTOMER-SPECIFIC REQUIREMENTS / DIRECT SERVICES |
|-----------|----------------------------------|--|
| 7. | RACI | |
| 8. | OTHER | |
| E. | MAINFRAME PLATFORM | |
| 1. | z/OS Processing | |
| 2. | Backup/Virtual Tape Storage | |
| 3. | CICS Processing | |
| 4. | DB2 Processing | |
| 5. | DCF DB2 Processing | |
| 6. | DCF IMS Processing | |
| 7. | DCF Storage | |
| 8. | DCF z/OS Processing | |
| 9. | Mainframe Storage | |
| 10. | Service Level Commitment | |
| 11. | Maintenance and Support Windows | |
| 12. | RACI | |
| 13. | OTHER | |
| F. | MANAGED APPLICATIONS | |
| 1. | Citrix | |
| 2. | Hosted Messaging Archive Service | |
| 3. | Service Level Commitment | |
| 4. | Maintenance and Support Windows | |
| 5. | RACI | |
| 6. | OTHER | |
| G. | NETWORK PLATFORM | |
| 1. | Load Balancing and Proxy | |
| 2. | Network Unit | |
| 3. | Service Level Commitment | |
| 4. | Maintenance and Support Windows | |
| 5. | RACI | |
| 6. | OTHER | |
| H. | OPEN SYSTEMS PLATFORM | |
| 1. | EDI Translation | |
| 2. | Web/App/File Transfer Services | |
| 3. | Linux/UNIX Capacity Unit | |
| 4. | Linux/UNIX Managed Server | |
| 5. | Service Level Commitment | |
| 6. | Maintenance and Support Windows | |
| 7. | RACI | |
| 8. | OTHER | |
| I. | STORAGE PLATFORM | |
| 1. | Block-Based Storage Service | |
| 2. | Service Level Commitment | |
| 3. | Maintenance and Support Windows | |
| 4. | RACI | |
| 5. | OTHER | |
| J. | WINDOWS PLATFORM | |
| 1. | Windows Capacity Unit | |
| 2. | Windows Managed Server | |
| 3. | Object-Based Storage Service | |

| | STATE DATA CENTER SERVICE | CUSTOMER-SPECIFIC REQUIREMENTS / DIRECT SERVICES |
|----|---------------------------------|--|
| 4. | Service Level Commitment | |
| 5. | Maintenance and Support Windows | |
| 6. | RACI | |
| 7. | OTHER | |

II. STATE/FEDERAL GUIDELINE REQUIREMENTS (HIPAA, CJIS, FERPA, etc.):

See DOEA HIPAA Business Associate Agreement 2014.pdf (Attached).

III. SIGNATURES

The Parties hereby agree that the Service Provider will provide State Data Center services as specified in this Agreement.

DEPARTMENT OF MANAGEMENT SERVICES

FL DEPARTMENT OF ELDER AFFAIRS

Name: Drew Richardson

Name: RICHARD PRUDOM

Signature: _____

Signature: 

Title: Deputy State Chief Information Officer

Title: SECRETARY

Date: _____

Date: 6/29/20

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SERVICE LEVEL AGREEMENT
2020-2023 SLA ATTACHMENT C: CUSTOMER COSTS
DOEA

Disclaimer: Currently, the reports do not reflect cost savings associated with resource sharing - the estimated costs are higher than actual costs because they show each application as using 100% of a related server's costs. Servers shared amongst multiple applications will appear multiple times in the report, inflating total cost. DST is in the process of building functionality that will allow customers to enter a percentage of use for each CI linked to an application.

Attachment C does not reflect actual agency spending, and appropriations are not the sum of application costs represented here . By signing the SLA, the customer is not agreeing to pay the costs as presented.

| Analytics | | | | |
|--------------------------|-------------------|------------|--------------------------|-------------------|
| SV_DESC | Billing Line Item | Related CI | Utilization | Annual Cost |
| Data Protection Services | ADHOC | adhoc | 808 | \$39342.49 |
| | | | Service Total: | \$39342.49 |
| | | | ApplicationTotal: | \$39342.49 |

| ast-uddb001-node0 | | | | |
|-------------------|-------------------|------------|--------------------------|-------------------|
| SV_DESC | Billing Line Item | Related CI | Utilization | Annual Cost |
| Oracle Services | doeadv11 | doeadv1 | 1 | \$19894.32 |
| | | | Service Total: | \$19894.32 |
| | | | ApplicationTotal: | \$19894.32 |

| Case Management | | | | |
|---------------------------|-------------------|------------|-----------------------|------------------|
| SV_DESC | Billing Line Item | Related CI | Utilization | Annual Cost |
| Linux/Unix Capacity Unit | cirts | cirts | 39 | \$6912.36 |
| | | | Service Total: | \$6912.36 |
| Linux/Unix Managed Server | cirts | cirts | 1 | \$2481.12 |
| | | | Service Total: | \$2481.12 |
| Network Unit | cirts | cirts | 1 | \$986.04 |

Service Total: \$986.04
 ApplicationTotal: \$10379.52

CSAB (Communications Service Authorization Billing)

| SV_DESC | Billing Line Item | Related CI | Utilization | Annual Cost |
|--------------------------|-------------------|------------|-------------|-------------|
| Data Protection Services | SUN123 | sun123 | 71 | \$3457.08 |

Service Total: \$3457.08
 ApplicationTotal: \$3457.08

dev4

| SV_DESC | Billing Line Item | Related CI | Utilization | Annual Cost |
|--------------------------|-------------------|------------|-------------|-------------|
| Data Protection Services | ADHOC | adhoc | 808 | \$39342.49 |

Service Total: \$39342.49
 ApplicationTotal: \$39342.49

dev6

| SV_DESC | Billing Line Item | Related CI | Utilization | Annual Cost |
|--------------------------|-------------------|------------|-------------|-------------|
| Data Protection Services | ADHOC | adhoc | 808 | \$39342.49 |

Service Total: \$39342.49
 ApplicationTotal: \$39342.49

eaol16

| SV_DESC | Billing Line Item | Related CI | Utilization | Annual Cost |
|-----------------|-------------------|------------|-------------|-------------|
| Oracle Services | orcl16 | orcl16 | 1 | \$19894.32 |

Service Total: \$19894.32
 ApplicationTotal: \$19894.32

Foglight

| SV_DESC | Billing Line Item | Related CI | Utilization | Annual Cost |
|---------|-------------------|------------|-------------|-------------|
|---------|-------------------|------------|-------------|-------------|

| | | | | |
|---------------------------|-------------|-------------|--------------------------|-------------------|
| Block-Based Storage | ast-upap004 | ast-upap004 | 169 | \$219.02 |
| | | | Service Total: | \$219.02 |
| Data Protection Services | AST-UPAP004 | ast-upap004 | 368 | \$17918.36 |
| | | | Service Total: | \$17918.36 |
| Linux/Unix Managed Server | ast-upap004 | ast-upap004 | 1 | \$2481.12 |
| | | | Service Total: | \$2481.12 |
| Network Unit | ast-upap004 | ast-upap004 | 1 | \$986.04 |
| | | | Service Total: | \$986.04 |
| | | | ApplicationTotal: | \$21604.54 |

Forms Data

| SV_DESC | Billing Line Item | Related CI | Utilization | Annual Cost |
|---------------------------|-------------------|------------|--------------------------|------------------|
| Linux/Unix Capacity Unit | rept | rept | 22 | \$3899.28 |
| | | | Service Total: | \$3899.28 |
| Linux/Unix Managed Server | rept | rept | 1 | \$2481.12 |
| | | | Service Total: | \$2481.12 |
| Network Unit | rept | rept | 1 | \$986.04 |
| | | | Service Total: | \$986.04 |
| | | | ApplicationTotal: | \$7366.44 |

hqdw

| SV_DESC | Billing Line Item | Related CI | Utilization | Annual Cost |
|--------------------------|-------------------|------------|--------------------------|-------------------|
| Data Protection Services | ADHOC | adhoc | 808 | \$39342.49 |
| | | | Service Total: | \$39342.49 |
| | | | ApplicationTotal: | \$39342.49 |

orcl16

| SV_DESC | Billing Line Item | Related CI | Utilization | Annual Cost |
|--------------------------|-------------------|------------|-------------|-------------|
| Data Protection Services | EAOL16 | eaol16 | 26 | \$1265.97 |

Service Total: \$1265.97

ApplicationTotal: \$1265.97

sun110

| SV_DESC | Billing Line Item | Related CI | Utilization | Annual Cost |
|--------------------------|-------------------|------------|-------------|-------------|
| Linux/Unix Capacity Unit | rept | rept | 22 | \$3899.28 |

Service Total: \$3899.28

| | | | | |
|---------------------------|------|------|---|-----------|
| Linux/Unix Managed Server | rept | rept | 1 | \$2481.12 |
|---------------------------|------|------|---|-----------|

Service Total: \$2481.12

| | | | | |
|--------------|------|------|---|----------|
| Network Unit | rept | rept | 1 | \$986.04 |
|--------------|------|------|---|----------|

Service Total: \$986.04

| | | | | |
|-----------------|------|------|---|------------|
| Oracle Services | rept | rept | 4 | \$79577.28 |
|-----------------|------|------|---|------------|

| | | | | |
|-----------------|------|------|---|------------|
| Oracle Services | cirt | cirt | 4 | \$79577.28 |
|-----------------|------|------|---|------------|

Service Total: \$159154.56

ApplicationTotal: \$166521.00

sun125

| SV_DESC | Billing Line Item | Related CI | Utilization | Annual Cost |
|-----------------|-------------------|------------|-------------|-------------|
| Oracle Services | doeats1 | doeats1 | 1 | \$19894.32 |

Service Total: \$19894.32

ApplicationTotal: \$19894.32

sun139

| SV_DESC | Billing Line Item | Related CI | Utilization | Annual Cost |
|-----------------|-------------------|------------|-------------|-------------|
| Oracle Services | doeapr1 | doeapr1 | 2 | \$39788.64 |

Service Total: \$39788.64

Unallocated Costs

| SV_DESC | Billing Line Item | Related CI | Utilization | Annual Cost |
|---------------------|-------------------|------------|-------------|-------------|
| Block-Based Storage | ast-upap003 | | 409 | \$530.06 |
| Block-Based Storage | doea-upap001 | | 129 | \$167.18 |
| Block-Based Storage | doea-upap002 | | 129 | \$167.18 |

Service Total: \$864.42

| | | | | |
|--------------------------|--------------|--|-----|------------|
| Data Protection Services | SUNVM16 | | 5 | \$243.46 |
| Data Protection Services | AST-UPAP003 | | 597 | \$29068.65 |
| Data Protection Services | DOEA-UPAP001 | | 279 | \$13584.84 |
| Data Protection Services | DOEA-UPAP002 | | 288 | \$14023.07 |
| Data Protection Services | DOEA-UDAP001 | | 1 | \$48.69 |

Service Total: \$56968.71

| | | | | |
|--------------------------|-------------------------|-------|----|-----------|
| Linux/Unix Capacity Unit | adhoc.felder.org | | 48 | \$8507.52 |
| Linux/Unix Capacity Unit | eaol16.felder.org | | 8 | \$1417.92 |
| Linux/Unix Capacity Unit | eaol10.felder.org | | 17 | \$3013.08 |
| Linux/Unix Capacity Unit | sunvm16.dms.state.fl.us | | 4 | \$708.96 |
| Linux/Unix Capacity Unit | cirts | cirts | 39 | \$6912.36 |
| Linux/Unix Capacity Unit | sun123z6 | | 13 | \$2304.12 |
| Linux/Unix Capacity Unit | doea-udap001 | | 21 | \$3722.04 |

Service Total: \$26586.00

| | | | | |
|---------------------------|-------------------------|-------|---|-----------|
| Linux/Unix Managed Server | adhoc.felder.org | | 1 | \$2481.12 |
| Linux/Unix Managed Server | eaol16.felder.org | | 1 | \$2481.12 |
| Linux/Unix Managed Server | eaol10.felder.org | | 1 | \$2481.12 |
| Linux/Unix Managed Server | sunvm16.dms.state.fl.us | | 1 | \$2481.12 |
| Linux/Unix Managed Server | cirts | cirts | 1 | \$2481.12 |
| Linux/Unix Managed Server | sun123z6 | | 1 | \$2481.12 |
| Linux/Unix Managed Server | ast-upap003 | | 1 | \$2481.12 |

| | | | | |
|---------------------------|--------------|--|---|-----------|
| Linux/Unix Managed Server | doea-upap001 | | 1 | \$2481.12 |
| Linux/Unix Managed Server | doea-upap002 | | 1 | \$2481.12 |
| Linux/Unix Managed Server | sunvm66 | | 1 | \$2481.12 |
| Linux/Unix Managed Server | doea-udap001 | | 1 | \$2481.12 |
| Linux/Unix Managed Server | doea-udap001 | | 1 | \$2481.12 |

Service Total: \$29773.44

| | | | | |
|----------------|------------------|--|---|----------|
| Load Balancing | doea-https | | 1 | \$235.80 |
| Load Balancing | doea-wlapps-7002 | | 1 | \$235.80 |
| Load Balancing | doea-wlapps-7786 | | 1 | \$235.80 |
| Load Balancing | doea-wlapps-7001 | | 1 | \$235.80 |
| Load Balancing | doea-wlapps-8890 | | 1 | \$235.80 |
| Load Balancing | doea-wlapps-4443 | | 1 | \$235.80 |
| Load Balancing | doea-wlapps-7001 | | 1 | \$235.80 |
| Load Balancing | doea-wlapps-4443 | | 1 | \$235.80 |
| Load Balancing | doea-https | | 1 | \$235.80 |
| Load Balancing | doea-wlapps-7786 | | 1 | \$235.80 |
| Load Balancing | doea-wlapps-7002 | | 1 | \$235.80 |
| Load Balancing | doea-wlapps-8890 | | 1 | \$235.80 |

Service Total: \$2829.60

| | | | | |
|--------------|-------------------------|-------|---|----------|
| Network Unit | sunvm16.dms.state.fl.us | | 1 | \$986.04 |
| Network Unit | eaol10.flelder.org | | 1 | \$986.04 |
| Network Unit | adhoc.flelder.org | | 1 | \$986.04 |
| Network Unit | eaol16.flelder.org | | 1 | \$986.04 |
| Network Unit | cirts | cirts | 1 | \$986.04 |
| Network Unit | sun123z6 | | 1 | \$986.04 |
| Network Unit | ast-upap003 | | 1 | \$986.04 |
| Network Unit | doea-upap001 | | 1 | \$986.04 |
| Network Unit | doea-upap002 | | 1 | \$986.04 |
| Network Unit | sunvm66 | | 1 | \$986.04 |

| | | | | |
|--------------|--------------|--|---|----------|
| Network Unit | doea-udap001 | | 1 | \$986.04 |
| Network Unit | doea-udap001 | | 1 | \$986.04 |

Service Total: \$11832.48

| | | | | |
|-----------------|------------------|--|---|-------------|
| Oracle Services | dev4, dev6, hqdw | | 8 | \$159154.56 |
|-----------------|------------------|--|---|-------------|

Service Total: \$159154.56

| | | | | |
|----------------|---|--|----|----------|
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 1 | \$13.72 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 1 | \$13.72 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 1 | \$13.72 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 3 | \$41.17 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 2 | \$27.45 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 1 | \$13.72 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 15 | \$205.85 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 14 | \$192.12 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 3 | \$41.17 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 24 | \$329.36 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 3 | \$41.17 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 7 | \$96.06 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 2 | \$27.45 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 3 | \$41.17 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 14 | \$192.12 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 15 | \$205.85 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 21 | \$288.19 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 3 | \$41.17 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 6 | \$82.34 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 29 | \$397.97 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 1 | \$13.72 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 6 | \$82.34 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 6 | \$82.34 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 7 | \$96.06 |

| | | | | |
|----------------|---|--|----|----------|
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 1 | \$13.72 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 6 | \$82.34 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 1 | \$13.72 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 1 | \$13.72 |
| Oracle Storage | sun139.dms.state.fl.us - doeapr1.sun139 | | 3 | \$41.17 |
| Oracle Storage | sun139.dms.state.fl.us - doeapr1.sun139 | | 30 | \$411.70 |
| Oracle Storage | sun139.dms.state.fl.us - doeapr1.sun139 | | 3 | \$41.17 |
| Oracle Storage | sun139.dms.state.fl.us - doeapr1.sun139 | | 22 | \$301.91 |
| Oracle Storage | sun139.dms.state.fl.us - doeapr1.sun139 | | 1 | \$13.72 |
| Oracle Storage | sun139.dms.state.fl.us - doeapr1.sun139 | | 1 | \$13.72 |
| Oracle Storage | sun139.dms.state.fl.us - doeapr1.sun139 | | 3 | \$41.17 |
| Oracle Storage | sun139.dms.state.fl.us - doeapr1.sun139 | | 14 | \$192.12 |
| Oracle Storage | sun139.dms.state.fl.us - doeapr1.sun139 | | 34 | \$466.59 |
| Oracle Storage | sun139.dms.state.fl.us - doeapr1.sun139 | | 14 | \$192.12 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 2 | \$27.45 |
| Oracle Storage | sun139.dms.state.fl.us - doeapr1.sun139 | | 14 | \$192.12 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 1 | \$13.72 |
| Oracle Storage | sun139.dms.state.fl.us - doeapr1.sun139 | | 1 | \$13.72 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 1 | \$13.72 |
| Oracle Storage | sun139.dms.state.fl.us - doeapr1.sun139 | | 5 | \$68.62 |
| Oracle Storage | sun139.dms.state.fl.us - doeapr1.sun139 | | 5 | \$68.62 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 16 | \$219.57 |
| Oracle Storage | sun125.dms.state.fl.us - doeats1.sun125 | | 1 | \$13.72 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 3 | \$41.17 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 3 | \$41.17 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 8 | \$109.79 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 22 | \$301.91 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 1 | \$13.72 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 22 | \$301.91 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 1 | \$13.72 |

| | | | | |
|----------------|---|--|---|---------|
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 1 | \$13.72 |
| Oracle Storage | ast-uddb001-vip0.dcs.sdc.state.fl.us - doeadv1.orarac | | 3 | \$41.17 |

Service Total: \$5928.38

ApplicationTotal: \$293937.59

Agency Total: \$761373.70

**SERVICE LEVEL AGREEMENT
ATTACHMENT D**

SUBSCRIBED SERVICES

I. SUBSCRIBED SERVICES

Table A identifies the State Data Center (SDC) services offered by the Service Provider. Those Subscribed Services marked by “X” in **Column A** represent the SDC services to be provided to Customer under the terms of the Service Level Agreement (Agreement), and the specific service components to be provided by the Service Provider will be marked by an “X” in **Column B**. The scope of service, standards, service level commitments, deliverables and roles and responsibilities of each service below are described in detail in the Service Provider Service Catalog located in Attachment A.

Table A

| SUBSCRIBED SERVICES | |
|--|--|
| A - SERVICE | B – SERVICE COMPONENT |
| BACKUP / RECOVERY PLATFORM | <div style="display: flex; align-items: center;"> <input checked="" style="margin-right: 10px;" type="checkbox"/> <div> <p>This platform provides Data Protection Services as described in the Service Catalog.</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Data Protection Services <input checked="" type="checkbox"/> Data Archival Services </div> </div> |
| CLOUD SERVICES | <div style="display: flex; align-items: center;"> <input style="margin-right: 10px;" type="checkbox"/> <div> <p>This platform provides Cloud Services as described in the Service Catalog.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Enterprise Vault (EV) Cloud Services <input type="checkbox"/> Azure (Microsoft Compute) Cloud Services </div> </div> |
| DATABASE PLATFORM | <div style="display: flex; align-items: center;"> <input checked="" style="margin-right: 10px;" type="checkbox"/> <div> <p>This platform provides Oracle, SQL, and DB2 FOR LUW Services as described in the Service Catalog.</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Oracle Services <input checked="" type="checkbox"/> Oracle Storage Service <input type="checkbox"/> DB2 For LUW (UDB) Services <input type="checkbox"/> SQL Managed Instance <input type="checkbox"/> SQL Capacity Unit </div> </div> |
| DATA CENTER FACILITY AND OPERATIONS | <div style="display: flex; align-items: center;"> <input style="margin-right: 10px;" type="checkbox"/> <div> <p>This service provides Scheduling and infrastructure-level necessary before subscribing to other services offered.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Additional Electrical Circuit (Co-location service) <input type="checkbox"/> Floor Tiles (Co-location service) <input type="checkbox"/> Rack Mounts (Co-location service) <input type="checkbox"/> Scheduling Services </div> </div> |

| SUBSCRIBED SERVICES | |
|------------------------------|---|
| A - SERVICE | B – SERVICE COMPONENT |
| MAINFRAME PLATFORM | <p>This platform provides z/OS processing, Backup/Virtual Storage, CICS Processing, DB2 Processing, IMS Processing, and Mainframe Storage as described in the Service Catalog.</p> <ul style="list-style-type: none"> <input type="checkbox"/> z/OS Processing <input type="checkbox"/> Backup/Virtual Storage <input type="checkbox"/> CICS Processing <input type="checkbox"/> DB2 Processing <input type="checkbox"/> DCF DB2 Processing <input type="checkbox"/> DCF IMS Processing <input type="checkbox"/> DCF Storage <input type="checkbox"/> DCF z/OS Processing <input type="checkbox"/> Mainframe Storage |
| MANAGED APPLICATIONS | <p>This service provides Customers managed support for applications such as Citrix based services, the option of electronic exchange of business data through Electronic Data Interchange (EDI), and the opportunity to utilize hosted messaging as a cloud-based service.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Citrix <input type="checkbox"/> Hosted Messaging Archive Service |
| NETWORK PLATFORM | <p>This platform provides Load Balancing and Proxy, Bandwidth and Network Unit services as described in the Service Catalog.</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Load Balancing and Proxy <input checked="" type="checkbox"/> Network Unit |
| OPEN SYSTEMS PLATFORM | <p>This platform provides EDI Translation, Web/App/File Transfer, Linux/UNIX Capacity Unit and Linux/UNIX Managed Server services as described in the Service Catalog.</p> <ul style="list-style-type: none"> <input type="checkbox"/> EDI Translation <input checked="" type="checkbox"/> Web/App/File Transfer Services <input checked="" type="checkbox"/> Linux/UNIX Capacity Unit <input checked="" type="checkbox"/> Linux/UNIX Managed Server |
| STORAGE PLATFORM | <p>This platform provides Storage Services as described in the Service Catalog.</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Block-Based Storage Service <input type="checkbox"/> Object-Based Storage Service |
| WINDOWS PLATFORM | <p>This platform provides Windows Managed Server Services as described in the Service Catalog.</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Windows Capacity Unit <input checked="" type="checkbox"/> Windows Managed Server |

II. AGREEMENT COORDINATORS

The Agreement Coordinators for this Agreement are:

| Service Provider | Customer |
|---|-------------------------------------|
| Name: Laura Whitfield | Name: Shandra McGlohon |
| Phone: 850-488-9399 | Phone: 850-414-2317 |
| E-Mail: Laura.Whitfield@ast.myflorida.com | E-Mail: mcglohonsa@elderaffairs.org |
| | |
| Name: Jason Johnson, Division of State Technology (DST) Chief of Strategic IT | Name: |
| Phone: 850-901-6259 | Phone: |
| E-Mail: jason.johnson@dms.myflorida.com | E-Mail: |

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ATTACHMENT E

INFORMATION TECHNOLOGY SERVICE MANAGEMENT (ITSM)

A. INCIDENTS

1. ASSIGNING INCIDENT PRIORITY

Upon receiving notification of an incident, the Service Provider assigns priority using **Table 1**:

Table 1

| Incident Priority Matrix | | | | |
|--------------------------|-----------------------------|---------------|-----------------|--------------------------|
| Priority | Impact | Urgency | Contact On-call | Contact Incident Manager |
| 1 | Multiple Agencies | Work Stopped | Yes | Yes |
| 1 | Agency (Urgent Application) | Work Stopped | Yes | Yes |
| 2 | Multiple Agencies | Work Impaired | Yes | |
| 2 | Agency (Urgent Application) | Work Impaired | Yes | |
| 2 | Agency | Work Stopped | Yes | |
| 3 | Multiple Agencies | Work-Around | | |
| 3 | Agency | Work Impaired | | |
| 3 | Multiple Users | Work Stopped | | |
| 4 | Multiple Users | Work Impaired | | |
| 4 | Multiple Users | Work-Around | | |
| 4 | Agency | Work-Around | | |
| 4 | Single User | Work Stopped | | |
| 4 | Single User | Work Impaired | | |
| 4 | Single User | Work-Around | | |

2. INCIDENT SUPPORT TIERS

Table 2 lists the operations support roles that will provide the service response through all stages of incident handling from initial logging to final resolution:

Table 2

| INCIDENT SUPPORT TIERS | |
|---|---|
| Role | Role Description |
| Tier 1 Support (Service Provider Service Desk and automated processes within ITSM) | <ul style="list-style-type: none"> • Responsible for incident logging • Responsible for incident tracking • Responsible for informing Customer of incident status • Responsible for incident escalation • Responsible for incident closure |
| Tier 2 Support (Service Provider Technicians) | <ul style="list-style-type: none"> • Responsible for incident investigation • Responsible for informing Customer of incident status • Responsible for documenting incident activities within the ITSM tool • Responsible for incident escalation |

| | |
|--|---|
| | <ul style="list-style-type: none"> Responsible for incident resolution Responsible for incident closure |
|--|---|

3. INCIDENT-RELATED COMMUNICATIONS

The Service Provider will communicate the incident status to the Customer throughout the life cycle of the incident. **Table 3** lists the incident handling and communication time expectations:

Table 3

| INCIDENT KEY PERFORMANCE EXPECTATIONS | | | |
|---------------------------------------|-------------------------------|-------------------------------|----------------------------|
| Priority | Tier 1 Time to Acknowledge | Tier 2 Time to Acknowledge | Customer Update Frequency |
| 1 | 15 minutes | 15 minutes | Once every 1 hour |
| 2 | 15 minutes | 60 minutes | Once every 4 hours |
| 3 | 15 minutes | 2 hours | Once every 1 business day |
| 4 | 15 minutes | 1 Business Day | Once every 3 business days |

Priority 1 and 2 incidents are acknowledged and updated 24x7 (includes weekends and holidays); priority 3 and 4 incidents are acknowledged and updated during business hours only.

4. INCIDENT REPORTING PERFORMANCE MEASURES

Table 4 lists performance measures associated with the performance expectations (in Table 3):

Table 4

| PERFORMANCE MEASURES | | |
|---|--------|-----------|
| Measure | Target | Frequency |
| Percent of Incidents Tier 1 Acknowledged Timely | 95% | Monthly |
| Percent of Incidents Tier 2 Acknowledged Timely | 85% | Monthly |
| Percent of Incidents Updated Timely | 80% | Monthly |

5. ESCALATION MATRIX

To ensure appropriate awareness of reported incidents, **Table 5** lists the times when additional Service Provider resources will be notified of the incident:

Table 5

| ESCALATION MATRIX | | | | |
|-------------------|--|---|---|---|
| Priority | Assignment to the Technician | If Unresponsive, Escalation to the Platform Manager | If Unresponsive, Escalation to the Bureau Chief | If Unresponsive, Escalation to Chief Operations Officer |
| 1 | 15 minutes | 15 minutes | 15 minutes | 15 minutes |
| 2 | 30 minutes | 30 minutes | 30 minutes | 30 minutes |
| 3, 4 | Monitored by the Division of State Technology (DST) Service Desk during business hours and escalated based on nature of incident | | | |

If the incident requires Customer coordination or assistance, and the Customer is non-responsive or unavailable, the Service Provider will place the incident ticket on hold, which will pause the measurement of the Service Provider’s metrics until the Customer responds.

B. SERVICE REQUESTS AND URGENT SERVICE REQUESTS

1. SERVICE REQUEST RELATED COMMUNICATIONS

Customer service requests will be submitted through the Service Provider’s Service Desk. Service requests may be submitted to initiate a Change as part of fulfilling the Service Request. Customer will make Customer staff available as needed to assist with testing or other pre- and post-implementation activities. **Table 6** lists the Service Request handling and communication time expectations:

Table 6

| SERVICE REQUEST KEY PERFORMANCE EXPECTATIONS | | | |
|--|----------------------------|----------------------------|----------------------------|
| Service Request Priority | Tier 1 Time to Acknowledge | Tier 2 Time to Acknowledge | Customer Update Frequency |
| Urgent* | 30 minutes | 60 minutes | 4 hours |
| Expedited | 60 minutes | 4 hours | Once every 3 business days |
| Normal | 60 minutes | 1 business day | Once every 5 business days |
| Low | 60 minutes | 1 business day | Once every month |

*Urgent service requests (including requests that require after hours or overtime hours to complete) must be approved in writing by the Customer Chief Information Officer (CIO), equivalent, or designee. All service requests are acknowledged and updated during business hours only.

2. SERVICE REQUEST PERFORMANCE MEASURES

Table 7 lists performance measures associated with the performance expectations (in Table 6):

Table 7

| PERFORMANCE MEASURES | | |
|--|--------|-----------|
| Measure | Target | Frequency |
| Percent of Service Requests Tier 1 Acknowledged Timely | 95% | Monthly |
| Percent of Service Requests Tier 2 Acknowledged Timely | 85% | Monthly |
| Percent of Service Requests Updated Timely | 80% | Monthly |

The Service Provider’s incident and service request management documentation is available to view on the Customer Portal.

C. ROLE OF THE BUSINESS RELATIONSHIP MANAGERS

Business Relationship Managers serve as liaisons and advocates, maintain an understanding of Customer’s technology needs and SDC Services, own Customer escalations and complaints, facilitate resolutions, and manage every aspect of regularly scheduled Customer/DST meetings.

| Customer Advocate and Liaison | Customer Technology Needs | Customer Escalations and Complaints | Customer/DST Meeting Management |
|--|--|--|--|
| Establish and nurture relationships with assigned Customers; facilitate communications between Customers and DST Technical Platforms | Obtain improved understanding of Customer's infrastructure and business applications | Serve as the first escalation point for any Customer issue or request; assist in the development of remediation action plans, report results, and follow through to resolution | Coordinate, schedule, and facilitate quarterly meetings for each Customer; maintain the master schedule and historical meeting details |
| Monitor and coordinate completion of Customer Incidents, Service Requests, Service Orders, etc. | Coordinate with Customers, DST Technical Platforms and Strategic Planning Coordinators (SPC) to enhance DST responsiveness to Customer's needs | Receive, log and document Customer complaints; investigate complaints and coordinate with technical staff to obtain details and formulate a resolution | Solicit agenda topics and updates from Customers, DST Technical Platforms, and Strategic Planning Coordinators; finalize agendas and distribute in advance of meetings |
| Offer Customer Portal training and assist Customers with system navigation, searches and updates | Maintain a clear understanding of SDC services, projects, and initiatives and how these services will best meet the needs of or impact Customers | Escalate complaints as needed and monitor through to completion, being alert to opportunities to mitigate future complaints of this type | Research the status of Customer metrics, projects, outstanding tickets, and Customer account information |
| Arrange and facilitate ad hoc meetings related to Customer tickets, projects, or reported issues | Advise Customers of upcoming DST initiatives, providing relevant information and Customer impact | Capture and document the Customer's feedback on DST actions taken to resolve complaint; measure Customer satisfaction | Document and disseminate meeting minutes; assign resulting action items and monitor through completion |

D. BLACKOUT REQUESTS

The Service Provider is responsible for and has established a blackout policy the Parties will use to cease all changes to specified Customer configuration items throughout the term of this Agreement. Blackout requests must be submitted in writing through the Service Provider's Service Desk. Agencies must provide a list of individuals authorized to submit blackout requests. Only requests from authorized submitters will be routed for processing.

The following information must be provided for all blackout requests:

1. Justification/purpose for the blackout request;
2. Name of the approving IT director;
3. Beginning and ending date/times for the blackout period;
4. Description of modifications that may not be performed during the blackout period; and
5. Specific configuration items affected (i.e., server names).

Blackout requests must be submitted a minimum of 14 calendar days prior to the anticipated start date (unless an extreme circumstance occurs; i.e., emergency activation, public safety risk, governor's executive order, etc.). The Service Provider will attempt to accommodate blackout requests due to extreme circumstances.

Limitations and Responsibilities

1. A blackout period may not exceed 14 consecutive calendar days except where statutorily authorized or during a level one emergency activation declared by the Division of Emergency Management. If a blackout request is statutorily mandated, the statutory reference is required.
2. All blackout requests are reviewed by the Service Provider Information Security Manager (ISM) and the Change Control Board and may be denied.
3. All approved blackout requests will be added to the Service Provider's blackout calendar and monitored by the change/release manager.
4. Agency blackout schedules will be posted to the Service Provider's Customer Portal.
5. No changes will be implemented, except standard changes with no downtime, on applicable configuration items during the blackout period (unless the purpose is to resolve a reported or security incident acknowledged by the Service Provider), or for modifications required to comply with regulatory requirements.
6. It is the Customer's responsibility to ensure Customer-initiated change requests impacting affected configuration items are not submitted to the Service Provider during the blackout period.
7. Customer accepts all risks inherent with blackout requests.

Exceptions to Blackout Periods

The Service Provider will assess the impact of changes made to shared infrastructure on the configuration items related to the blackout request. The Service Provider may proceed with planned changes to shared infrastructure based on the expected impact to related configuration items. Certain pre-approved data center facilities activities related to maintaining Tier III certification of the facility are exempt from Customer blackout requests.

Should an out-of-band or emergency patch be identified during a blackout period it will be evaluated as to the risk it poses to the Service Provider and the customers of the Service Provider. At that point, the Service Provider's ISM will determine if the out-of-band or emergency patch deployment will override the blackout period. In certain cases, the Service Provider's ISM may consult with the Customer's ISM(s) prior to making this determination.

E. REQUESTING EXCEPTIONS TO SERVICE PROVIDER STANDARDS

When a Customer submits an Exception/Exemption Log Request via the ITSM tool that contains an exception to the Service Provider standards, the request will be documented and tracked in the Exception Log. Once all approvals have been obtained, the configuration item requested for exception will be updated in the Service Provider's Configuration Management Data Base (CMDB). The Customer will be notified in writing of approvals and denials. Exceptions require annual Customer confirmation and Service Provider approval. Reports of all Customer exceptions will be available upon request.

F. REQUESTING EXEMPTIONS

All requests for exemptions must be submitted in writing by the Customer's CIO (or equivalent) and logged within the ITSM tool, which will route the request initially to the Service Provider's ITSM Bureau Chief. Exemptions will be documented and tracked in the Exemption Log within the ITSM tool. Following review of the request by the appropriate stakeholders, and if approved, the configuration item requested for exemption will be updated in the Service Provider's CMDB, if applicable. The Customer will be notified in writing of approvals and denials. Reports of all Customer exemptions will be available upon request.

G. CAPACITY PLANNING AND MANAGEMENT

DST performs monitoring of Configuration Items on an on-going basis via standard monitoring tools. DST focuses on the three areas of capacity across all platforms as appropriate: CPU, memory, and disk space. Both CPU and memory capacity measurements will vary with the amount of applications and processes running. These items are monitored for on-going and repeated occurrences and alert accordingly. Disk alerts are generated for Warning, and Critical levels as full disk capacity is being approached. Reports on capacity are available upon request. Select data is also fed to the ITSM tool to archive historical information.

| Specific Alert Service Requirements | Capacity |
|-------------------------------------|------------------------------------|
| | Alert Levels |
| Memory Warning | Between 80% and 90% for 30 minutes |
| Memory Critical | Greater than 90% for 30 minutes |
| CPU Warning | Between 80% and 90% for 30 minutes |
| CPU Critical | Greater than 90% for 30 minutes |
| Disk Warning | >80% |
| Disk High (Customer Specific) | >90% |
| Disk Critical | >95% |

Alerts are monitored via the DST Alert and Capacity Management Dashboard and directly in the Monitoring Tools.

H. APPLICABLE ARCHITECTURAL STANDARDS

Requests for the Service Provider architectural standards as referenced in the Service Catalog are available upon request.

I. COMPLAINT MANAGEMENT

The Service Provider has established a procedure for managing service complaints. This procedure is part of the Business Relationship Management procedure and can be found on the Customer Portal.

J. CHANGE AND RELEASE MANAGEMENT

The Service Provider has established change and release management policies, processes, procedures, plans, and schedules the Parties will use to access, approve, implement, and review changes to services provided to the Customer throughout the term of this Agreement. These documents ensure that changes are implemented with proper visibility and minimal disruption of State Data Center services provided to the Customer. These documents include the Release Policy (which establishes the frequency and type of releases), Change Management Procedure, and Release Management Procedure, and can be found on the Customer Portal.

K. OUT OF BAND PATCHING PROCESS

DST has an out-of-band patching process that is available upon request through the service request process. This process describes how patch management will be handled for significant security issues or risks.

L. AVAILABILITY REPORTING

DST will provide monthly availability metrics for each subscribed service.

M. SERVICE LEVEL AGREEMENT DOCUMENTS TABLE

| Service Level Agreement (SLA) Documents | | | | |
|--|--|---|--------------------|--------------------|
| Title | Purpose | Update Frequency/Renewal | Signature required | Amendment required |
| SLA Core | Defines legal requirements and expectations for both parties in the Agreement | Every 3 years | Yes | Yes |
| Attachment A: Service Catalog | Defines the services, service targets, maintenance and support windows, and roles and responsibilities related to each service provided by DST | Annually | No | No |
| Attachment B: Customer-specific Requirements | Defines any unique, customer-negotiated requirements above and beyond what is defined in the Service Catalog | As Needed | Yes | No |
| Attachment C: Costs | Provides statutorily required cost of service appropriations information and costs by application | Annually | No | No |
| Attachment D: Subscribed Services | Point-in-time chart showing which services a customer entity is currently subscribed | Annually (though current information can be found online through the Customer Portal) | No | No |
| Attachment E: ITSM | Defines ITSM processes and procedures | As Needed | No | No |
| Attachment F: Definitions | Provides definitions of terms used in the SLA | As Needed | No | No |

N. ROLES AND RESPONSIBILITIES

General roles and responsibilities are defined in the RACI responsibility matrix below. Additional roles and responsibilities may be outlined in the Service Catalog:

- (R) Responsible: The entity that will do the work to achieve the task.
- (A) Accountable: The entity accountable for the ownership of the quality and thorough completion of the task.
- (C) Consulted: The entity whose opinions are sought, typically subject matter experts, prior to action being taken.
- (I) Informed: The entity that is kept up-to-date on progress, often only on completion of the task.

| Roles and Responsibilities | Customer | Service Provider |
|---|----------|------------------|
| Utilize the Service Provider’s Service Desk for all service needs or service related inquiries. | R/A | |
| Manage the disbursement of information received from the Service Provider’s Service Desk through the Customer’s organization. | R/A | |
| Utilize the Customer’s Service Desk to convey service related information. | | R/A |
| Provide timely updates to the Customer self-service portal as defined in the SLA. | | R/A |
| Provide and maintain Customer Contact list in Customer Portal. | R/A | |
| Provide and maintain a distribution list for outages and changes. | R/A | I |
| Provide timely notification of changes to the infrastructure. | I | R/A |
| Provide timely notification of Customer-initiated changes that may impact or disrupt Provider services. | R/A | C/I |
| Provide and document a Change Management Procedure. | I | R/A |
| Provide timely notification of any planned outages, as defined in the Service Provider’s Change Management Procedure. | I | R/A |
| Provide prompt payment for services rendered. | R/A | |
| Adhere to the State Data Center duties as outlined in section 282.201, Florida Statutes. | | R/A |
| Review and update key Customer metadata, (as defined in the SLA Core and including application criticality and dependencies), within the CMDB at least bi-annually. | R/A | I |
| Ensure that the applications the Customer owns or maintains comply with applicable licensing agreements and standards. | R/A | I |
| Maintain applications on supported software and operating systems to avoid risks and costs associated with End-of-Service-Life (EOSL) environments. | R/A | C/I |
| Ensure maintenance and license agreements are maintained on equipment owned by the Service Provider. | | R/A |

| Roles and Responsibilities | Customer | Service Provider |
|--|----------|------------------|
| Maintain an accurate inventory of hardware, software licenses, and renewal schedules to support transparent and reliable service delivery of offered services. | I | R/A |

ATTACHMENT F

SERVICE LEVEL AGREEMENT DEFINITIONS

| TERM | DEFINITION |
|---|---|
| Agreement | A document between the Service Provider and the Customer that identifies services and service targets. |
| Agreement Coordinators | Representatives of the Service Provider and the Customer responsible for managing the day-to-day responsibilities and requirements set forth in this Agreement. |
| Amendment | A formal written statement of any changes made to this Agreement jointly executed by the Service Provider and the Customer. |
| Blackout Period | A period of time that ceases all changes to specified configuration items. |
| Business Continuity | Business continuity encompasses planning and preparation to ensure that an organization can continue to operate in case of serious incidents or disasters and can recover to an operational state within a reasonably short period of time. |
| Business Day | The Service Provider Business days are defined as Monday through Friday, excluding applicable holidays. Business hours are 7 a.m. EST to 6 p.m. EST, Monday through Friday, excluding applicable holidays. The Service Provider Hours of Operations are 24 hours per day, 7 days per week, 365 days per year, including holidays. |
| Change Management | The process used by the Parties to manage changes through the term of this Agreement, intended to facilitate service changes with minimum disruption to IT services. |
| Change | The addition, modification, or removal of anything that could affect IT services. |
| Complaint | An expression of dissatisfaction made to the Service Provider by a Customer related to its services or the complaints-handling process itself, where a response or resolution is explicitly or implicitly expected. |
| Configuration Item | An element (such as a server, database, etc.) that needs to be controlled to deliver a service or services. |
| Criminal Justice Information (CJI) | As defined in section 943.045(12), F.S., means information on individuals collected or disseminated as a result of arrest, detention, or the initiation of a criminal proceeding by criminal justice agencies, including arrest record information, correctional and release information, criminal history record information, conviction record information, offender registration information, identification record information, and wanted persons record information. The term does not include statistical or analytical records or reports in which individuals are not identified and from which their identities are not ascertainable. The term does not include criminal intelligence information or criminal investigative information. |
| Criminal Justice Information System (CJIS) | As defined in section 943.045(13), F.S., means a system, including the equipment, facilities, procedures, agreements, and organizations thereof, for the collection, processing, preservation, or dissemination of criminal justice information. |
| “Customer” or “Customer Entity” | The entity that receives State Data Center services from the Service Provider. |
| Customer Portal | Self-service, web-based database that contains pertinent account information for each Customer of the Service Provider. Can be accessed by logging in with customer-controlled credentials at https://dst-servicesdesk.myflorida.com/CherwellPortal/DST . |

| TERM | DEFINITION |
|---|--|
| Custom Services | Additional services that include, but are not limited to, IT consulting, research, strategic planning, architectural design, implementation, migration assistance, security response and issue resolution. |
| Disaster | A natural, man-made, or technological hazard resulting in an event of substantial extent causing significant physical damage or destruction or drastic change to the environment. |
| Division of State Technology (DST) | The division within the Florida Department of Management Services (DMS) charged with ensuring Floridians' information and access to government services is protected in the State Data Center, increasing government efficiency by continuously improving information technology services, protecting the State's investment in large IT projects through project assurance, and providing network services to state government. |
| Emergency Change | A change that should be implemented as soon as possible. Emergency changes should be managed according to a documented change emergency procedure, included within the Change Management Procedure. |
| Emergency Release | A release that should be implemented as soon as possible. Emergency releases should be managed according to a documented release emergency procedure, included within the Release Management Procedure. |
| Exceptions | Exceptions to the standard service (i.e., no backup, administrative access granted, etc.); can be part of the Service Request to build the server/service and requires approval from the Service Provider before being granted. |
| Exemptions | Authorized to not follow established procedures; agreed to and authorized by Service Provider management. |
| Incident | An unplanned interruption to an IT service or reduction in the quality of an IT service. |
| Issue | An important problem requiring resolution. |
| Major Incident | An incident where a critical service is impacted, the entire service is not fit for use, the incident affects all users, and/or no root cause or workaround is identified within four hours of troubleshooting the problem. |
| Parties | All groups that are a part of a working agreement such as a service level agreement; typically, the Service Provider and the Customer. |
| Patch | A piece of software designed to update a computer program or its supporting data, to fix or improve it. This includes fixing security vulnerabilities and other bugs and improving the usability or performance. |
| Platform | A group of technologies that are used as a base upon which other applications, processes or technologies are developed. |
| RACI | A responsibility assignment matrix or linear responsibility chart, outlining various roles in business process. R = Responsible; A = Accountable; C = Consulted; and I = Informed. |
| Release | The initial generation of a new or upgraded software application or operating system. |
| Release Management | The process used by the Parties to manage releases through the term of an Agreement, intended to facilitate releases with minimum disruption to IT services. |
| Release Unit | A set of new, changed and/or unchanged configuration items, which are tested and introduced into the live environment together to implement one or several approved changes. |
| Request for Change | A formal proposal for a change to be made. |

| TERM | DEFINITION |
|--------------------------------------|--|
| Service | A means of delivering value for the Customer by facilitating results the Customer wants to achieve. The term 'service' is sometimes used as a synonym for core service, IT service or service package. |
| Service Component | Single unit of a service that when combined with other units will deliver a complete service. |
| Service Desk | The first point of contact between the Service Provider and the Customer. The Service Provider Service Desk receives Customer incidents, service requests, billing inquiries, general inquiries and changes. |
| Service Request | A formal request from the Customer for a State Data Center service to be provided to the Customer. Service requests may initiate a change as part of fulfilling the Service Request. |
| Service Level Agreement | <u>See</u> Agreement. |
| Service Outage Document (SOD) | A post-incident assessment document used to gather, summarize, and report to the Customer actions taken by the Service Provider to troubleshoot and effect recovery/resumption of the affected service. |
| Service Provider | The State Data Center established within the Department of Management Services' Division of State Technology. |
| State Data Center (SDC) | The SDC is owned and operated by the State of Florida and is a Tier III, shared use, state-of-the-art data center staffed 24 hours per day, 7 days per week, 365 days per year, including holidays, and supports multiple agencies, boards, commissions and municipalities with various data processing and technology services. |
| Tier 1 Support | Support provided to the Customer by the Service Provider Service Desk. |
| Tier 2 Support | Support provided to the Customer by the Service Provider Technical Support Staff. |

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| ID | Task Name | Duration | Start | Finish | Predecessors | Resource Names | 20 | 22 | 24 | 26 |
|----|---|-----------------|--------------------|--------------------|--------------|--|----|----|----|----|
| 1 | Phase I - Pre-Design, Develop, and Implement: Market Analysis, Business Process Reengineering, and Requirements Definition | 131 days | Fri 1/6/17 | Thu 7/6/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 2 | Initiation | 13 days | Fri 1/6/17 | Tue 1/24/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 3 | CIRTS Project Charter | 13 days | Fri 1/6/17 | Tue 1/24/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 4 | Develop DED for Charter | 10 days | Fri 1/6/17 | Thu 1/19/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 5 | Develop Draft DED for Charter | 3 days | Fri 1/6/17 | Tue 1/10/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 6 | Distribute DED for Internal Review and Approval | 1 day | Thu 1/12/17 | Thu 1/12/17 | 5 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 7 | Submit Final Draft DED to DOEA for Review/Approval | 5 days | Fri 1/13/17 | Thu 1/19/17 | 6 | DOEA Contract Manager,DOEA Project Manager,DOEA SMEs | | | | |
| 8 | Update DED Based on DOEA Feedback | 1 day | Mon 1/16/17 | Mon 1/16/17 | 7 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 9 | Submit Updated DED to DOEA for Final Approval/Signoff | 2 days | Tue 1/17/17 | Wed 1/18/17 | 8 | DOEA Contract Manager,DOEA Project Manager | | | | |
| 10 | Approved DED | 1 day | Thu 1/19/17 | Thu 1/19/17 | 9 | DOEA Project Manager,DOEA Contract Manager | | | | |
| 11 | Develop Charter for CIRTS Project | 10 days | Wed 1/11/17 | Tue 1/24/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 12 | Distribute Draft Charter for Internal Review and Approval | 1 day | Wed 1/11/17 | Wed 1/11/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 13 | Submit Final Draft Charter to DOEA for Review/Approval | 5 days | Thu 1/12/17 | Wed 1/18/17 | 12 | DOEA Contract Manager,DOEA Project Manager,DOEA SMEs | | | | |
| 14 | Update Project Charter based on DOEA Feedback | 1 day | Thu 1/19/17 | Thu 1/19/17 | 13 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 15 | Submit Updated Charter to DOEA for Final Approval/Signoff | 2 days | Fri 1/20/17 | Mon 1/23/17 | 14 | DOEA Contract Manager,DOEA Project Manager | | | | |
| 16 | Approved Charter | 1 day | Tue 1/24/17 | Tue 1/24/17 | 15 | DOEA Project Manager,DOEA Contract Manager | | | | |
| 17 | Planning | 41 days | Fri 1/6/17 | Fri 3/3/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 18 | Finalize Team Logistics (Workspace, Connectivity, Email, etc.) | 11 days | Fri 1/6/17 | Fri 1/20/17 | | Jenny Rojas | | | | |
| 19 | Create PowerPoint Slide Presentation | 3 days | Wed 1/11/17 | Fri 1/13/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 20 | Prepare for and Conduct Project Kickoff | 2 days | Mon 1/16/17 | Tue 1/17/17 | 19 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 21 | Identify Stakeholders | 6 days | Fri 1/20/17 | Fri 1/27/17 | 20 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 22 | Identify Data Sources | 14 days | Mon 1/30/17 | Thu 2/16/17 | 21 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 23 | Project Management Plan | 20 days | Fri 1/6/17 | Thu 2/2/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 24 | Develop Deliverable Expectations Document (DED) for PMP | 9 days | Wed 1/11/17 | Mon 1/23/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 25 | Develop Draft DED for PMP | 3 days | Wed 1/11/17 | Fri 1/13/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 26 | Distribute DED for Internal Review and Approval | 1 day | Mon 1/16/17 | Mon 1/16/17 | 25 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 27 | Submit Final Draft DED to DOEA for Review/Approval | 5 days | Tue 1/17/17 | Mon 1/23/17 | 26 | DOEA Contract Manager,DOEA Project Manager,DOEA SMEs | | | | |
| 28 | Update DED Based on DOEA Feedback | 1 day | Wed 1/18/17 | Wed 1/18/17 | 27 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 29 | Submit updated DED to DOEA for Final Approval/Signoff | 2 days | Thu 1/19/17 | Fri 1/20/17 | 28 | DOEA Contract Manager,DOEA Project Manager | | | | |
| 30 | Approved DED | 1 day | Mon 1/23/17 | Mon 1/23/17 | 29 | DOEA Project Manager,DOEA Contract Manager | | | | |
| 31 | Develop Project Management Plan (PMP) | 20 days | Fri 1/6/17 | Thu 2/2/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 32 | Develop PMP | 6 days | Fri 1/6/17 | Fri 1/13/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 33 | Distribute PMP for Internal Review/Approval | 5 days | Mon 1/16/17 | Fri 1/20/17 | 32 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 34 | Submit Final Draft PMP to DOEA for Review/Approval | 5 days | Mon 1/23/17 | Fri 1/27/17 | 33 | DOEA Contract Manager,DOEA Project Manager,DOEA SMEs | | | | |
| 35 | Update PMP Based on DOEA Feedback | 2 days | Mon 1/30/17 | Tue 1/31/17 | 34 | John Collins,Deanna Settergren,Shawna Flager | | | | |

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|---|-----------------|--|--------------------|--|-----------------------|--|--------------------|--|
| Project: CIRTS Master Project Schedu Date: Wed 10/3/18 | Task | | External Tasks | | Duration-only | | External Tasks | |
| | Split | | External Milestone | | Manual Summary Rollup | | External Milestone | |
| | Milestone | | Inactive Milestone | | Manual Summary | | Progress | |
| | Summary | | Inactive Summary | | Start-only | | Deadline | |
| | Project Summary | | Manual Task | | Finish-only | | | |

| ID | Task Name | Duration | Start | Finish | Predecessors | Resource Names | 20 | 22 | 24 | 26 |
|----|--|-----------------|--------------------|--------------------|--------------|--|----|----|----|----|
| 36 | Submit Updated PMP to DOEA for Final Approval/Signoff | 1 day | Wed 2/1/17 | Wed 2/1/17 | 35 | DOEA Contract Manager,DOEA Project Manager | | | | |
| 37 | Approved PMP | 1 day | Thu 2/2/17 | Thu 2/2/17 | 36 | DOEA Project Manager,DOEA Contract Manager | | | | |
| 38 | Microsoft Project Schedule | 16 days | Wed 1/11/17 | Wed 2/1/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 39 | Develop DED for Project Schedule | 8 days | Wed 1/11/17 | Fri 1/20/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 40 | Develop Draft DED for Project Schedule | 3 days | Wed 1/11/17 | Fri 1/13/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 41 | Distribute DED for Internal Review and Approval | 1 day | Mon 1/16/17 | Mon 1/16/17 | 40 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 42 | Submit Final Draft DED to DOEA for Review/Approval | 3 days | Tue 1/17/17 | Thu 1/19/17 | 41 | DOEA Contract Manager,DOEA Project Manager,DOEA SMEs | | | | |
| 43 | Update DED Based on DOEA Feedback | 1 day | Wed 1/18/17 | Wed 1/18/17 | 42 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 44 | Submit Updated DED to DOEA for Final Approval/Signoff | 1 day | Thu 1/19/17 | Thu 1/19/17 | 43 | DOEA Contract Manager,DOEA Project Manager | | | | |
| 45 | Approved DED | 1 day | Fri 1/20/17 | Fri 1/20/17 | 44 | DOEA Project Manager,DOEA Contract Manager | | | | |
| 46 | Develop Project Schedule | 16 days | Wed 1/11/17 | Wed 2/1/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 47 | Develop Project Schedule | 8 days | Wed 1/11/17 | Fri 1/20/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 48 | Distribute Project Schedule for Internal Review/Approval | 1 day | Mon 1/23/17 | Mon 1/23/17 | 47 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 49 | Submit Final Draft Project Schedule to DOEA for Review/Approval | 3 days | Tue 1/24/17 | Thu 1/26/17 | 48 | DOEA Contract Manager,DOEA Project Manager,DOEA SMEs | | | | |
| 50 | Update Project Schedule Based on DOEA Feedback | 1 day | Fri 1/27/17 | Fri 1/27/17 | 49 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 51 | Submit Updated Project Schedule to DOEA for Final Approval/Signoff | 2 days | Mon 1/30/17 | Tue 1/31/17 | 50 | DOEA Contract Manager,DOEA Project Manager | | | | |
| 52 | Approved Project Schedule | 1 day | Wed 2/1/17 | Wed 2/1/17 | 51 | DOEA Project Manager,DOEA Contract Manager | | | | |
| 53 | Executing, Monitoring and Controlling | 128 days | Wed 1/11/17 | Thu 7/6/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 54 | Business Process Re-engineering and Requirements Gathering | 115 days | Tue 1/17/17 | Fri 6/23/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 55 | Develop DED for Business Process Re-engineering (BPR) | 10 days | Mon 1/23/17 | Fri 2/3/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 56 | Develop Draft Deliverable Expectations Document (DED) for BPR | 3 days | Mon 1/23/17 | Wed 1/25/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 57 | Distribute DED for Internal Review and Approval | 1 day | Thu 1/26/17 | Thu 1/26/17 | 56 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 58 | Submit Final Draft DED to DOEA for Review/Approval | 3 days | Fri 1/27/17 | Tue 1/31/17 | 57 | DOEA Contract Manager,DOEA Project Manager,DOEA SMEs | | | | |
| 59 | Update PMP Based on DOEA Feedback | 1 day | Wed 2/1/17 | Wed 2/1/17 | 58 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 60 | Submit Updated DED to DOEA for Final Approval/Signoff | 1 day | Thu 2/2/17 | Thu 2/2/17 | 59 | DOEA Contract Manager,DOEA Project Manager | | | | |
| 61 | Approved DED | 1 day | Fri 2/3/17 | Fri 2/3/17 | 60 | DOEA Project Manager,DOEA Contract Manager | | | | |
| 62 | Develop DED for Requirements | 17 days | Wed 1/11/17 | Thu 2/2/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 63 | Develop Draft Deliverable Expectations Document (DED) for Requirements | 8 days | Wed 1/11/17 | Fri 1/20/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 64 | Distribute DED for Internal Review and Approval | 1 day | Mon 1/23/17 | Mon 1/23/17 | 63 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 65 | Submit Final Draft DED to DOEA for Review/Approval | 5 days | Tue 1/24/17 | Mon 1/30/17 | 64 | DOEA Contract Manager,DOEA Project Manager,DOEA SMEs | | | | |
| 66 | Update PMP Based on DOEA Feedback | 1 day | Tue 1/31/17 | Tue 1/31/17 | 65 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 67 | Submit Updated DED to DOEA for Final Approval/Signoff | 1 day | Wed 2/1/17 | Wed 2/1/17 | 66 | DOEA Contract Manager,DOEA Project Manager | | | | |
| 68 | Approved DED | 1 day | Thu 2/2/17 | Thu 2/2/17 | 67 | DOEA Project Manager,DOEA Contract Manager | | | | |
| 69 | BPR Definition (As-Is) | 39 days | Tue 1/17/17 | Fri 3/10/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 70 | Prepare As-Is JAD Session Agenda | 40 days | Mon 1/16/17 | Fri 3/10/17 | | Deanna Settergren,Shawna Flager | | | | |
| 71 | Prepare As-Is JAD Session Agenda 1 - BPR | 1 day | Mon 1/16/17 | Mon 1/16/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |

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Date: Wed 10/3/18

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| Task | | External Tasks | | Duration-only | | External Tasks | |
| Split | | External Milestone | | Manual Summary Rollup | | External Milestone | |
| Milestone | | Inactive Milestone | | Manual Summary | | Progress | |
| Summary | | Inactive Summary | | Start-only | | Deadline | |
| Project Summary | | Manual Task | | Finish-only | | | |

| ID | Task Name | Duration | Start | Finish | Predecessors | Resource Names | 20 | 22 | 24 | 26 |
|-----|---|----------|-------------|-------------|--------------|---|----|----|----|----|
| 72 | Prepare As-Is JAD Session Agenda 2 - BPR AAA/ADRC | 1 day | Wed 1/18/17 | Wed 1/18/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 73 | Prepare As-Is JAD Session Agenda 3 - BPR CARES Intake Process | 1 day | Mon 1/23/17 | Mon 1/23/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 74 | Prepare As-Is JAD Session Agenda 4 - BPR AAA/ADRC | 1 day | Wed 1/25/17 | Wed 1/25/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 75 | Prepare As-Is JAD Session Agenda 5 - CARES Staffing | 1 day | Mon 1/30/17 | Mon 1/30/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 76 | Prepare As-Is JAD Session Agenda 6 - BPR AAA/ADRC | 1 day | Wed 2/1/17 | Wed 2/1/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 77 | Prepare As-Is JAD Session Agenda 7 - BPR Recommended Placement / Temporary and Long-Term NF Placement | 1 day | Mon 2/6/17 | Mon 2/6/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 78 | Prepare As-Is JAD Session Agenda 8 - BPR Weekly Review | 1 day | Wed 2/8/17 | Wed 2/8/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 79 | Prepare As-Is JAD Session Agenda 9 - Travel MIA/WPB field offices | 1 day | Mon 2/13/17 | Mon 2/13/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 80 | Prepare As-Is JAD Session Agenda 10 - Travel MIA/WPB field offices | 1 day | Wed 2/15/17 | Wed 2/15/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 81 | Prepare As-Is JAD Session Agenda 11 - Batch file process and claims/eligibility | 1 day | Mon 2/20/17 | Mon 2/20/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 82 | Prepare As-Is JAD Session Agenda 12 - AAA/ADRC | 1 day | Wed 2/22/17 | Wed 2/22/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 83 | Prepare As-Is JAD Session Agenda 13 - Update Contract Manager Jenny Rojas | 1 day | Mon 2/27/17 | Mon 2/27/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 84 | Prepare As-Is JAD Session Agenda 14 - Process Flows | 1 day | Wed 3/1/17 | Wed 3/1/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 85 | Prepare As-Is JAD Session Agenda 15 - Remaining and Tabled Workflows | 1 day | Wed 3/8/17 | Wed 3/8/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 86 | As-Is JAD Session | 39 days | Tue 1/17/17 | Fri 3/10/17 | | Deanna Settergren, Shawna Flager | | | | |
| 87 | As-Is JAD Session 1 - BPR | 1 day | Tue 1/17/17 | Tue 1/17/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 88 | As-Is JAD Session 2 - BPR AAA/ADRC | 1 day | Thu 1/19/17 | Thu 1/19/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 89 | As-Is JAD Session 3 - BPR/CARES Intake Process | 1 day | Tue 1/24/17 | Tue 1/24/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 90 | As-Is JAD Session 4 - BPR AAA/ADRC | 1 day | Thu 1/26/17 | Thu 1/26/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 91 | As-Is JAD Session 5 - BPR CARES Staffing | 1 day | Tue 1/31/17 | Tue 1/31/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 92 | As-Is JAD Session 6 - BPR AAA/ADRC | 1 day | Thu 2/2/17 | Thu 2/2/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 93 | As-Is JAD Session 7 - BPR Recommended Placement / Temporary and Long-Term NF Placement | 1 day | Tue 2/7/17 | Tue 2/7/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 94 | As-Is JAD Session 8 - BPR Weekly Review | 1 day | Thu 2/9/17 | Thu 2/9/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 95 | As-Is JAD Session 9 - Travel to MIA/WPB field offices | 1 day | Tue 2/14/17 | Tue 2/14/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 96 | As-Is JAD Session 10 - Travel to MIA/WPB field offices | 1 day | Thu 2/16/17 | Thu 2/16/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 97 | As-Is JAD Session 11 - Batch file process and claims/eligibility | 1 day | Tue 2/21/17 | Tue 2/21/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 98 | As-Is JAD Session 12 - AAA/ADRC | 1 day | Thu 2/23/17 | Thu 2/23/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 99 | As-Is JAD Session 13 - Update Contract Manager Jenny Rojas | 1 day | Tue 2/28/17 | Tue 2/28/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 100 | As-Is JAD Session 14 - Process flows | 1 day | Thu 3/2/17 | Thu 3/2/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 101 | As-Is JAD Session 15- Remaining and Tabled Workflows | 1 day | Tue 3/7/17 | Tue 3/7/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 102 | As-Is JAD Session 16 - BPR AAA/ADRC | 1 day | Thu 3/9/17 | Thu 3/9/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 103 | Prepare and Distribute As-Is JAD Session Meeting Minutes | 38 days | Wed 1/18/17 | Fri 3/10/17 | | Deanna Settergren, Shawna Flager | | | | |
| 104 | Prepare and Distribute As-Is JAD Session Meeting Minutes 1 - BPR | 1 day | Wed 1/18/17 | Wed 1/18/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 105 | Prepare and Distribute As-Is JAD Session Meeting Minutes 2 - BPR AAA/ADRC | 1 day | Fri 1/20/17 | Fri 1/20/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 106 | Prepare and Distribute As-Is JAD Session Meeting Minutes 3 - BPR CARES Intake P | 1 day | Wed 1/25/17 | Wed 1/25/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |

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Date: Wed 10/3/18

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|-----------------|--|--------------------|--|-----------------------|--|--------------------|--|
| Task | | External Tasks | | Duration-only | | External Tasks | |
| Split | | External Milestone | | Manual Summary Rollup | | External Milestone | |
| Milestone | | Inactive Milestone | | Manual Summary | | Progress | |
| Summary | | Inactive Summary | | Start-only | | Deadline | |
| Project Summary | | Manual Task | | Finish-only | | | |

| ID | Task Name | Duration | Start | Finish | Predecessors | Resource Names | 20 | 22 | 24 | 26 |
|-----|--|----------|-------------|-------------|--------------|--|----|----|----|----|
| 107 | Prepare and Distribute As-Is JAD Session Meeting Minutes 4 - BPR AAA/ADRC | 1 day | Fri 1/27/17 | Fri 1/27/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 108 | Prepare and Distribute As-Is JAD Session Meeting Minutes 5 - BPR CARES Staffing | 1 day | Wed 2/1/17 | Wed 2/1/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 109 | Prepare and Distribute As-Is JAD Session Meeting Minutes 6 - BPR AAA/ADRC | 1 day | Fri 2/3/17 | Fri 2/3/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 110 | Prepare and Distribute As-Is JAD Session Meeting Minutes 7- BPR Recommended Placement / Temporary and Long-Term NF Placement | 1 day | Wed 2/8/17 | Wed 2/8/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 111 | Prepare and Distribute As-Is JAD Session Meeting Minutes 8 - BPR Weekly Review | 1 day | Fri 2/10/17 | Fri 2/10/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 112 | Prepare and Distribute As-Is JAD Session Meeting Minutes 9 - Travel to MIA/WPB field | 1 day | Wed 2/15/17 | Wed 2/15/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 113 | Prepare and Distribute As-Is JAD Session Meeting Minutes 10 - Travel to MIA/WPB field | 1 day | Fri 2/17/17 | Fri 2/17/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 114 | Prepare and Distribute As-Is JAD Session Meeting Minutes 11 - Batch file process and claims/eligibility | 1 day | Wed 2/22/17 | Wed 2/22/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 115 | Prepare and Distribute As-Is JAD Session Meeting Minutes 12 - AAA/ADRC | 1 day | Fri 2/24/17 | Fri 2/24/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 116 | Prepare and Distribute As-Is JAD Session Meeting Minutes 13 - Update Contract Manager Jenny Rojas | 1 day | Wed 3/1/17 | Wed 3/1/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 117 | Prepare and Distribute As-Is JAD Session Meeting Minutes 14 - Process Flows | 1 day | Fri 3/3/17 | Fri 3/3/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 118 | Prepare and Distribute As-Is JAD Session Meeting Minutes 15 - Remaining and Tabled Workflows | 1 day | Wed 3/8/17 | Wed 3/8/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 119 | Prepare and Distribute As-Is JAD Session Meeting Minutes 16 - BPR AAA/ADRC | 1 day | Fri 3/10/17 | Fri 3/10/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 120 | BPR Definition (To-Be and Requirements) | 57 days | Mon 3/13/17 | Mon 5/29/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 121 | Execution of 'To-Be' Processes and Requirements | 36 days | Mon 3/13/17 | Fri 4/28/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 122 | Prepare To-Be and Requirements JAD Session Agenda | 34 days | Mon 3/13/17 | Wed 4/26/17 | | Deanna Settergren,Shawna Flager | | | | |
| 123 | Prepare To-Be and Requirements JAD Session Agenda 1 - CARES Intake Process Flow | 1 day | Mon 3/13/17 | Mon 3/13/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 124 | Prepare To-Be and Requirements JAD Session Agenda 2 - ADRC Intake Process Flow | 1 day | Tue 3/14/17 | Tue 3/14/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 125 | Prepare To-Be and Requirements JAD Session Agenda 3 - CARES Assessment Process | 1 day | Mon 3/20/17 | Mon 3/20/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 126 | Prepare To-Be and Requirements JAD Session Agenda 4 - ADRC Referral and Screening Process Flow | 1 day | Tue 3/21/17 | Tue 3/21/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 127 | Prepare To-Be and Requirements JAD Session Agenda 5 - CARES Staffing/LOC/Recommended Placement Process Flow | 1 day | Mon 3/27/17 | Mon 3/27/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 128 | Prepare To-Be and Requirements JAD Session Agenda 6 - Project Team Account Registration and Login Process Flow | 1 day | Wed 3/29/17 | Wed 3/29/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 129 | Prepare To-Be and Requirements JAD Session Agenda 7 - CARES Follow-Up Process Flow | 1 day | Mon 4/3/17 | Mon 4/3/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 130 | Prepare To-Be and Requirements JAD Session Agenda 8 - ADRC Monitoring Process Flow | 1 day | Tue 4/4/17 | Tue 4/4/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 131 | Prepare To-Be and Requirements JAD Session Agenda 9 - Project Team Dashboard Process | 1 day | Wed 4/5/17 | Wed 4/5/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 132 | Prepare To-Be and Requirements JAD Session Agenda 10 - CARES Document Upload | 1 day | Mon 4/10/17 | Mon 4/10/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 133 | Prepare To-Be and Requirements JAD Session Agenda 11 - ADRC Grievance Process Flow | 1 day | Tue 4/11/17 | Tue 4/11/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 134 | Prepare To-Be and Requirements JAD Session Agenda 12 - Project Team Scheduling Process | 1 day | Wed 4/12/17 | Wed 4/12/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 135 | Prepare To-Be and Requirements JAD Session Agenda 13 - ADRC Document Upload Process | 1 day | Tue 4/18/17 | Tue 4/18/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 136 | Prepare To-Be and Requirements JAD Session Agenda 14 - ADRC Care Plans | 1 day | Wed 4/19/17 | Wed 4/19/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |

Project: CIRTS Master Project Schedule
Date: Wed 10/3/18

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|-----------------|--|--------------------|--|-----------------------|--|--------------------|--|
| Task | | External Tasks | | Duration-only | | External Tasks | |
| Split | | External Milestone | | Manual Summary Rollup | | External Milestone | |
| Milestone | | Inactive Milestone | | Manual Summary | | Progress | |
| Summary | | Inactive Summary | | Start-only | | Deadline | |
| Project Summary | | Manual Task | | Finish-only | | | |

| ID | Task Name | Duration | Start | Finish | Predecessors | Resource Names | 20 | 22 | 24 | 26 |
|-----|---|----------|-------------|-------------|--------------|---|----|----|----|----|
| 137 | Prepare To-Be and Requirements JAD Session Agenda 15 - Business Analyst Integrations Process Flow | 1 day | Wed 4/19/17 | Wed 4/19/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 138 | Prepare To-Be and Requirements JAD Session Agenda 16 - ADRC Contract/Budget/Billing Process Flow | 1 day | Tue 4/25/17 | Tue 4/25/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 139 | Prepare To-Be and Requirements JAD Session Agenda 17 - Business Analyst Reports F | 1 day | Wed 4/26/17 | Wed 4/26/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 140 | Conduct To-Be and Requirements JAD Sessions | 34 days | Tue 3/14/17 | Thu 4/27/17 | | Deanna Settergren, Shawna Flager | | | | |
| 141 | Conduct To-Be and Requirements JAD Sessions 1 - CARES Intake Process Flow | 1 day | Tue 3/14/17 | Tue 3/14/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 142 | To-Be and Requirements JAD Session 2 - ADRC Intake Process Flow | 1 day | Wed 3/15/17 | Wed 3/15/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 143 | To-Be and Requirements JAD Session 3 - CARES Assessment Process Flow | 1 day | Tue 3/21/17 | Tue 3/21/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 144 | To-Be and Requirements JAD Session 4 - ADRC Referral and Screening Process Flow | 1 day | Wed 3/22/17 | Wed 3/22/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 145 | To-Be and Requirements JAD Session 5 - CARES Staffing/LOC/Recommended Placement Process Flow | 1 day | Tue 3/28/17 | Tue 3/28/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 146 | To-Be and Requirements JAD Session 6 - Project Team Account Registration and Login | 1 day | Thu 3/30/17 | Thu 3/30/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 147 | To-Be and Requirements JAD Session 7 - CARES Follow-Up Process Flow | 1 day | Tue 4/4/17 | Tue 4/4/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 148 | To-Be and Requirements JAD Session 8 - ADRC Monitoring Process Flow | 1 day | Wed 4/5/17 | Wed 4/5/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 149 | To-Be and Requirements JAD Session 9 - Project Team Dashboard Process Flow | 1 day | Thu 4/6/17 | Thu 4/6/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 150 | To-Be and Requirements JAD Session 10 - CARES Document Upload Process Flow | 1 day | Tue 4/11/17 | Tue 4/11/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 151 | To-Be and Requirements JAD Session 11 - ADRC Grievance Process Flow | 1 day | Wed 4/12/17 | Wed 4/12/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 152 | To-Be and Requirements JAD Session 12 - Project Team Scheduling Process Flow | 1 day | Thu 4/13/17 | Thu 4/13/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 153 | To-Be and Requirements JAD Session 13 - ADRC Document Upload Process Flow | 1 day | Wed 4/19/17 | Wed 4/19/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 154 | To-Be and Requirements JAD Session 14 - ADRC Care Plans | 1 day | Thu 4/20/17 | Thu 4/20/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 155 | To-Be and Requirements JAD Session 15 - Business Analyst Integrations Process Flow | 1 day | Thu 4/20/17 | Thu 4/20/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 156 | To-Be and Requirements JAD Session 16 - ADRC Contract/Budget/Billing Process Flow | 1 day | Wed 4/26/17 | Wed 4/26/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 157 | To-Be and Requirements JAD Session 17 - Business Analyst Reports Process Flow | 1 day | Thu 4/27/17 | Thu 4/27/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 158 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes | 34 days | Wed 3/15/17 | Fri 4/28/17 | | Deanna Settergren, Shawna Flager | | | | |
| 159 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 1 - CARES Intake Process Flow | 1 day | Wed 3/15/17 | Wed 3/15/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 160 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 2 - ADRC Intake Process Flow | 1 day | Thu 3/16/17 | Thu 3/16/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 161 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 3 - CARES Assessment Process Flow | 1 day | Wed 3/22/17 | Wed 3/22/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 162 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 4 - ADRC Referral and Screening Process Flow | 1 day | Thu 3/23/17 | Thu 3/23/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 163 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 5 - CARES Staffing/LOC/Recommended Placement Process Flow | 1 day | Wed 3/29/17 | Wed 3/29/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 164 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 6 - Project Team Dashboard Process Flow | 1 day | Fri 3/31/17 | Fri 3/31/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |
| 165 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 7 - CARES Follow-Up Process Flow | 1 day | Wed 4/5/17 | Wed 4/5/17 | | Deanna Settergren, Shawna Flager, DOEA SMEs | | | | |

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|---|-----------------|--|--------------------|--|-----------------------|--|--------------------|--|
| Project: CIRTS Master Project Schedu Date: Wed 10/3/18 | Task | | External Tasks | | Duration-only | | External Tasks | |
| | Split | | External Milestone | | Manual Summary Rollup | | External Milestone | |
| | Milestone | | Inactive Milestone | | Manual Summary | | Progress | |
| | Summary | | Inactive Summary | | Start-only | | Deadline | |
| | Project Summary | | Manual Task | | Finish-only | | | |

| ID | Task Name | Duration | Start | Finish | Predecessors | Resource Names | 20 | 22 | 24 | 26 |
|-----|---|----------|-------------|-------------|--------------|--|----|----|----|----|
| 166 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 8 - ADRC Monitoring Process Flow | 1 day | Thu 4/6/17 | Thu 4/6/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 167 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 9 - Project Team Dashboard Process Flow | 1 day | Fri 4/7/17 | Fri 4/7/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 168 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 10 - CARES Document Upload Process Flow | 1 day | Wed 4/12/17 | Wed 4/12/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 169 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 11 - ADRC Grievance Process Flow | 1 day | Thu 4/13/17 | Thu 4/13/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 170 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 12 - Project Team Scheduling Process Flow | 1 day | Fri 4/14/17 | Fri 4/14/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 171 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 13 - ADRC Document Upload Process Flow | 1 day | Thu 4/20/17 | Thu 4/20/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 172 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 14 - ADRC Document Upload Process Flow | 1 day | Fri 4/21/17 | Fri 4/21/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 173 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 15 - Business Analyst Integrations Process Flow | 1 day | Fri 4/21/17 | Fri 4/21/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 174 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 16 - ADRC Contract/Budget/Billing Process Flow | 1 day | Thu 4/27/17 | Thu 4/27/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 175 | Prepare and Distribute To-Be and Requirements JAD Session Meeting Minutes 17 - Business Analyst Reports Process Flow | 1 day | Fri 4/28/17 | Fri 4/28/17 | | Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 176 | BPR Deliverable | 104 days | Tue 1/17/17 | Thu 6/8/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 177 | Develop BPR Deliverable | 83 days | Tue 1/17/17 | Thu 5/11/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 178 | Distribute BPR for Internal Review/Approval | 5 days | Fri 5/12/17 | Thu 5/18/17 | 177 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 179 | Remediate Feedback From Internal Review | 1 day | Fri 5/19/17 | Fri 5/19/17 | 178 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 180 | Submit Final Draft BPR to DOEA for Review/Approval | 5 days | Mon 5/22/17 | Fri 5/26/17 | 179 | DOEA Contract Manager,DOEA Project Manager,DOEA SMEs | | | | |
| 181 | Remediate DOEA Feedback | 1 day | Mon 5/29/17 | Mon 5/29/17 | 180 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 182 | Submit review of remediated items to client for second review (if needed) | 5 days | Tue 5/30/17 | Mon 6/5/17 | 181 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 183 | Remediate Feedback From Second Review (if needed) | 1 day | Tue 6/6/17 | Tue 6/6/17 | 182 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 184 | Submit Updated BPR to DOEA for Final Approval/Signoff | 1 day | Wed 6/7/17 | Wed 6/7/17 | 183 | DOEA Contract Manager,DOEA Project Manager | | | | |
| 185 | Approved BPR | 1 day | Thu 6/8/17 | Thu 6/8/17 | 184 | DOEA Project Manager,DOEA Contract Manager | | | | |
| 186 | Requirements Deliverable | 55 days | Mon 4/10/17 | Fri 6/23/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 187 | Develop Document Requirements Deliverable | 35 days | Mon 4/10/17 | Fri 5/26/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 188 | Distribute Requirements for Internal Review/Approval | 5 days | Mon 5/29/17 | Fri 6/2/17 | 187 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 189 | Remediate Feedback From Internal Review | 1 day | Mon 6/5/17 | Mon 6/5/17 | 188 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 190 | Submit Final Draft Requirements to DOEA for Review/Approval | 5 days | Tue 6/6/17 | Mon 6/12/17 | 189 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 191 | Remediate DOEA Feedback | 1 day | Tue 6/13/17 | Tue 6/13/17 | 190 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 192 | Submit review of remediated items to client for second review (if needed) | 5 days | Wed 6/14/17 | Tue 6/20/17 | 191 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 193 | Remediate Feedback From Second Review (if needed) | 1 day | Wed 6/21/17 | Wed 6/21/17 | 192 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 194 | Submit Updated Requirements to DOEA for Final Approval/Signoff | 1 day | Thu 6/22/17 | Thu 6/22/17 | 193 | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 195 | Approved Requirements | 1 day | Fri 6/23/17 | Fri 6/23/17 | 194 | DOEA Project Manager,DOEA Contract Manager | | | | |

Project: CIRTS Master Project Schedu
Date: Wed 10/3/18

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|-----------------|--|--------------------|--|-----------------------|--|--------------------|--|
| Task | | External Tasks | | Duration-only | | External Tasks | |
| Split | | External Milestone | | Manual Summary Rollup | | External Milestone | |
| Milestone | | Inactive Milestone | | Manual Summary | | Progress | |
| Summary | | Inactive Summary | | Start-only | | Deadline | |
| Project Summary | | Manual Task | | Finish-only | | | |

| ID | Task Name | Duration | Start | Finish | Predecessors | Resource Names | 20 | 22 | 24 | 26 |
|-----|---|----------|-------------|-------------|--------------|--|----|----|----|----|
| 196 | Market Solution Analysis | 102 days | Mon 1/30/17 | Mon 6/19/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 197 | Define Key Goals and Objectives | 13 days | Fri 1/6/17 | Tue 1/24/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 198 | Develop DED for Market Solution Analysis Report | 27 days | Wed 1/11/17 | Thu 2/16/17 | | John Collins,Mark Ervin | | | | |
| 199 | Develop Draft Deliverable Expectations Document (DED) for Market Solution Analysis Report | 13 days | Wed 1/11/17 | Tue 2/7/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 200 | Distribute DED for Internal Review and Approval | 1 day | Tue 2/7/17 | Wed 2/8/17 | 199 | John Collins,Mark Ervin | | | | |
| 201 | Submit Final Draft DED to DOEA for Review/Approval | 1 day | Wed 2/8/17 | Thu 2/9/17 | 200 | DOEA Contract Manager,DOEA Project Manager,DOEA SMEs | | | | |
| 202 | Update PMP Based on DOEA Feedback | 1 day | Thu 2/9/17 | Fri 2/10/17 | 201 | John Collins,Mark Ervin | | | | |
| 203 | Submit Updated DED to DOEA for Final Approval/Signoff | 1 day | Fri 2/10/17 | Mon 2/13/17 | 202 | DOEA Contract Manager,DOEA Project Manager | | | | |
| 204 | Approved DED | 3 days | Mon 2/13/17 | Thu 2/16/17 | 203 | DOEA Project Manager,DOEA Contract Manager | | | | |
| 205 | Identify Resources and Data Sets for Data Collection and Analysis (Internal and External) | 50 days | Wed 2/1/17 | Mon 4/10/17 | | | | | | |
| 206 | Perform Data Collection and Analysis | 64 days | Wed 2/1/17 | Fri 4/28/17 | | | | | | |
| 207 | Contact Comparable States Providing Elder Cares Services to Collect Feedback | 58 days | Thu 2/9/17 | Fri 4/28/17 | | John Collins | | | | |
| 208 | Conduct Interviews with DOEA Staff as Required for Analysis | 50 days | Wed 2/1/17 | Mon 4/10/17 | | John Collins | | | | |
| 209 | Review DOEA Data from Past 5 years to Determine Trends and Projections | 57 days | Fri 2/10/17 | Fri 4/28/17 | | John Collins | | | | |
| 210 | Conduct Market Solution Information Gathering Sessions | 53 days | Mon 2/6/17 | Tue 4/18/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 211 | Market Solution Analysis Meetings 1 - Initial Call with PeerPlace | 1 day | Fri 3/3/17 | Fri 3/3/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 212 | Market Solution Analysis Meetings 2 - Initial Call with Stratoge Partners - ProntoForms/BIR | 1 day | Fri 3/3/17 | Fri 3/3/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 213 | Market Solution Analysis Meetings 3 - Initial Call with CAI | 1 day | Mon 3/6/17 | Mon 3/6/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 214 | Market Solution Analysis Meetings 4 - Initial Call with Medware/Harmony | 1 day | Tue 3/7/17 | Tue 3/7/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 215 | Market Solution Analysis Meetings 5 - Initial Call with Therap | 1 day | Wed 3/8/17 | Wed 3/8/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 216 | Market Solution Analysis Meetings 6 - Initial Call with Salesforce | 1 day | Mon 3/13/17 | Mon 3/13/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 217 | Market Solution Analysis Meetings 7 - Initial Call with Oracle | 1 day | Wed 3/15/17 | Wed 3/15/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 218 | Market Solution Analysis Meetings 8 - Initial Call with ISC - Care Director | 1 day | Thu 3/16/17 | Thu 3/16/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 219 | Market Solution Analysis Meetings 9 - Initial Call with 180 Consulting - Knowledge Services | 1 day | Thu 3/16/17 | Thu 3/16/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 220 | Market Solution Analysis Meetings 10 - Initial Call with Intact Partners | 1 day | Tue 3/28/17 | Tue 3/28/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 221 | Market Solution Analysis Meetings 11 - Demo with Stratoge Partners - ProntoForms/BIRST | 1 day | Wed 3/29/17 | Wed 3/29/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 222 | Market Solution Analysis Meetings 12 - Demo with PeerPlace | 1 day | Wed 3/29/17 | Wed 3/29/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 223 | Market Solution Analysis Meetings 13 - Demo with Therap | 1 day | Thu 3/30/17 | Thu 3/30/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 224 | Market Solution Analysis Meetings 14 - Demo with Oracle | 1 day | Tue 4/4/17 | Tue 4/4/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 225 | Market Solution Analysis Meetings 15 - Demo with 180 Consulting - Knowledge Services | 1 day | Wed 4/5/17 | Wed 4/5/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 226 | Market Solution Analysis Meetings 16 - Demo with Salesforce | 1 day | Thu 4/6/17 | Thu 4/6/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 227 | Market Solution Analysis Meetings 17 - Demo with Medware/Harmony | 1 day | Fri 4/7/17 | Fri 4/7/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 228 | Market Solution Analysis Meetings 18 - Demo with CAI | 1 day | Wed 4/12/17 | Wed 4/12/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 229 | Market Solution Analysis Meetings 20 - Demo with Intact Partners - Power line | 1 day | Fri 4/14/17 | Fri 4/14/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 230 | Market Solution Analysis Meetings 19 - Demo with ISC - Care Director | 1 day | Tue 4/18/17 | Tue 4/18/17 | | John Collins,Mark Ervin,DOEA Contract Manager,DOEA Project | | | | |
| 231 | Develop Market Solution Analysis Report Deliverable | 47 days | Fri 4/14/17 | Mon 6/19/17 | | John Collins,Mark Ervin | | | | |

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Date: Wed 10/3/18

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|-----------------|--|--------------------|--|-----------------------|--|--------------------|--|
| Task | | External Tasks | | Duration-only | | External Tasks | |
| Split | | External Milestone | | Manual Summary Rollup | | External Milestone | |
| Milestone | | Inactive Milestone | | Manual Summary | | Progress | |
| Summary | | Inactive Summary | | Start-only | | Deadline | |
| Project Summary | | Manual Task | | Finish-only | | | |

| ID | Task Name | Duration | Start | Finish | Predecessors | Resource Names | 20 | 22 | 24 | 26 |
|-----|---|----------|-------------|-------------|--------------|---|----|----|----|----|
| 232 | Develop Market Solution Analysis Report and Recommendations | 35 days | Fri 4/14/17 | Fri 6/2/17 | | John Collins,Mark Ervin | | | | |
| 233 | Distribute Market Solution Analysis Report for Internal Review/Approval | 3 days | Mon 6/5/17 | Wed 6/7/17 | 232 | John Collins,Mark Ervin | | | | |
| 234 | Submit Final Draft Market Solution Analysis Report to DOEA for Review/Approval | 5 days | Thu 6/8/17 | Wed 6/14/17 | 233 | DOEA Contract Manager,DOEA Project Manager,DOEA SMEs | | | | |
| 235 | Update Market Solution Analysis Report Based on DOEA Feedback | 1 day | Thu 6/15/17 | Thu 6/15/17 | 234 | John Collins,Mark Ervin | | | | |
| 236 | Submit Updated Market Solution Analysis Report to DOEA for Final Approval/Signoff | 1 day | Fri 6/16/17 | Fri 6/16/17 | 235 | DOEA Contract Manager,DOEA Project Manager | | | | |
| 237 | Approved Market Solution Analysis Report | 1 day | Mon 6/19/17 | Mon 6/19/17 | 236 | DOEA Project Manager,DOEA Contract Manager | | | | |
| 238 | PMO Recurring Meetings/Reports | 121 days | Mon 1/16/17 | Fri 6/30/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 239 | Weekly Internal Status Update Meeting | 117 days | Mon 1/16/17 | Mon 6/26/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 240 | Weekly Internal Status Update Meeting 1 | 1 day | Mon 1/16/17 | Mon 1/16/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 241 | Weekly Internal Status Update Meeting 2 | 1 day | Mon 1/23/17 | Mon 1/23/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 242 | Weekly Internal Status Update Meeting 3 | 1 day | Mon 1/30/17 | Mon 1/30/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 243 | Weekly Internal Status Update Meeting 4 | 1 day | Mon 2/6/17 | Mon 2/6/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 244 | Weekly Internal Status Update Meeting 5 | 1 day | Mon 2/13/17 | Mon 2/13/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 245 | Weekly Internal Status Update Meeting 6 | 1 day | Mon 2/20/17 | Mon 2/20/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 246 | Weekly Internal Status Update Meeting 7 | 1 day | Mon 2/27/17 | Mon 2/27/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 247 | Weekly Internal Status Update Meeting 8 | 1 day | Mon 3/6/17 | Mon 3/6/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 248 | Weekly Internal Status Update Meeting 9 | 1 day | Mon 3/13/17 | Mon 3/13/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 249 | Weekly Internal Status Update Meeting 10 | 1 day | Mon 3/20/17 | Mon 3/20/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 250 | Weekly Internal Status Update Meeting 11 | 1 day | Mon 3/27/17 | Mon 3/27/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 251 | Weekly Internal Status Update Meeting 12 | 1 day | Mon 4/3/17 | Mon 4/3/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 252 | Weekly Internal Status Update Meeting 13 | 1 day | Mon 4/10/17 | Mon 4/10/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 253 | Weekly Internal Status Update Meeting 14 | 1 day | Mon 4/17/17 | Mon 4/17/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 254 | Weekly Internal Status Update Meeting 15 | 1 day | Mon 4/24/17 | Mon 4/24/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 255 | Weekly Internal Status Update Meeting 16 | 1 day | Mon 5/1/17 | Mon 5/1/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 256 | Weekly Internal Status Update Meeting 17 | 1 day | Mon 5/8/17 | Mon 5/8/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 257 | Weekly Internal Status Update Meeting 18 | 1 day | Mon 5/15/17 | Mon 5/15/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 258 | Weekly Internal Status Update Meeting 19 | 1 day | Mon 5/22/17 | Mon 5/22/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 259 | Weekly Internal Status Update Meeting 20 | 1 day | Mon 5/29/17 | Mon 5/29/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 260 | Weekly Internal Status Update Meeting 21 | 1 day | Mon 6/5/17 | Mon 6/5/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 261 | Weekly Internal Status Update Meeting 22 | 1 day | Mon 6/12/17 | Mon 6/12/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 262 | Weekly Internal Status Update Meeting 23 | 1 day | Mon 6/19/17 | Mon 6/19/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 263 | Weekly Internal Status Update Meeting 24 | 1 day | Mon 6/26/17 | Mon 6/26/17 | | John Collins,Deanna Settergren,Shawna Flager,Mark Ervin | | | | |
| 264 | Weekly Project Schedule Update | 112 days | Fri 1/27/17 | Fri 6/30/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 265 | Weekly Project Schedule Update 1 | 1 day | Fri 1/27/17 | Fri 1/27/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 266 | Weekly Project Schedule Update 2 | 1 day | Fri 2/3/17 | Fri 2/3/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 267 | Weekly Project Schedule Update 3 | 1 day | Fri 2/10/17 | Fri 2/10/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |

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|---|-----------------|--|--------------------|--|-----------------------|--|--------------------|--|
| Project: CIRTS Master Project Schedu Date: Wed 10/3/18 | Task | | External Tasks | | Duration-only | | External Tasks | |
| | Split | | External Milestone | | Manual Summary Rollup | | External Milestone | |
| | Milestone | | Inactive Milestone | | Manual Summary | | Progress | |
| | Summary | | Inactive Summary | | Start-only | | Deadline | |
| | Project Summary | | Manual Task | | Finish-only | | | |

| ID | Task Name | Duration | Start | Finish | Predecessors | Resource Names | 20 | 22 | 24 | 26 |
|-----|-------------------------------------|----------|-------------|-------------|--------------|---|----|----|----|----|
| 268 | Weekly Project Schedule Update 4 | 1 day | Fri 2/17/17 | Fri 2/17/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 269 | Weekly Project Schedule Update 5 | 1 day | Fri 2/24/17 | Fri 2/24/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 270 | Weekly Project Schedule Update 6 | 1 day | Fri 3/3/17 | Fri 3/3/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 271 | Weekly Project Schedule Update 7 | 1 day | Fri 3/10/17 | Fri 3/10/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 272 | Weekly Project Schedule Update 8 | 1 day | Fri 3/17/17 | Fri 3/17/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 273 | Weekly Project Schedule Update 9 | 1 day | Fri 3/24/17 | Fri 3/24/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 274 | Weekly Project Schedule Update 10 | 1 day | Fri 3/31/17 | Fri 3/31/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 275 | Weekly Project Schedule Update 11 | 1 day | Fri 4/7/17 | Fri 4/7/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 276 | Weekly Project Schedule Update 12 | 1 day | Fri 4/14/17 | Fri 4/14/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 277 | Weekly Project Schedule Update 13 | 1 day | Fri 4/21/17 | Fri 4/21/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 278 | Weekly Project Schedule Update 14 | 1 day | Fri 4/28/17 | Fri 4/28/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 279 | Weekly Project Schedule Update 15 | 1 day | Fri 5/5/17 | Fri 5/5/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 280 | Weekly Project Schedule Update 16 | 1 day | Fri 5/12/17 | Fri 5/12/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 281 | Weekly Project Schedule Update 17 | 1 day | Fri 5/19/17 | Fri 5/19/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 282 | Weekly Project Schedule Update 18 | 1 day | Fri 5/26/17 | Fri 5/26/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 283 | Weekly Project Schedule Update 19 | 1 day | Fri 6/2/17 | Fri 6/2/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 284 | Weekly Project Schedule Update 20 | 1 day | Fri 6/9/17 | Fri 6/9/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 285 | Weekly Project Schedule Update 21 | 1 day | Fri 6/16/17 | Fri 6/16/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 286 | Weekly Project Schedule Update 22 | 1 day | Fri 6/23/17 | Fri 6/23/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 287 | Weekly Project Schedule Update 23 | 1 day | Fri 6/30/17 | Fri 6/30/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 288 | Bi-weekly Project Status Meeting | 112 days | Wed 1/25/17 | Wed 6/28/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 289 | Bi-weekly Project Status Meeting 1 | 1 day | Wed 1/25/17 | Wed 1/25/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 290 | Bi-weekly Project Status Meeting 2 | 1 day | Wed 2/8/17 | Wed 2/8/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 291 | Bi-weekly Project Status Meeting 3 | 1 day | Wed 2/22/17 | Wed 2/22/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 292 | Bi-weekly Project Status Meeting 4 | 1 day | Wed 3/8/17 | Wed 3/8/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 293 | Bi-weekly Project Status Meeting 5 | 1 day | Wed 3/22/17 | Wed 3/22/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 294 | Bi-weekly Project Status Meeting 6 | 1 day | Wed 4/5/17 | Wed 4/5/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 295 | Bi-weekly Project Status Meeting 7 | 1 day | Wed 4/19/17 | Wed 4/19/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 296 | Bi-weekly Project Status Meeting 8 | 1 day | Wed 5/3/17 | Wed 5/3/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 297 | Bi-weekly Project Status Meeting 9 | 1 day | Wed 5/17/17 | Wed 5/17/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 298 | Bi-weekly Project Status Meeting 10 | 1 day | Wed 5/31/17 | Wed 5/31/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 299 | Bi-weekly Project Status Meeting 11 | 1 day | Wed 6/14/17 | Wed 6/14/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 300 | Bi-weekly Project Status Meeting 12 | 1 day | Wed 6/28/17 | Wed 6/28/17 | | | | | | |
| 301 | Bi-weekly Status Report | 112 days | Wed 1/25/17 | Wed 6/28/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 302 | Bi-weekly Status Report 1 | 1 day | Wed 1/25/17 | Wed 1/25/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 303 | Bi-weekly Status Report 2 | 1 day | Wed 2/8/17 | Wed 2/8/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |

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|---|-----------------|--|--------------------|--|-----------------------|--|--------------------|--|
| Project: CIRTS Master Project Schedu Date: Wed 10/3/18 | Task | | External Tasks | | Duration-only | | External Tasks | |
| | Split | | External Milestone | | Manual Summary Rollup | | External Milestone | |
| | Milestone | | Inactive Milestone | | Manual Summary | | Progress | |
| | Summary | | Inactive Summary | | Start-only | | Deadline | |
| | Project Summary | | Manual Task | | Finish-only | | | |

| ID | Task Name | Duration | Start | Finish | Predecessors | Resource Names | 20 | 22 | 24 | 26 |
|-----|--|-----------------|--------------------|--------------------|--------------|---|----|----|----|----|
| 304 | Bi-weekly Status Report 3 | 1 day | Wed 2/22/17 | Wed 2/22/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 305 | Bi-weekly Status Report 4 | 1 day | Wed 3/8/17 | Wed 3/8/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 306 | Bi-weekly Status Report 5 | 1 day | Wed 3/22/17 | Wed 3/22/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 307 | Bi-weekly Status Report 6 | 1 day | Wed 4/5/17 | Wed 4/5/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 308 | Bi-weekly Status Report 7 | 1 day | Wed 4/19/17 | Wed 4/19/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 309 | Bi-weekly Status Report 8 | 1 day | Wed 5/3/17 | Wed 5/3/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 310 | Bi-weekly Status Report 9 | 1 day | Wed 5/17/17 | Wed 5/17/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 311 | Bi-weekly Status Report 10 | 1 day | Wed 5/31/17 | Wed 5/31/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 312 | Bi-weekly Status Report 11 | 1 day | Wed 6/14/17 | Wed 6/14/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 313 | Bi-weekly Status Report 12 | 1 day | Wed 6/28/17 | Wed 6/28/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 314 | Closing | 1 day | Fri 6/30/17 | Fri 6/30/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA Project M | | | | |
| 315 | Perform Lessons Learned Meeting | 1 day | Fri 6/30/17 | Fri 6/30/17 | | John Collins,Deanna Settergren,Shawna Flager,DOEA SMEs | | | | |
| 316 | Document Lessons Learned | 1 day | Fri 6/30/17 | Fri 6/30/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 317 | Ensure All Project Documentation and Deliverables are Archived in DOEA CIRTS SharePoint Site | 1 day | Fri 6/30/17 | Fri 6/30/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 318 | Ensure All Vendor Invoices Have Been Submitted | 1 day | Fri 6/30/17 | Fri 6/30/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 319 | Perform Internal Team Assessment | 1 day | Fri 6/30/17 | Fri 6/30/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 320 | Release Project Resources | 1 day | Fri 6/30/17 | Fri 6/30/17 | | DOEA Project Manager,DOEA Contract Manager | | | | |
| 321 | Complete Roll off Activities for Vendor | 1 day | Fri 6/30/17 | Fri 6/30/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 322 | Acceptance by DOEA to Formally Close Out Project | 1 day | Fri 6/30/17 | Fri 6/30/17 | | DOEA Project Manager,DOEA Contract Manager | | | | |
| 323 | Project Closeout | 1 day | Fri 6/30/17 | Fri 6/30/17 | | John Collins,Deanna Settergren,Shawna Flager | | | | |
| 324 | Phase II - Pre-Design, Develop, and Implement: Planning Advanced Planning Document, Schedule IV-B, Update Project Artifacts, Use Case, Procurement, and Organizational Change Management Plan Development | 260 days | Mon 7/3/17 | Fri 6/29/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 325 | Phase II Project Initiation (Kickoff) | 1 day | Mon 7/24/17 | Mon 7/24/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 326 | Update Project Management Artifacts | 20 days | Mon 7/24/17 | Fri 8/18/17 | | John Collins,Deanna Settergren,Mark Ervin | | | | |
| 327 | Update Project Charter | 20 days | Mon 7/24/17 | Fri 8/18/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 328 | Update Project Management Plan (rolling wave update) | 20 days | Mon 7/24/17 | Fri 8/18/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 329 | Update Master Project Schedule | 20 days | Mon 7/24/17 | Fri 8/18/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 330 | Schedule IV-B Activities | 40 days | Mon 7/24/17 | Fri 9/15/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 331 | Discovery and Research for Schedule IV-B | 5 days? | Mon 7/24/17 | Fri 7/28/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 332 | Develop Schedule IV-B | 19 days? | Mon 7/31/17 | Thu 8/24/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 333 | Submit Schedule IV-B for Internal Review | 2 days? | Fri 8/25/17 | Mon 8/28/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 334 | Incorporate Feedback from Internal Review | 2 days? | Tue 8/29/17 | Wed 8/30/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 335 | Submit Final Draft Schedule IV-B to DOEA for Review | 5 days? | Thu 8/31/17 | Wed 9/6/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 336 | Incorporate DOEA Comments and Feedback for Schedule IV-B | 5 days? | Wed 9/6/17 | Tue 9/12/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |

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|---|-----------------|--|--------------------|--|-----------------------|--|--------------------|--|
| Project: CIRTS Master Project Schedu Date: Wed 10/3/18 | Task | | External Tasks | | Duration-only | | External Tasks | |
| | Split | | External Milestone | | Manual Summary Rollup | | External Milestone | |
| | Milestone | | Inactive Milestone | | Manual Summary | | Progress | |
| | Summary | | Inactive Summary | | Start-only | | Deadline | |
| | Project Summary | | Manual Task | | Finish-only | | | |

| ID | Task Name | Duration | Start | Finish | Predeces | Resource Names | 20 | 22 | 24 | 26 |
|-----|---|----------------|---------------------|--------------------|----------|--|----|----|----|----|
| 337 | Submit Final Schedule IV-B Deliverable to DOEA for Validation and Signoff | 1 day? | Tue 9/12/17 | Tue 9/12/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 338 | Schedule IV-B Deliverable Approved and Signed by DOEA | 3 days? | Wed 9/13/17 | Fri 9/15/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 339 | Submit Approved LBR and Schedule IV-B to AST for Review | 4 days? | Mon 9/18/17 | Thu 9/21/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 340 | Advance Planning Document Activities | 45 days | Mon 7/31/17 | Fri 9/29/17 | | Tom Johnson,John Collins,Deanna Settergren,Mark Ervin,Di | | | | |
| 341 | Discovery and Research for Advance Planning Document | 5 days? | Mon 7/31/17 | Fri 8/4/17 | | Tom Johnson,John Collins,Deanna Settergren,Mark Ervin,DOEA | | | | |
| 342 | Develop Advance Planning Document | 23 days? | Fri 8/4/17 | Tue 9/5/17 | | Tom Johnson,John Collins,Deanna Settergren,Mark Ervin,DOEA | | | | |
| 343 | Submit Advance Planning Document for Internal Review | 2 days? | Wed 9/6/17 | Thu 9/7/17 | | Tom Johnson,John Collins,Deanna Settergren,Mark Ervin,DOEA | | | | |
| 344 | Incorporate Feedback from Internal Review | 2 days? | Fri 9/8/17 | Mon 9/11/17 | | Tom Johnson,John Collins,Deanna Settergren,Mark Ervin,DOEA | | | | |
| 345 | Submit Final Draft Advance Planning Document to DOEA for Review | 5 days? | Tue 9/12/17 | Mon 9/18/17 | | Tom Johnson,John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA | | | | |
| 346 | Incorporate DOEA Comments and Feedback for Advance Planning Document | 5 days? | Tue 9/19/17 | Mon 9/25/17 | | Tom Johnson,John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA | | | | |
| 347 | Submit Final Advance Planning Document Deliverable to DOEA for Validation and Signoff | 1 day? | Tue 9/26/17 | Tue 9/26/17 | | Tom Johnson,John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA | | | | |
| 348 | Advance Planning Document Deliverable Approved and Signed by DOEA | 3 days? | Wed 9/27/17 | Fri 9/29/17 | | Tom Johnson,John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA | | | | |
| 349 | Submit Approved Advance Planning Document, Invitation to Negotiate, Project Management Plan, Master Project Schedule, and selected vendor proposal to AHCA for Review | 10 days? | Mon 10/2/17 | Fri 10/13/17 | | Tom Johnson,John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 350 | Submit Approved Advance Planning Document, Invitation to Negotiate, Project Management Plan, Master Project Schedule, and selected vendor proposal to CMS for Review | 60 days? | Mon 10/16/17 | Fri 1/5/18 | | Tom Johnson,John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 351 | Use Case Activities | 71 days | Mon 10/30/17 | Mon 2/5/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 352 | Discovery for Use Case Development | 5 days? | Mon 10/30/17 | Fri 11/3/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 353 | Use Case Definition Meetings with DOEA | 10 days? | Mon 11/6/17 | Fri 11/17/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 354 | Develop Use Cases | 38 days? | Mon 11/20/17 | Wed 1/10/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 355 | Submit Use Case Draft for Internal Review | 2 days? | Thu 1/11/18 | Fri 1/12/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 356 | Incorporate Feedback from Internal Review | 2 days? | Mon 1/15/18 | Tue 1/16/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 357 | Submit Final Draft Use Cases to DOEA for Review | 5 days? | Wed 1/17/18 | Tue 1/23/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 358 | Incorporate DOEA Comments and Feedback for Use Cases | 5 days? | Wed 1/24/18 | Tue 1/30/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 359 | Submit Final Use Case Deliverable to DOEA for Validation and Signoff | 1 day? | Wed 1/31/18 | Wed 1/31/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 360 | Use Case Deliverable Approved and Signed by DOEA | 3 days? | Thu 2/1/18 | Mon 2/5/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 361 | Organization Change Management and Workforce Transition Plan Activities | 95 days | Mon 1/22/18 | Fri 6/1/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 362 | Discovery for Organizational Change Management Development | 1 day? | Mon 1/22/18 | Mon 1/22/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 363 | Develop Organizational Change Management and Workforce Transition Plan | 76 days? | Tue 1/23/18 | Tue 5/8/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |

Project: CIRTS Master Project Schedu
Date: Wed 10/3/18

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|-----------------|--|--------------------|--|-----------------------|--|--------------------|--|
| Task | | External Tasks | | Duration-only | | External Tasks | |
| Split | | External Milestone | | Manual Summary Rollup | | External Milestone | |
| Milestone | | Inactive Milestone | | Manual Summary | | Progress | |
| Summary | | Inactive Summary | | Start-only | | Deadline | |
| Project Summary | | Manual Task | | Finish-only | | | |

| ID | Task Name | Duration | Start | Finish | Predecessors | Resource Names | 20 | 22 | 24 | 26 |
|-----|--|-----------------|--------------------|--------------------|--------------|--|----|----|----|----|
| 364 | Submit Organizational Change Management and Workforce Transition Plan Draft for Internal Review | 2 days? | Wed 5/9/18 | Thu 5/10/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 365 | Incorporate Feedback from Internal Review | 2 days? | Fri 5/11/18 | Mon 5/14/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 366 | Submit Final Draft Organizational Change Management and Workforce Transition Plan to DOEA for Review | 5 days? | Tue 5/15/18 | Mon 5/21/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 367 | Incorporate DOEA Comments and Feedback for Organizational Change Management and Workforce Transition Plan | 5 days? | Tue 5/22/18 | Mon 5/28/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 368 | Submit Final Organizational Change Management and Workforce Transition Plan Deliverable to DOEA for Validation and Signoff | 1 day? | Tue 5/29/18 | Tue 5/29/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 369 | Organizational Change Management and Workforce Transition Plan Deliverable Approved and Signed by DOEA | 3 days? | Wed 5/30/18 | Fri 6/1/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 370 | Rolling Wave Project Update | 1 day? | Mon 1/1/18 | Mon 1/1/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 371 | Invitation to Negotiate Procurement | 230 days | Mon 8/14/17 | Fri 6/29/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 372 | Invitation to Negotiate Development Activities | 128 days | Mon 8/14/17 | Wed 2/7/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 373 | Develop Invitation to Negotiate | 20 days? | Mon 8/14/17 | Fri 9/8/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 374 | Develop Draft Contract for release with Invitation to Negotiate | 5 days? | Mon 9/11/17 | Fri 9/15/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 375 | Prepare Business Process Reengineering Documents for Release with Invitation to Negotiate | 5 days? | Mon 9/18/17 | Fri 9/22/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 376 | Prepare Requirements Documents for Release with Invitation to Negotiate | 5 days? | Mon 9/25/17 | Fri 9/29/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 377 | Prepare Use Case Documents for Release with Invitation to Negotiate | 5 days? | Mon 10/2/17 | Fri 10/6/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 378 | Prepare Inventory of Reports, Correspondence and Interfaces for Release with Invitation to Negotiate | 1 day? | Mon 10/9/17 | Mon 10/9/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 379 | Submit Draft Invitation to Negotiate and Supporting Documents for Internal Review | 2 days? | Tue 10/10/17 | Wed 10/11/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 380 | Incorporate Feedback from Internal Review | 2 days? | Thu 10/12/17 | Fri 10/13/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 381 | Submit Final Draft Invitation to Negotiate to DOEA for Review | 5 days? | Mon 10/16/17 | Fri 10/20/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 382 | Incorporate DOEA Comments and Feedback for Invitation to Negotiate | 5 days? | Mon 10/23/17 | Fri 10/27/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 383 | Submit Final Invitation to Negotiate Deliverable to DOEA for Validation and Signoff | 1 day? | Mon 10/30/17 | Mon 10/30/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 384 | Invitation to Negotiate Deliverable Approved and Signed by DOEA | 3 days? | Wed 11/1/17 | Fri 11/3/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 385 | Evaluation Preparation | 26 days | Thu 12/7/17 | Thu 1/11/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 386 | Appointment of the Evaluation Team Members | 1 day? | Thu 12/7/17 | Thu 12/7/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 387 | Completion of Conflict of Interest Questionnaires and Certifications | 1 day? | Fri 12/8/17 | Fri 12/8/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 388 | Develop Evaluation Criteria and Instructions | 3 days? | Mon 12/11/17 | Wed 12/13/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 389 | Submit Evaluation Criteria and Instructions for Internal Review | 2 days? | Thu 12/14/17 | Fri 12/15/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 390 | Incorporate Feedback from Internal Review | 2 days? | Mon 12/18/17 | Tue 12/19/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |

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|---|-----------------|--|--------------------|--|-----------------------|--|--------------------|--|
| Project: CIRTS Master Project Schedu Date: Wed 10/3/18 | Task | | External Tasks | | Duration-only | | External Tasks | |
| | Split | | External Milestone | | Manual Summary Rollup | | External Milestone | |
| | Milestone | | Inactive Milestone | | Manual Summary | | Progress | |
| | Summary | | Inactive Summary | | Start-only | | Deadline | |
| | Project Summary | | Manual Task | | Finish-only | | | |

| ID | Task Name | Duration | Start | Finish | Predecessors | Resource Names | 20 | 22 | 24 | 26 |
|-----|---|-----------------|--------------------|--------------------|--------------|--|----|----|----|----|
| 391 | Submit Evaluation Criteria and Instructions Final Draft to DOEA for Review | 7 days? | Wed 12/20/17 | Thu 12/28/17 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 392 | Incorporate DOEA Comments and Feedback for Invitation to Negotiate | 5 days? | Fri 12/29/17 | Thu 1/4/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 393 | Submit Final Evaluation Criteria and Instructions Deliverable to DOEA for Validation and Signoff | 1 day? | Fri 1/5/18 | Fri 1/5/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 394 | Evaluation Criteria and Instructions Deliverable Approved and Signed by DOEA | 3 days? | Mon 1/8/18 | Wed 1/10/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 395 | Instruct Evaluation Team on Guidelines and Criteria | 1 day? | Thu 1/11/18 | Thu 1/11/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 396 | Negotiation Preparation | 19 days | Fri 1/12/18 | Wed 2/7/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 397 | Develop Negotiation Guidelines and Instructions for Negotiators | 5 days? | Fri 1/12/18 | Thu 1/18/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 398 | Submit Negotiation Guidelines and Instructions for Internal Review | 2 days? | Fri 1/19/18 | Mon 1/22/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 399 | Incorporate Feedback from Internal Review | 2 days? | Tue 1/23/18 | Wed 1/24/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 400 | Submit Negotiation Guidelines and Instructions Final Draft to DOEA for Review | 5 days? | Fri 1/19/18 | Thu 1/25/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 401 | Incorporate DOEA Comments and Feedback for Negotiation Guidelines and Instructions | 5 days? | Fri 1/26/18 | Thu 2/1/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 402 | Submit Final Negotiation Guidelines and Instructions Deliverable to DOEA for Validation and Signoff | 1 day? | Fri 2/2/18 | Fri 2/2/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 403 | Negotiation Guidelines and Instructions Deliverable Approved and Signed by DOEA | 3 days? | Mon 2/5/18 | Wed 2/7/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 404 | Procurement Process Activities | 100 days | Mon 2/12/18 | Fri 6/29/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 405 | Release ITN (Post ITN on Vendor Bid System) | 1 day? | Mon 2/12/18 | Mon 2/12/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 406 | 72 Hr. Timeframe for Notice of Intent to Protest - Per Chapter 120, F.S., Proceedings | 3 days? | Tue 2/13/18 | Thu 2/15/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 407 | ITN Question Submission/Response Activities | 6 days? | Mon 2/19/18 | Mon 2/26/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 408 | Allotted Time for Submission of Vendor Questions | 5 days? | Mon 2/19/18 | Fri 2/23/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 409 | Questions Due to DOEA | 1 day? | Thu 2/22/18 | Thu 2/22/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 410 | DOEA Preparation of Questions Responses | 1 day? | Fri 2/23/18 | Fri 2/23/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 411 | Target Submission of Responses to Vendors (Posted on Vendor Bid System) | 1 day? | Mon 2/26/18 | Mon 2/26/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 412 | Notice of Vendor Bid System Pre-Response Conference Meeting | 1 day? | Tue 2/27/18 | Tue 2/27/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 413 | Conduct Mandatory Pre-Negotiation Conference Meeting - Public Meeting | 1 day? | Wed 2/28/18 | Wed 2/28/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 414 | Vendor Timeframe to Prepare Proposal Responses | 10 days? | Thu 3/1/18 | Wed 3/14/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 415 | Vendor Proposals Received and Opened for Mandatory Submission Requirements (Public Meeting) | 1 day? | Thu 3/15/18 | Thu 3/15/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 416 | Proposal Evaluation and Shortlist Selection | 12 days? | Fri 3/16/18 | Mon 4/2/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 417 | Distribute Technical Proposals to Evaluators | 3 days? | Fri 3/16/18 | Tue 3/20/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 418 | Distribute Cost Proposals to Budget for Evaluation | 3 days? | Wed 3/21/18 | Fri 3/23/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 419 | Vendor Demonstrations | 5 days? | Mon 3/26/18 | Fri 3/30/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |

Project: CIRTS Master Project Schedu
Date: Wed 10/3/18

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|-----------------|--|--------------------|--|-----------------------|--|--------------------|--|
| Task | | External Tasks | | Duration-only | | External Tasks | |
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| ID | Task Name | Duration | Start | Finish | Predecessors | Resource Names | 20 | 22 | 24 | 26 |
|-----|---|------------------|--------------------|--------------------|--------------|--|----|----|----|----|
| 420 | Evaluation and Scoring of Technical Proposals | 1 day? | Mon 4/2/18 | Mon 4/2/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 421 | Evaluation and Scoring of Cost Proposals | 1 day? | Mon 4/2/18 | Mon 4/2/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 422 | Total Proposal Scoring | 1 day? | Mon 4/2/18 | Mon 4/2/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 423 | Approval and Posting of Evaluations | 64 days? | Tue 4/3/18 | Fri 6/29/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 424 | Approval and Signoff of Evaluation Submissions | 1 day? | Tue 4/3/18 | Tue 4/3/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 425 | Posting of Intent to Negotiate with Selected Vendors | 1 day? | Wed 4/4/18 | Wed 4/4/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 426 | 72 Hr. Timeframe for Notice of Intent to Protest - Per Chapter 120, F.S., Proceedings | 3 days? | Thu 4/5/18 | Mon 4/9/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 427 | Discovery and Submission of Formal Vendor Protest | 1 day? | Tue 4/10/18 | Tue 4/10/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 428 | Disband Evaluation Team | 1 day? | Wed 4/11/18 | Wed 4/11/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 429 | Vendor Negotiations | 27 days? | Thu 4/12/18 | Fri 5/18/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 430 | Appoint Negotiators | 1 day? | Thu 4/12/18 | Thu 4/12/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 431 | Review Negotiation Guidelines | 1 day? | Fri 4/13/18 | Fri 4/13/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 432 | Vendor Demonstrations | 5 days? | Mon 4/16/18 | Fri 4/20/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 433 | Conduct Negotiations | 5 days? | Mon 4/23/18 | Fri 4/27/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 434 | Best and Final Offer (BAFO) | 2 days? | Mon 4/30/18 | Tue 5/1/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 435 | Select Vendor for Intent to Award | 3 days? | Wed 5/2/18 | Fri 5/4/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 436 | Post Intent to Award | 10 days? | Mon 5/7/18 | Fri 5/18/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 437 | Contract Negotiations | 30 days? | Mon 5/21/18 | Fri 6/29/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 438 | Contract Negotiations with Vendor Chosen for Intent to Award | 5 days? | Mon 5/21/18 | Fri 5/25/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 439 | Move Forward to Final Negotiations - Public Meeting | 1 day? | Mon 5/28/18 | Mon 5/28/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 440 | Final Updates to Contract | 3 days? | Tue 5/29/18 | Thu 5/31/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 441 | Draft Contract Complete | 1 day? | Fri 6/1/18 | Fri 6/1/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 442 | Vendor Bid System Notice for Final Recommendation | 1 day? | Mon 6/4/18 | Mon 6/4/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 443 | Final Vendor Recommendation - Public Meeting | 1 day? | Tue 6/5/18 | Tue 6/5/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 444 | Management Review of Award Recommendation | 1 day? | Wed 6/6/18 | Wed 6/6/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 445 | Disband Negotiation Team | 1 day? | Thu 6/7/18 | Thu 6/7/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 446 | Contract Approval | 1 day? | Fri 6/8/18 | Fri 6/8/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 447 | Submit Contract for Executive Review | 5 days? | Mon 6/11/18 | Fri 6/15/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 448 | Update Contract Based on Feedback | 3 days? | Mon 6/18/18 | Wed 6/20/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 449 | Contract Sent to Vendor for Vendor's Review and Signature | 5 days? | Thu 6/21/18 | Wed 6/27/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 450 | Contract Final Execution by the Department | 1 day? | Thu 6/28/18 | Thu 6/28/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 451 | Final Contract Signed | 1 day? | Fri 6/29/18 | Fri 6/29/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 452 | Rolling Wave Project Update | 1 day? | Mon 7/2/18 | Mon 7/2/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 453 | Phase III - Design, Develop, and Implement | 520 days? | Thu 7/5/18 | Wed 7/1/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 454 | Project Management Office | 519 days? | Thu 7/5/18 | Tue 6/30/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |




















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|---|-----------------|--|--------------------|--|-----------------------|--|--------------------|--|
| Project: CIRTS Master Project Schedu Date: Wed 10/3/18 | Task | | External Tasks | | Duration-only | | External Tasks | |
| | Split | | External Milestone | | Manual Summary Rollup | | External Milestone | |
| | Milestone | | Inactive Milestone | | Manual Summary | | Progress | |
| | Summary | | Inactive Summary | | Start-only | | Deadline | |
| | Project Summary | | Manual Task | | Finish-only | | | |

| ID | Task Name | Duration | Start | Finish | Predecessors | Resource Names | 20 | 22 | 24 | 26 |
|-----|---|-----------|-------------|-------------|--------------|--|----|----|----|----|
| 455 | Initiating | 18 days? | Mon 7/16/18 | Wed 8/8/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 456 | eCIRTS Project Kickoff Meeting | 1 day? | Mon 7/16/18 | Mon 7/16/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 457 | Onboard Project Management Office Services and Design, Develop, and Implement Staff | 1 day? | Mon 7/16/18 | Mon 7/16/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 458 | Planning | 11 days | Mon 7/16/18 | Mon 7/30/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 459 | Project Management Office Deliverable Expectation Documents | 11 days | Mon 7/16/18 | Mon 7/30/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 460 | Develop Project Management Plan Deliverable Expectation Document | 1 day? | Mon 7/16/18 | Mon 7/16/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 461 | Develop Project Schedule Deliverable Expectation Document | 1 day? | Mon 7/16/18 | Mon 7/16/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 462 | Update Project Schedule | 6 days? | Tue 7/17/18 | Tue 7/24/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 463 | Update Project Management Plan | 11 days? | Wed 7/25/18 | Wed 8/8/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 464 | Monitoring and Controlling | 519 days | Thu 7/5/18 | Tue 6/30/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 465 | Weekly Status Reports | 519 days? | Thu 7/5/18 | Tue 6/30/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 466 | Weekly Status Report Meetings | 519 days? | Thu 7/5/18 | Tue 6/30/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 467 | Monthly Steering Committee Meetings | 519 days? | Thu 7/5/18 | Tue 6/30/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 468 | Monthly Steering Committee Reports | 519 days? | Thu 7/5/18 | Tue 6/30/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 469 | Monthly Independent Verification and Validation Reports | 519 days? | Thu 7/5/18 | Tue 6/30/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 470 | Bi-Weekly Organizational Change Management Meetings | 519 days? | Thu 7/5/18 | Tue 6/30/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 471 | Quarterly Status Reports | 519 days? | Thu 7/5/18 | Tue 6/30/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 472 | Quarterly Rolling Wave Schedule Planning | 519 days? | Thu 7/5/18 | Tue 6/30/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 473 | Post-Implementation Closing | 1 day | Tue 6/30/20 | Tue 6/30/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 474 | Post-Implementation Closing Activities | 1 day? | Tue 6/30/20 | Tue 6/30/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 475 | System Implementation | 113 days | Mon 9/3/18 | Wed 2/6/19 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 476 | Requirements Gap/Fit Analysis Sessions | 10 days? | Mon 9/3/18 | Fri 9/14/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 477 | System Design | 37 days? | Mon 9/17/18 | Tue 11/6/18 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 478 | System Development/Configuration (Including reports, correspondence, interfaces) | 66 days? | Wed 11/7/18 | Wed 2/6/19 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Manager,DOEA Contract Manager,DOEA SMEs | | | | |
| 479 | Testing | 130 days | Wed 1/1/20 | Tue 6/30/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 480 | Unit Test | 23 days? | Wed 1/1/20 | Fri 1/31/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 481 | System Test | 26 days? | Mon 2/3/20 | Mon 3/9/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 482 | User Acceptance Test | 24 days? | Tue 3/10/20 | Fri 4/10/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 483 | Performance/Load Testing | 7 days? | Mon 4/13/20 | Tue 4/21/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 484 | Security Testing | 6 days? | Wed 4/22/20 | Wed 4/29/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 485 | System Training | 43 days? | Thu 4/30/20 | Mon 6/29/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 486 | System Deployment | 1 day? | Tue 6/30/20 | Tue 6/30/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |
| 487 | Project Closing | 1 day | Tue 6/30/20 | Tue 6/30/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project M | | | | |
| 488 | Project Closing Activities | 1 day? | Tue 6/30/20 | Tue 6/30/20 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |

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|---|-----------------|--|--------------------|--|-----------------------|--|--------------------|--|
| Project: CIRTS Master Project Schedu Date: Wed 10/3/18 | Task | | External Tasks | | Duration-only | | External Tasks | |
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| | Project Summary | | Manual Task | | Finish-only | | | |

| ID | Task Name | Duration | Start | Finish | Predeces | Resource Names | 20 | 22 | 24 | 26 |
|-----|----------------------------|------------|------------|-------------|----------|---|----|----|----|----|
| 489 | Operations and Maintenance | 1304 days? | Wed 7/1/20 | Mon 6/30/25 | | John Collins,Deanna Settergren,Mark Ervin,DOEA Project Mana | | | | |

Project: CIRTS Master Project Schedu
Date: Wed 10/3/18

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|-----------------|---|--------------------|---|-----------------------|---|--------------------|---|
| Task |  | External Tasks |  | Duration-only |  | External Tasks |  |
| Split |  | External Milestone |  | Manual Summary Rollup |  | External Milestone |  |
| Milestone |  | Inactive Milestone |  | Manual Summary |  | Progress |  |
| Summary |  | Inactive Summary |  | Start-only |  | Deadline |  |
| Project Summary |  | Manual Task |  | Finish-only |  | | |

CIRTS
**(Client Information &
Registration Tracking System)**
User Guide

Florida Department of Elder Affairs
May 2007

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Welcome to CIRT (Client Information & Registration Tracking System)!

Double-click the CIRT icon on the Desktop.



Or, select the CIRT link from the Department of Elder Affairs Intranet site.

The screenshot shows the Florida Department of Elder Affairs Intranet site in a Microsoft Internet Explorer browser window. The browser title is "DOEA Intranet - Microsoft Internet Explorer" and the address bar shows "http://204.156.255.8/welcome/newsite/indw.jsp". The page header includes the "Florida Department of Elder Affairs Intranet" logo and navigation links: Home | Directories | Publications | Notices | Governor's Page | Sitemap. The main content area is divided into several sections: "Browse" (a vertical menu on the left), "Mission Statement" (with a sub-section "Vision: Golden Choice"), "DOEA Hot Topics" (with links to "DOEA Digest", "Disaster Preparedness", and "Other News from Communications"), "Search" (with MyFlorida.com and Google search boxes), "What's New" (with links to "DOEA Intranet", "Long-Term Care Community Diversion Program Benefit Grid", "Downloads", "DOEA Directories (04032007)", "DOEA Internet", "DOEA Media Center (03092007)", "Groundhog Tornadoes", and "Ambassadors for Aging Day 2007"), and "Quick Links" (with links to "DOEA Policies and Procedures", "MyFlorida.com", "DOEA Intranet", "PeopleFirst.com", "DOEA Help Desk", and "Disaster Preparedness"). A yellow arrow points to the "CIRT" link in the "Browse" menu. The footer of the page includes "Last updated: April 06, 2007" and "This site is developed and maintained by the staff of the Department of Elder Affairs." The browser status bar at the bottom shows "Internet".

The Enterprise Application Services screen will appear.

The screenshot shows a Microsoft Internet Explorer browser window titled "DOEA Oracle Single Sign-On - Microsoft Internet Explorer". The address bar contains the URL: https://199.250.26.136:4443/ssp/login.jsp?site2pstoretoken=v1.2*14C34677~CBAD601F5AC329272E90BF1045E4EEA250F57C28093C55830AD8E2A6D8E3C8C42A995A. The main content area features the Department of Elder Affairs logo on the left, which includes a sun icon and the text "DEPARTMENT OF ELDER AFFAIRS STATE OF FLORIDA". To the right of the logo is the heading "Enterprise Application Services" in blue, followed by the mission statement: "To create an environment that provides choices, promotes independence and enables older Floridians to remain in their communities for a lifetime." and "- DOEA Mission Statement". A blue button labeled "Single Sign-On" is positioned to the right of the mission statement. Below this is a link: "Click here to add this site to Favorites!". The login form consists of two text input fields: "User Name" and "Password", with a "Login" button below them. A note at the bottom states: "* The Single Sign-On (SSO) password is case-sensitive." The browser's status bar at the bottom shows "Done" and "Internet".

- 1) Enter your **CIRTS** User Name.
- 2) Enter your **CIRTS** Password. This password is case-sensitive. If an error occurs, check to see if the Caps Lock is on.
- 3) Click the Login button or press the Enter key.
- 4) The Applications screen will appear.

Applications Screen

DOEA Enterprise Application Services - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address https://199.250.26.136/portal/page?_pageid=33,32395,33_32411&_dad=portal_s_schema-PORTAL Go Links

DEPARTMENT OF ELDER AFFAIRS STATE OF FLORIDA

Enterprise Application Services

To create an environment that provides choices, promotes independence and enables older Floridians to remain in their communities for a lifetime. - DOEA Mission Statement

Applications Reports Documents Support

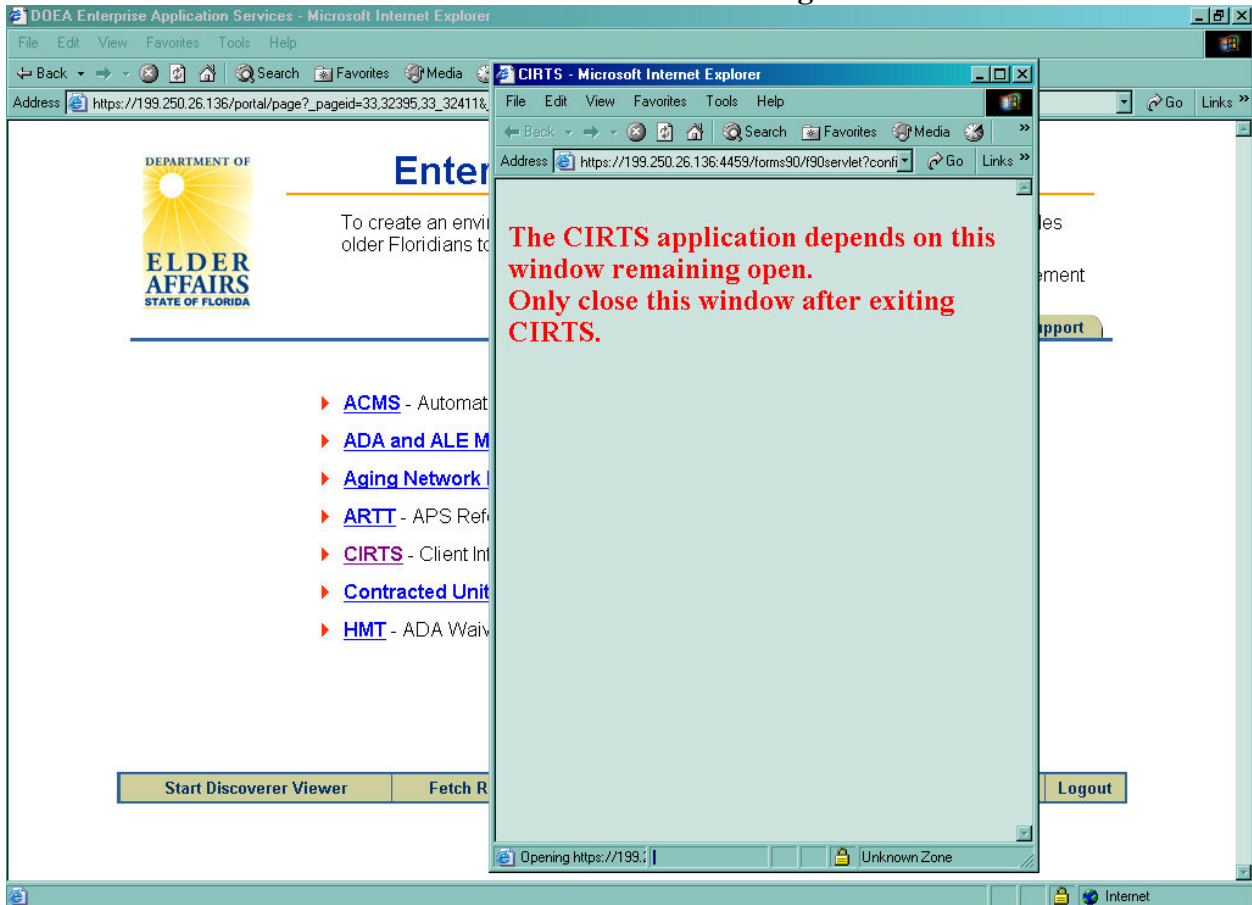
- ▶ [ACMS](#) - Automated Contract Management System
- ▶ [ADA and ALE Medicaid Waiver Paid Claims Query Tool](#)
- ▶ [Aging Network Providers](#)
- ▶ [ARTT](#) - APS Referral Tracking Tool
- ▶ [CIRT](#) - Client Information and Registration Tracking System
- ▶ [Contracted Unit Rate](#)
- ▶ [HMT](#) - ADA Waiver Holistic Monitoring Tool

Start Discoverer Viewer Fetch Report Output Ad Hoc Query Change SSO Password Logout

Click the CIRT link.

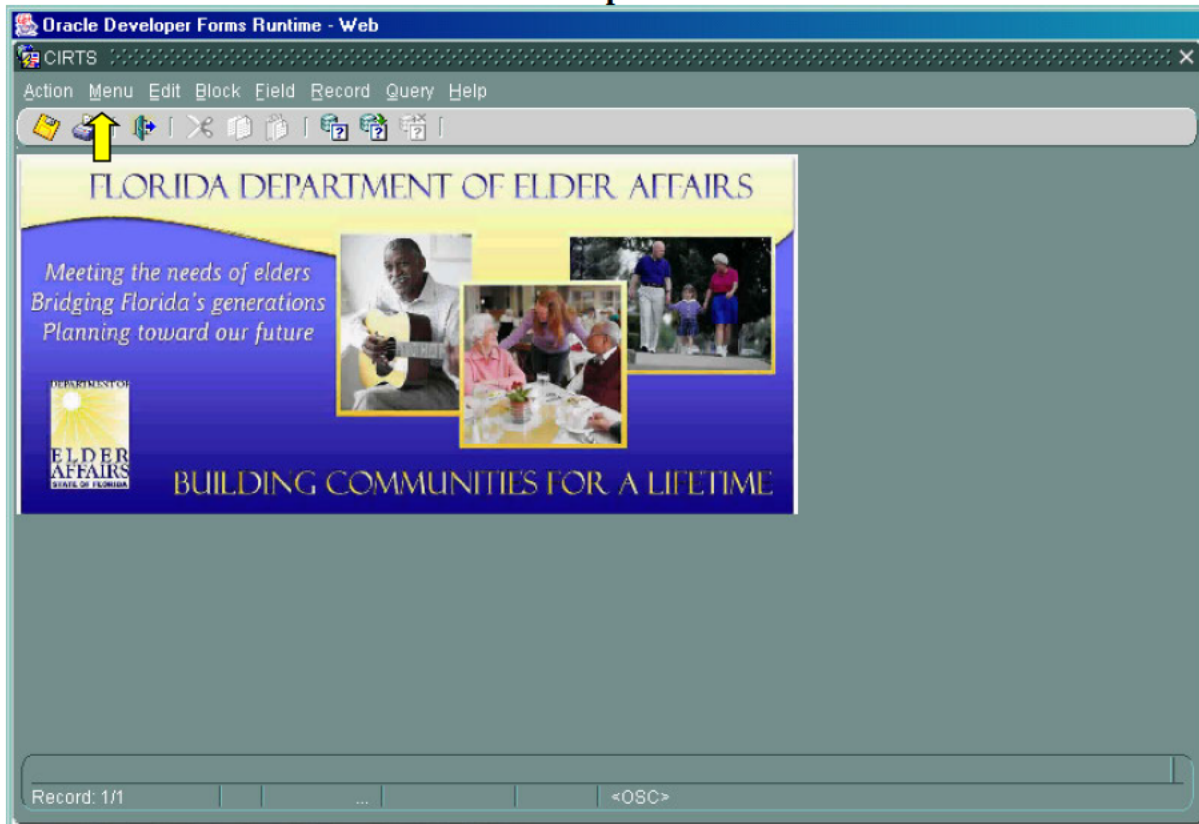
A window will appear with RED writing. This window must remain open while you are using CIRT. If this window is closed, CIRT will close.

Window with RED writing



Wait a few moments for the CIRTS splash screen to appear.

CIRTS Splash Screen

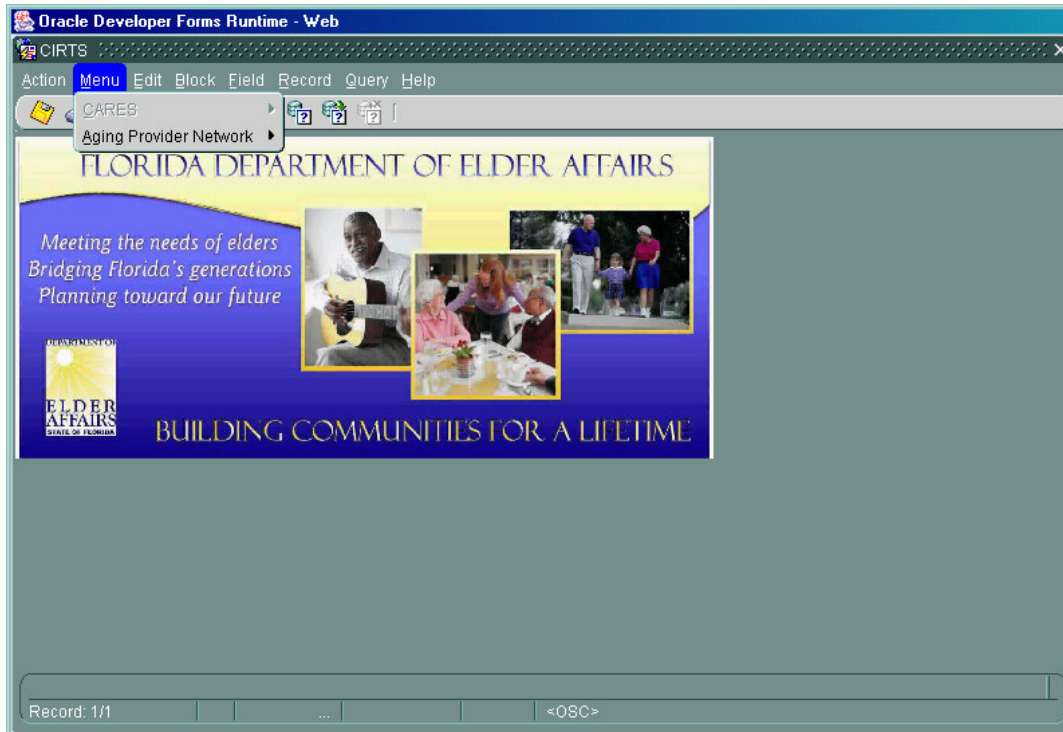


To access client data, click Menu in the top left-hand corner of the screen.

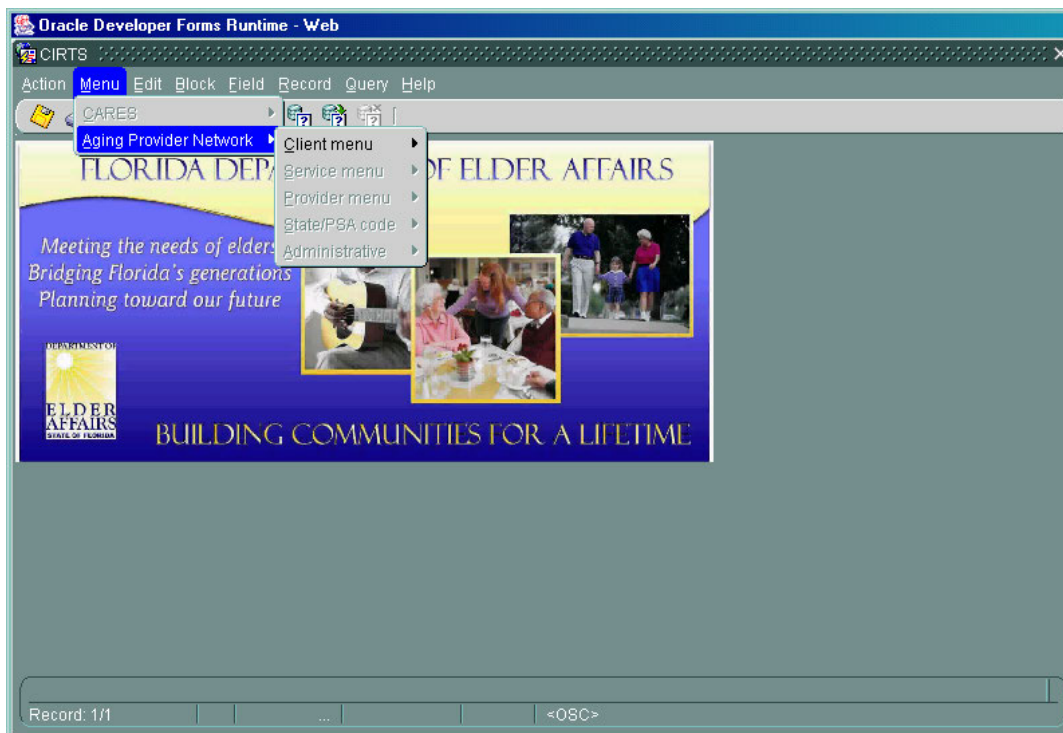
When the CIRTS splash screen appears, you should see three items in the Start bar.



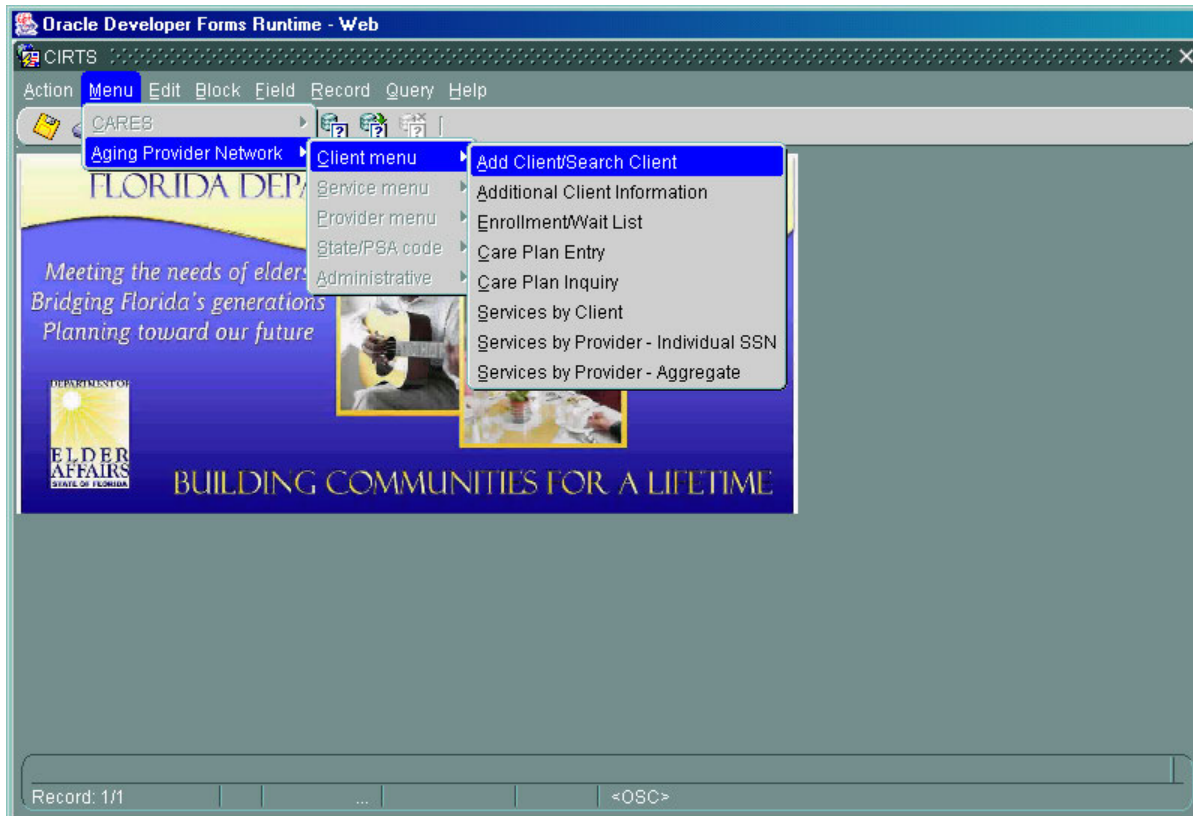
- 1) This item will take you back to the Applications Screen.
- 2) This item will take you to the window with RED writing.
- 3) This item will take you to the CIRTS screen.



From Menu, select Aging Provider Network.



From Aging Provider Network, select Client menu.



From the Client Menu, you can – search for an existing client, add a new client, or access various screens to display client data.

To search for a client, select the Add Client/Search Client option. The search screen will appear.

Search Screen

Search for a Client

SSN

Last Name

First Name

Medicaid Id

Enter all or part of any of these fields and search will return all clients who match everything entered.

Results of Search

| PSA | SSN | Owner | Client Name | Date of Birth | Address | Zip |
|-----|-----|-------|-------------|---------------|---------|-----|
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

Record: 1/1 ... <OSC>

NOTE: *It is very important for users to perform a thorough search before adding a new client. CIRTIS is now shared by all area agencies on aging, lead agencies, and CARES (Comprehensive Assessment and Review for Long Term Care Services) offices in Florida. Another office could have added the same client with a different Social Security number, or a different variation of the client's name. After searching on the known information, try searching on partial Social Security numbers or partial names to make sure the client does not exist. If a search on the client's Social Security number reveals that it currently belongs to another client in CIRTIS, notify your LAN (Local Area Network) Administrator, and steps will be taken to verify and/or correct the Social Security number.*

Search Screen

The screenshot shows the 'CLIENT SEARCH' application window. The title bar reads 'CLIENT SEARCH'. The menu bar includes 'Action', 'Menu', 'Edit', 'Block', 'Field', 'Record', 'Query', and 'Help'. Below the menu bar is a toolbar with various icons. The main area is titled 'Search for a Client' and contains four input fields: 'SSN' (200611071), 'Last Name' (CLIENT), 'First Name' (TEST), and 'Medicaid Id' (empty). A 'Search' button is located to the right of the 'Medicaid Id' field. To the right of the input fields, a text box states: 'Enter all or part of any of these fields and search will return all clients who match everything entered.' Below the search area is a 'Results of Search' section with a table. The table has four columns: 'PSA', 'SSN', 'Owner', and 'Client Name'. The table is currently empty. An 'ALERT' dialog box is overlaid on the table, displaying a red error icon and the message: 'No matching records were found for the search criteria entered.' with an 'OK' button. At the bottom of the search area are four buttons: 'Add New Client', 'Details', 'Clear', and 'Close'. The status bar at the bottom shows 'Record: 1/1' and '<OSC>'.

Enter the client's Social Security number (SSN), last name, and first name. Click on the Search button.

If the client does not exist, a message will appear indicating no matching records were found. Click the OK button.

You can now click the Clear button and search for the client again or click the Add New Client button.

Search Screen

The screenshot shows the CIRTS CLIENT SEARCH application window. The title bar reads "CIRTS CLIENT SEARCH". The menu bar includes "Action", "Menu", "Edit", "Block", "Field", "Record", "Query", and "Help". Below the menu bar is a toolbar with various icons. The main area is titled "Search for a Client" and contains a form with the following fields:

- SSN: 2006
- Last Name: CLI
- First Name: TE
- Medicaid Id: (empty)

A "Search" button is located to the right of the Medicaid Id field. To the right of the form, a text box states: "Enter all or part of any of these fields and search will return all clients who match everything entered."

Below the search form is a section titled "Results of Search" which contains a table with the following columns: PSA, SSN, Owner, Client Name, and a partially visible "P..." column. The table is currently empty.

An "ALERT" dialog box is overlaid on the table, containing a red speech bubble icon and the text: "No matching records were found for the search criteria entered." An "OK" button is at the bottom right of the dialog.

At the bottom of the application window, there are four buttons: "Add New Client", "Details", "Clear", and "Close". The status bar at the very bottom shows "Record: 1/1" and "<OSC>".

From the previous screen, this is a search with a partial SSN, last name, and first name. No clients in the system met the specified criteria. Click the OK button.

The client does not exist in CIRTS. Click the Add New Client button.

Demographics Screen – Add New Client

The cursor will start in the SSN field. **Fields with a pink background are required.** CIRTS will generate an error message when the user tries to save a blank pink field. Enter the client’s SSN, and then press the Tab or Enter key to move to the next field. List fields: County, Sex, Race, Ethnicity, Primary Language, and Marital Status can be accessed with the mouse, arrow keys, or type the first letter of the desired value. For example, to enter a Marital Status of Single, you can use the mouse to access the list and select Single, or use the “up” arrow key to find Single in the list, or type the letter “S.” Typing the letter “S” will take the user to Separated, which is the first “S” alphabetically in the list. Typing “S” again will take the user to Single, the next value alphabetically in the list.

Search Button – Takes you to the Search Screen.

LOC Button – Takes you to the CARES (Comprehensive Assessment and Review for Long Term Care Services) Level of Care screen.

Referrals Button – Takes you to a list of referrals CARES has made to the Aging Network.

NHD Button – Takes you to the Nursing Home Diversion screen.

Assessments Button – Takes you to a list of all Assessments related to the client. The Assessment list contains assessments from the user’s Planning and Service Area (PSA) as well as PSAs throughout the state and assessments conducted by the CARES offices throughout the state.

The screenshot shows a web browser window titled "Oracle Developer Forms Runtime - Web" displaying a form titled "CLIENT INFORMATION AND REGISTRATION TRACKING SYSTEM". The form is for a client named "TEST CLIENT" with SSN 200611081 and PSA 02. The date is 04/02/2007 and the user is MCGLOHNSA. The form includes sections for "DEMOGRAPHIC INFORMATION", "Home Address", "Mailing Address", and "Date Address". An "ALERT" dialog box is overlaid on the form, displaying a red speech bubble icon and the message "Please enter assessment information." with an "OK" button.

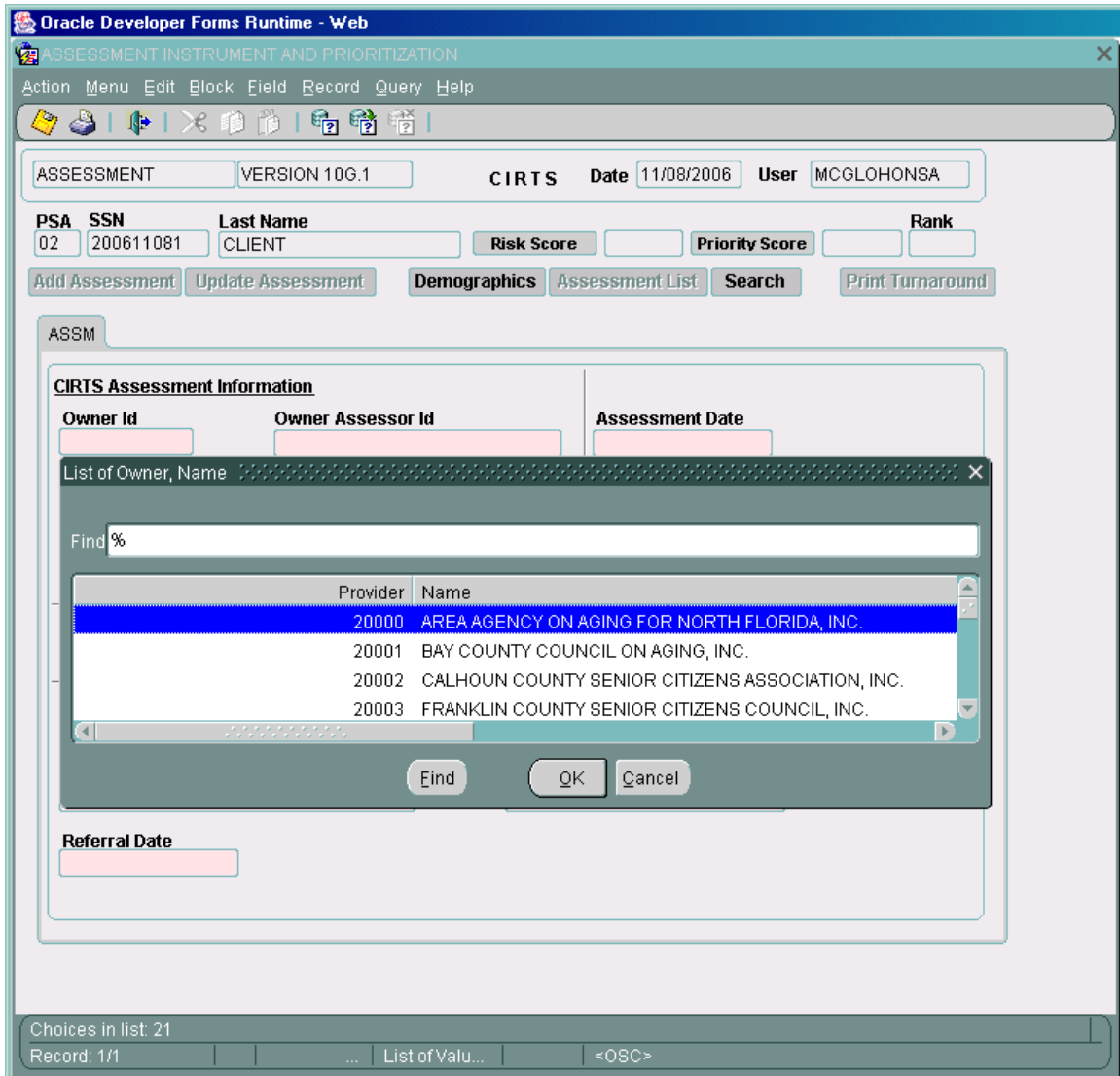
After you answer the question – Registered with County Special Needs Registry? – you can press the F10 key or click the Save button (yellow disk). The message above will appear.

*****The client’s demographic information has not saved at this point.** You must click OK with the mouse or press the Enter key to acknowledge this message. When the message clears, you should then press the Tab or Enter key to enter the client’s Assessment.

Assessment

The screenshot displays the Oracle Developer Forms Runtime - Web interface for the 'ASSESSMENT INSTRUMENT AND PRIORITIZATION' form. The window title is 'ASSESSMENT INSTRUMENT AND PRIORITIZATION'. The menu bar includes 'Action', 'Menu', 'Edit', 'Block', 'Field', 'Record', 'Query', and 'Help'. The toolbar contains icons for file operations and help. The form header shows 'ASSESSMENT' and 'VERSION 10G.1'. Below this, there are fields for 'CIRTS', 'Date' (11/08/2006), and 'User' (MCGLOHONSA). The main data area includes fields for 'PSA' (02), 'SSN' (200611081), 'Last Name' (CLIENT), 'Risk Score', 'Priority Score', and 'Rank'. There are buttons for 'Add Assessment', 'Update Assessment', 'Demographics', 'Assessment List', 'Search', and 'Print Turnaround'. The 'ASSM' tab is active, showing 'CIRTS Assessment Information' with fields for 'Owner Id', 'Owner Assessor Id', 'Assessment Date', 'Provider Id', 'Provider Assessor Id', 'Assessment Site' (set to <NULL>), 'Assessor Name', and 'Assessment Type'. Below this are checkboxes for 'Consumer Type', 'Are you the caregiver of a grandchild?', and 'Is this Public Housing?'. There are also dropdown menus for 'Referral Source' (set to <NULL>), 'Primary Caregiver', 'Risk Level' (set to <NULL>), and 'Living Situation' (set to <NULL>). A 'Referral Date' field is also present. The bottom status bar shows 'Record: 1/1', a 'List of Valu...' button, and '<OSC>'.

All Assessments begin with only the **ASSM** tab. The cursor will start in the Owner Id field. To access the list of available Owner Ids, press the F9 key.



Press the Tab or Enter key to move to the other fields, using the F9 key to access the code list if needed.

When a non-owner user (user who does not work for the owner) enters an Update Assessment or a new Assessment, the Owner Id and Owner Assessor Id fields should be disabled. The non-owner user is required to select their provider from the Provider Id list or enter their Provider Id. The non-owner user is also required to select their Provider Assessor Id from the list or enter the Provider Assessor Id in the Provider Assessor Id field. The Assessment Site field is an alphabetical list, meaning the user can: 1) click the field with mouse and select the appropriate site; 2) use the up/down arrow keys to scroll through the list; or 3) type the first letter alphabetically of the Assessment Site. For example, if the client's Assessment Site was an Assisted Living Facility, the user would type "A" and Assisted Living Facility would appear in the field. *****Notice – more tabs have appeared next to the ASSM Tab. The type of Assessment selected will determine how many tabs appear. Appendices A – F identify each Assessment type and the corresponding tabs.**

Press the Tab or Enter key to move to the Consumer Type field.

Oracle Developer Forms Runtime - Web

ASSESSMENT INSTRUMENT AND PRIORITIZATION

Action Menu Edit Block Field Record Query Help

ASSESSMENT VERSION 10G.1 CIRTS Date 11/08/2006 User MCGLOHONSA

PSA SSN Last Name Risk Score Priority Score Rank

02 200611081 CLIENT

Add Assessment Update Assessment Demographics Assessment List Search Print Turnaround

ASSM INC MEN PHY ADL NUT HEA SPS SOC

CIRTS Assessment Information

Owner Id: 20000 Owner Assessor Id: MCGLOHONSA Assessment Date: 11/08/2006

Provider Id: Provider Assessor Id: Assessment Site: CLIENT/RELATIVE'S HOME

Assessor Name: SHANDRA MCGLOHON Assessment Type: INITIAL ASSESSMENT

Consumer Type: ELDER.RECIPIENT Are you the caregiver of a grandchild? N Is this Public Housing?

Referral Source: <NULL> Primary Caregiver:

Risk Level: <NULL> Living Situation: <NULL>

Referral Date:

Record: 1/1 <OSC>

You can select the Consumer Type with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type “C” for Caregiver or “E” for Elder Recipient. Press the Tab or Enter key.

Are you the caregiver of a grandchild? – Enter a Y or N. Press the Tab or Enter key.

Is this Public Housing? – Enter a Y or N. Press the Tab or Enter key.

You can select the Referral Source with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the first letter alphabetically to select a value. Press the Tab or Enter key.

Referral Sources:

A – Abuse/Neglect

C– CARES

D – DCF CCDA

D (pressed twice) – DCF HCDA

H – Hospital

L – Lead Agency
O – Other
S – Self
U – Upstreaming/CARES

You can select the Risk Level with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the first letter alphabetically to select a value.

Risk Levels:

H – High
I – Imminent Risk
L – Low
M – Moderate
N – None
T – Transition from ALF to Nursing Home
T (pressed twice) – Transition from NH to Hospital FY 05-06

Enter the Referral Date – format: MMDDYYYY or MMDDYY. The dashes will be added automatically. Press the Tab or Enter key.

You can select Primary Caregiver with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the first letter alphabetically to select a value.

Primary Caregiver:

N – No Caregiver
U – Unknown
Y – Yes

If you select No Caregiver, the Assessment tabs do not change.

The screenshot displays the Oracle Developer Forms Runtime - Web interface for the 'ASSESSMENT INSTRUMENT AND PRIORITIZATION' form. The window title is 'Oracle Developer Forms Runtime - Web' and the form title is 'ASSESSMENT INSTRUMENT AND PRIORITIZATION'. The menu bar includes 'Action', 'Menu', 'Edit', 'Block', 'Field', 'Record', 'Query', and 'Help'. The toolbar contains various icons for file operations and navigation.

At the top, there are input fields for 'ASSESSMENT' (VERSION 10G.1), 'CIRTS', 'Date' (11/08/2006), and 'User' (MCGLOHONSA). Below this, there are fields for 'PSA' (02), 'SSN' (200611081), 'Last Name' (CLIENT), 'Risk Score', 'Priority Score', and 'Rank'. A row of buttons includes 'Add Assessment', 'Update Assessment', 'Demographics', 'Assessment List', 'Search', and 'Print Turnaround'.

A row of tabs is visible: 'ASSM', 'INC', 'MEN', 'PHY', 'ADL', 'NUT', 'HEA', 'SPS', and 'SOC'. The 'ASSM' tab is selected, and the 'CIRTS Assessment Information' section is active. This section contains several fields and dropdown menus:

- Owner Id:** 20000
- Owner Assessor Id:** MCGLOHONSA
- Assessment Date:** 11/08/2006
- Provider Id:** (empty)
- Provider Assessor Id:** (empty)
- Assessment Site:** CLIENT/RELATIVE'S HOME
- Assessor Name:** SHANDRA MCGLOHON
- Assessment Type:** INITIAL ASSESSMENT
- Consumer Type:** ELDER RECIPIENT
- Are you the caregiver of a grandchild?:** N
- Is this Public Housing?:** N
- Referral Source:** OTHER
- Primary Caregiver:** NO CAREGIVER
- Risk Level:** HIGH
- Living Situation:** ALONE
- Referral Date:** 11/08/2006

At the bottom, there is a status bar showing 'Record: 1/1' and '<OSC>'.

If you select Yes for Primary Caregiver, two new tabs are added to the Assessment. The CAR and CAR2 screen gather information about the client's caregiver.

The screenshot shows the Oracle Developer Forms Runtime - Web interface for 'ASSESSMENT INSTRUMENT AND PRIORITIZATION'. The form is titled 'ASSESSMENT INSTRUMENT AND PRIORITIZATION' and includes a menu bar (Action, Menu, Edit, Block, Field, Record, Query, Help) and a toolbar. The main form area contains several sections:

- Header Section:** Includes fields for 'ASSESSMENT', 'VERSION 10G.1', 'CIRTS', 'Date' (11/08/2006), and 'User' (MCGLOHONSA).
- Client Information:** Fields for 'PSA' (02), 'SSN' (200611081), 'Last Name' (CLIENT), 'Risk Score', 'Priority Score', and 'Rank'.
- Navigation:** Buttons for 'Add Assessment', 'Update Assessment', 'Demographics', 'Assessment List', 'Search', and 'Print Turnaround'.
- Tabbed Interface:** A row of tabs including 'ASSM', 'INC', 'MEN', 'PHY', 'ADL', 'NUT', 'HEA', 'SPS', 'SOC', 'CAR', and 'CAR2'.
- CIRTS Assessment Information:** A section containing:
 - Owner Id:** 20000
 - Owner Assessor Id:** MCGLOHONSA
 - Assessment Date:** 11/08/2006
 - Provider Id:** (empty)
 - Provider Assessor Id:** (empty)
 - Assessment Site:** CLIENT/RELATIVE'S HOME (dropdown)
 - Assessor Name:** SHANDRA MCGLOHON
 - Assessment Type:** INITIAL ASSESSMENT (dropdown)
- Consumer Information:**
 - Consumer Type:** ELDER RECIPIENT (dropdown)
 - Are you the caregiver of a grandchild?:** N (checkbox)
 - Is this Public Housing?:** N (checkbox)
- Referral and Risk Information:**
 - Referral Source:** OTHER (dropdown)
 - Primary Caregiver:** YES (dropdown)
 - Risk Level:** HIGH (dropdown)
 - Living Situation:** WITH CAREGIVER (dropdown)
 - Referral Date:** 11/08/2006

The bottom of the form shows 'Record: 1/1' and '<OSC>'.

Press the Tab or Enter key.

You can select the Living Situation with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the first letter alphabetically to select a value.

Living Situation:

- A – Alone
- N – Not Required
- U – Unknown
- W – With Caregiver
- W (pressed twice) – With Other

Press the Tab or Enter key to move to the INC (Income) screen of the Assessment.

The cursor will start in the Individual Monthly Income field on the INC (Income) tab. Enter the client's monthly income. Press the Tab or Enter key.

You can select the Individual Assets with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the alphabetic code to select a value.

Individual Assets:

- M – \$0 - \$2000
- N – \$2001 - \$5000
- P – Over \$5000
- U – Unknown

Follow the same format for the Couple Monthly Income and Couple Assets when the information is required. Press the Tab or Enter key.

****For the OAA, Congregate Meals, and OA3E Assessments, the client's income can be left blank. If the income amount is left blank, the user will be required to enter a Y or N in the "Refused?" fields.*

Receiving Food Stamps? – Enter a Y or N. Press the Tab or Enter key.

You can select who is answering the questions with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the first letter alphabetically to select a value.

C – Client

O – Other

The cursor will automatically move to the next field. You can select the satisfaction with life with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value.

1 – Excellent

2 – Good

3 – Fair

4 – Poor

The cursor will automatically move to the next field. You can select the attitude on life with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value.

1 – Much Better

2 – Better

3 – About the same

4 – Worse

The cursor will automatically move to the next field.

Are behavior problems present? – Enter a Y or N. The cursor will automatically move to the next field.

Does behavior indicate a need for supervision? – Enter a Y or N. If you enter an N and press the Enter key, all of the fields below will populate with an N and the cursor will move to the next screen. To enter a Y for the individual behaviors, enter Y to “Does behavior indicate a need for supervision?” then Y or N for the individual behaviors. Press the Tab or Enter key to move to the MEN (Mental Health) screen.

Oracle Developer Forms Runtime - Web

ASSESSMENT INSTRUMENT AND PRIORITIZATION

Action Menu Edit Block Field Record Query Help

ASSESSMENT VERSION 10G.1 CIRTS Date 11/08/2006 User MCGLOHONSA

PSA 02 SSN 200611081 Last Name CLIENT Risk Score Priority Score Rank

Add Assessment Update Assessment Demographics Assessment List Search Print Turnaround

ASSM INC MEN PHY ADL NUT HEA SPS SOC CAR CAR2

Income Information

Individual Monthly Income \$1,200.00 Refused? N

Individual Assets M = \$0 - \$2000 Refused? N

Couple Monthly Income Refused? N

Couple Assets Refused? N

Receiving Food Stamps? N

Who is answering the questions?
C - Client

How would you describe your satisfaction with life?
2 - Good

Compared to a year ago, how is your attitude on life?
3 - About the Same

ASSESSOR: Are behavioral problems present?
 N Y = Yes, N = No

ASSESSOR Y = Yes, N = No

Does behavior indicate a need for supervision? Y

Wandering

Significant memory problems

Depression

Lonely or dangerously isolated

Thoughts of suicide

Abusive, aggressive, or disruptive behavior

Other Problems

Record: 1/1 <OSC>

Enter a Y or N to indicate whether the client answered the date questions correctly or incorrectly.

Use the same procedure for the place questions.

Enter how many numbers the client missed while counting backward from 20 to 1. Ten (10) incorrect responses are the maximum allowed. Press the Tab or Enter key.

Are cognitive problems present? – Enter a Y or N.

Currently receiving mental health services? – Enter a Y or N.

Need for mental health referral? – Enter a Y or N.

Oracle Developer Forms Runtime - Web

ASSESSMENT INSTRUMENT AND PRIORITIZATION

Action Menu Edit Block Field Record Query Help

ASSESSMENT VERSION 10G.1 CIRTS Date 11/08/2006 User MCGLOHONSA

PSA 02 SSN 200611081 Last Name CLIENT Risk Score Priority Score Rank

Add Assessment Update Assessment Demographics Assessment List Search Print Turnaround

ASSM INC MEN PHY ADL NUT HEA SPS SOC CAR CAR2

Mental Health / Behavior / Cognition

Ask the consumer the following questions: Y = Correct, N = Incorrect

What is today's date? Month Y Day Y Day of the week Y Year Y

Where are we? Name Y City Y State Y County Y

Count backwards from 20 to 1
20 19 18 17 16 15 14 13 12 11 10 9 8 7 6 5 4 3 2 1 Number of incorrect responses 0

Y = Yes, N = No

ASSESSOR: Are cognitive problems present? N

Currently receiving mental health services? N

ASSESSOR: Need for mental health referral? N

ASSESSOR: Formal and/or informal resources proved services as needed to address the mental health/cognitive needs of the client. 5 - Not Needed

ASSESSOR: Client oriented to time? 1 - Always

ASSESSOR: Client oriented to place? 1 - Always

Record: 1/1 <OSC>

You can select the formal and/or informal resources with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value.

- 1 – Always Available
- 2 – Sometimes Available
- 3 – Rarely Available
- 4 – Unavailable
- 5 – Not Needed

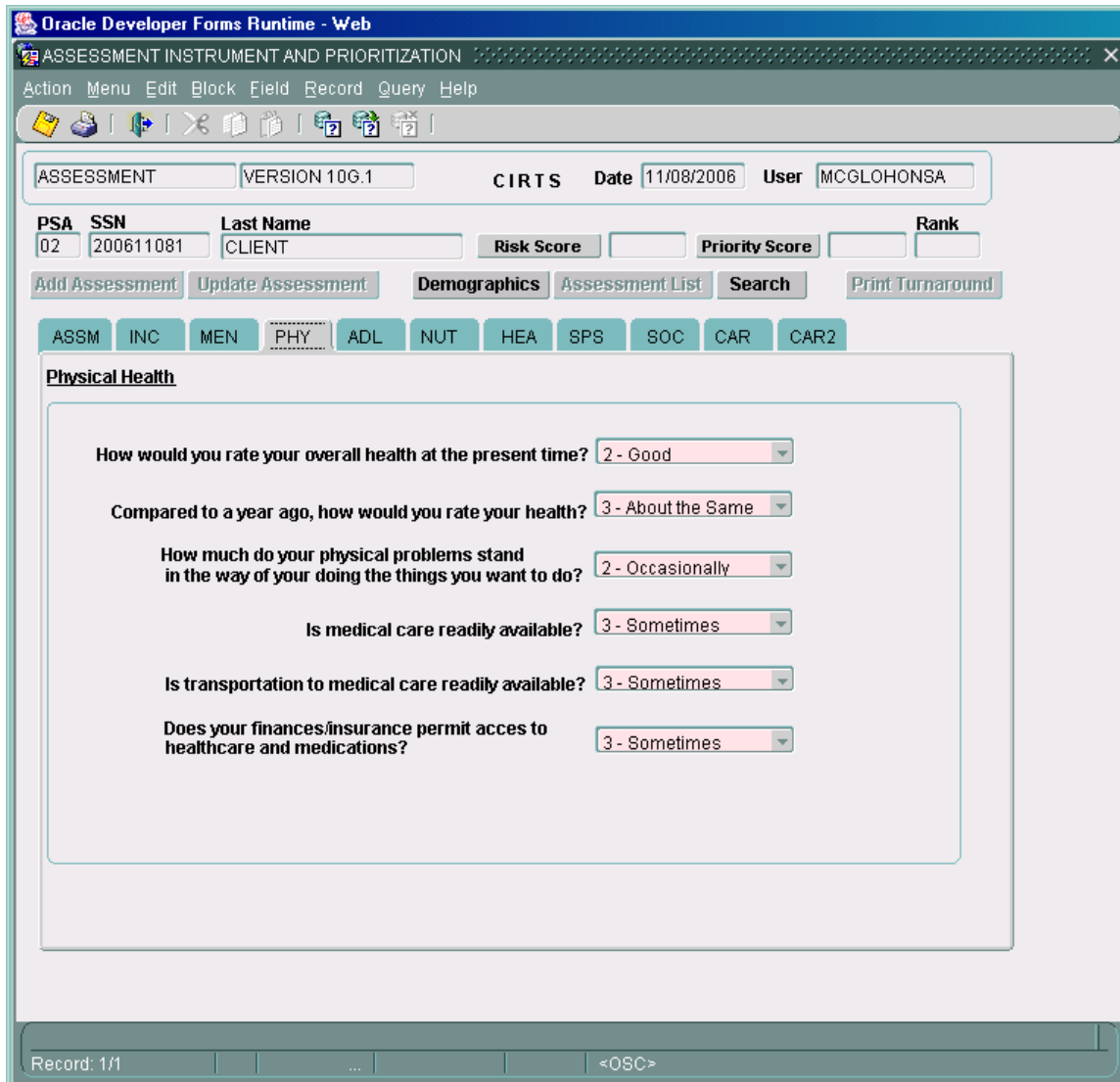
You can select the orientation to time with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value.

- 1 – Always
- 2 – Sometimes
- 3 – Rarely
- 4 – Never

You can select the orientation to place with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value.

- 1 – Always
- 2 – Sometimes
- 3 – Rarely
- 4 – Never

The cursor will automatically move to the PHY (Physical Health) screen.



You can select the overall health with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value.

- 1 – Excellent
- 2 – Good

- 3 – Fair
- 4 – Poor
- 0 – Unknown

You can select the health rating with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value.

- 1 – Much better
- 2 – Better
- 3 – About the same
- 4 – Worse

You can select the physical limitations with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value.

- 1 – Not at all
- 2 – Occasionally
- 3 – Often
- 4 – All the time

You can select the medical availability with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value.

- 4 – Always
- 3 – Sometimes
- 2 – Rarely
- 1 – Never

You can select the transportation availability with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value.

- 4 – Always
- 3 – Sometimes
- 2 – Rarely
- 1 – Never

You can select the access to healthcare with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value.

- 4 – Always
- 3 – Sometimes
- 2 – Rarely
- 1 – Never

The cursor will automatically move to the ADL (Activities of Daily Living) screen.

On the ADL (Activities of Daily Living) screen, you will answer the questions in this order: ADLS, Resource ADLS, IADLS (Independent Activities of Daily Living), Resource IADLS. The cursor will start in the ADLS section in the Bathe field. You can select the code with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value.

ADLS and IADLS:

- 0 – No Help
- 1 – No Help, but relies on assistive device
- 2 – Supervision/Coaching
- 3 – Some Help
- 4 – Total Help – can’t do

Resource ADLS and Resource IADLS:

- 0 – Never/No Help needed
- 1 – Rarely

- 2 – Sometimes
- 3 – Always

Need for Assistive Device? – Enter a Y or N.

The cursor will automatically move to the NUT (Nutrition Status) screen.

Oracle Developer Forms Runtime - Web
ASSESSMENT INSTRUMENT AND PRIORITIZATION

Action Menu Edit Block Field Record Query Help

ASSESSMENT VERSION 10G.1 CIRTS Date 11/08/2006 User MCGLOHONSA

PSA 02 SSN 200611081 Last Name CLIENT Risk Score Priority Score Rank

Add Assessment Update Assessment Demographics Assessment List Search Print Turnaround

ASSM INC MEN PHY ADL NUT HEA SPS SOC CAR CAR2

Nutrition Status Y = Yes, N = No

Have you lost or gained 10 pounds or more in the last 6 months without trying?

Do you take 3 or more kinds of medicine a day?

Do you have 2 or more drinks of beer, wine, or liquor almost every day?

Do you have an illness or condition that made you change the food you eat?

Do you eat at least 2 meals a day?

Do you eat some fruits and vegetables every day?

Do you have some milk products every day?

Do you have any problems with your teeth, mouth, or throat that make it hard for you to chew or swallow?

Do you eat alone most of the time?

Are you usually able to shop for yourself?

Are you usually able to cook for yourself?

Are you usually able to eat without help?

Do you have enough money to buy the food you need?

ASSESSOR:

Does there appear to be a need for food stamps?

Nutrition Score
1.5

Tobacco Use Y = Yes, N = No

Do you smoke or use tobacco products?

Have you ever smoked or used tobacco?

Do you live with others who smoke?

Record: 1/1 <OSC>

All of the NUT (Nutrition Status) questions require a Y or N. The cursor will move from field to field automatically.

When you enter a Y or N for “Do you live with others who smoke?” the cursor will automatically move to the HEA (Primary Diagnosis and Health Conditions) screen.

The screenshot shows a web-based assessment form titled "ASSESSMENT INSTRUMENT AND PRIORITIZATION". The form includes a header with navigation menus (Action, Menu, Edit, Block, Field, Record, Query, Help) and a toolbar with icons. Below the header, there are input fields for "ASSESSMENT" (VERSION 10G.1), "CIRTS", "Date" (11/08/2006), and "User" (MCGLOHONSA). The main form area contains fields for "PSA" (02), "SSN" (200611081), and "Last Name" (CLIENT). There are also fields for "Risk Score", "Priority Score", and "Rank". Below these are buttons for "Add Assessment", "Update Assessment", "Demographics", "Assessment List", "Search", and "Print Turnaround". A set of tabs at the top of the form area includes "ASSM", "INC", "MEN", "PHY", "ADL", "NUT", "HEA", "SPS", "SOC", "CAR", and "CAR2". The "HEA" tab is selected, showing the "Primary Diagnosis and Health Conditions" section. This section contains a grid of checkboxes for various conditions: Arthritis (Y), Diabetes (N), Pneumonia (N), Bed Sores (Decubitis) (N), Emphysema/COPD (N), Stroke (Y), Cancer (N), Heart Problems (Y), Osteoporosis (N), Lung (N), Skin (N), Oral (N), Other (N), Incontinence (Bladder/Bowel) (N), Parkinson's Disease (N), Dementia (N), and Liver Problems (N). Below this is an "Other" dropdown menu with "NO" selected. The "Other Health Conditions" section follows, with a grid of checkboxes for: Allergies (N), Blood Pressure (N), Falls (N), Pacemaker (N), Thyroid (N), Amputation (N), Broken Bones (N), Gallbladder (N), Paralysis (N), Ulcers (N), Asthma (N), Dehydration (N), Hearing (N), Seizure Disorder (N), Vision (N), Bladder/Kidney (N), Dizziness (N), Ostomy Care (N), and Sleep (N). The bottom of the form shows "Record: 1/1" and a "<OSC>" button.

The cursor will begin in the Arthritis field. Enter a Y or N for all Primary Diagnosis and Health Conditions. In the Cancer field, if you enter an N and press the Tab or Enter key the fields below Cancer – Lung, Skin, Oral, Other – will automatically populate with an N and the cursor will move to the Dementia field. To select one of the specific Cancer types, you should answer Y to Cancer and the cursor will move through the Lung, Skin, Oral, and Other fields.

When selecting a health condition from the Other list in the Primary Diagnosis and Health Conditions section, you should select the most problematic health condition for the client. You can select the other health condition with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the first letter alphabetically to select a value.

A – Allergies

A (pressed twice) – Amputation

A (pressed three times) – Anemia

A (pressed four times) – Asthma

B – Bladder or Kidney Problems

B (pressed twice) – Blood Pressure – High

B (pressed three times) – Blood Pressure – Low
B (pressed four times) – Broken Bones
D – Dehydration
D (pressed twice) – Dialysis
D (pressed three times) – Dizziness
F – Falls
G – Gallbladder Problems
H – Hearing Problems
H (pressed twice) – HIV/ARC/AIDS
N – No
O – Osteoporosis
O (pressed twice) – Ostomy Care
O (pressed three times) – Others
P – Pacemaker
P (pressed twice) – Paralysis
P (pressed three times) – Parkinson’s Disease
P (pressed four times) – Potassium/Sodium Imbalance
S – Seizure Disorders
S (pressed twice) – Shingles
S (pressed three times) – Sleep Problems
T – Thyroid Problems
T (pressed twice) – Tuberculosis
U – Ulcers
U (pressed twice) – Unknown
U (pressed three times) – Urinary Incontinence
V – Vision Problems

The cursor will move to the Other Health Conditions section for you to enter any other health conditions affecting the client. If there aren’t any other health conditions affecting the client, other than what is listed in the Primary Diagnosis and Health Conditions section, select No from the Other list. Selecting No from the Other list will automatically populate the Other Health Conditions section with N and move to the SPS (Special Services) screen.

The cursor will begin in the Physical Therapy field. Enter a Y or N for all questions on the SPS (Special Services) screen.

When selecting a special service from the Other list in the Special Services section, you should select the most significant Special Service need for the client. You can select the special service with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the first letter alphabetically to select a value.

- A – Aseptic Dressing
- B – Bedsores Treatment
- B (pressed twice) – Bowel Impaction Therapy
- B (pressed three times) – Bowel/Bladder Rehabilitation
- C – Catheter Care
- D – Dialysis
- I – Insulin Therapy
- I (pressed twice) – IV Fluids

I (pressed three times) – IV Medicines
L – Lesion Irrigation
N – No
O – Ostomy Care
O (pressed twice) – Others
O (pressed three times) – Oxygen Therapy
O (pressed four times) – Oxygen Treatment
R – Respiratory Treatment
S – Skilled Nursing
S (pressed twice) – Speech Therapy
S (pressed three times) – Suctioning
T – Tube Feeding
U – Unknown
W – Wound Care

The cursor will move to the Other Special Conditions section for you to enter any other special conditions needed by the client. If there aren't any other special conditions needed by the client, other than what is listed in the Special Services section, select No from the Other list. Selecting No from the Other list will automatically populate the Other Special Conditions section with N and move to the SOC (Social Resources) screen.

Oracle Developer Forms Runtime - Web

ASSESSMENT INSTRUMENT AND PRIORITIZATION

Action Menu Edit Block Field Record Query Help

ASSESSMENT VERSION 10G.1 CIRTS Date 11/08/2006 User MCGLOHONSA

PSA 02 SSN 200611081 Last Name CLIENT Risk Score Priority Score Rank

Add Assessment Update Assessment Demographics Assessment List Search Print Turnaround

ASSM INC MEN PHY ADL NUT HEA SPS SOC CAR CAR2

Special Services Y = Yes, N = No

| | |
|----------------------------|----------------------------|
| Physical Therapy | Occupational Therapy |
| <input type="checkbox"/> N | <input type="checkbox"/> N |
| Respiratory Therapy | Other |
| <input type="checkbox"/> N | SKILLED NURSING |

Other Special Conditions Y = Yes, N = No

| | | |
|----------------------------|----------------------------|---------------------------------------|
| Bowel/bladder rehab | Insulin Therapy | Skilled Nursing |
| <input type="checkbox"/> N | <input type="checkbox"/> N | <input checked="" type="checkbox"/> Y |
| Bowel Impaction Therapy | Lesion Irrigation | Speech Therapy |
| <input type="checkbox"/> N | <input type="checkbox"/> N | <input checked="" type="checkbox"/> N |
| Catheter Care | Oxygen Therapy | Suctioning |
| <input type="checkbox"/> N | <input type="checkbox"/> N | <input type="checkbox"/> N |
| Dialysis | Oxygen Treatment | Tube Feeding |
| <input type="checkbox"/> N | <input type="checkbox"/> N | <input type="checkbox"/> N |
| | | Wound Care |
| | | <input type="checkbox"/> N |

Record: 1/1 ... <OSC>

Oracle Developer Forms Runtime - Web

ASSESSMENT INSTRUMENT AND PRIORITIZATION

Action Menu Edit Block Field Record Query Help

ASSESSMENT VERSION 10G.1 CIRTS Date 11/08/2006 User MCGLOHONSA

PSA 02 SSN 200611081 Last Name CLIENT Risk Score Priority Score Rank

Add Assessment Update Assessment Demographics Assessment List Search Print Turnaround

ASSM INC MEN PHY ADL NUT HEA SPS SOC CAR CAR2

Social Resources

Does the client live alone? SOCIAL RESOURCE SCORE

Does client care for grandchildren on a permanent basis?

If needed, could you stay with someone, or they stay with you?

Do you have someone you can talk to when you have a problem (other than caregiver)?

About how many times do you talk to friends, relatives, telephone reassurance volunteers or others on the telephone in a week, either they call you or you call them?

How many times during a week do you spend time with someone who does not live with you - you go see them, they come to visit you, or you do things together?

ENVIRONMENTAL SCORE

Record: 1/1 <OSC>

Does the client live alone? – is answered automatically based on your response to Living Situation on the ASSM screen.

Does the client care for grandchildren on a permanent basis? – Enter a Y or N.

If needed, could you stay with someone, or they stay with you? – Enter a Y or N.

Do you have someone you can talk to when you have a problem (other than caregiver)? – Enter a Y or N.

You can select the telephone and personal contact with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the alphabetic or numeric code to select a value.

D – One a day or more

2 – 2 - 6 times a week

W – Once a week

N – Not at all

N (pressed twice) – No phone (Only applies to how many times the client talks on the telephone.)

You can select the environmental score with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value.

- 0 – No Risk
- 5 – Low Risk
- 15 – Moderate Risk
- 25 – High Risk

Press the F10 key or click the Save button (yellow disk) to save the Assessment.

****If the client has a caregiver, you must press the Tab or Enter key to move the cursor to the CAR (Caregiver) screen. Or, you can click the CAR (Caregiver) Tab and click the “HCE Caregiver?” field to move the cursor.*

HCE Caregiver? – Enter a Y or N.

Caregiver’s Social Security number (SSN) – enter the Caregiver’s actual SSN or a pseudo SSN. Enter the Caregiver’s name and select the Caregiver’s relationship to the client. You can select the Caregiver’s relationship to the client with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the first letter alphabetically to select a value.

C – Child
F – Friend/Neighbor
G – Grandchild
O – Other
O (pressed twice) – Other Relative
P – Parent
S – Spouse

Enter the Caregiver’s Address then press the Tab or Enter key to move to City/State/Zip. Press the Tab or Enter key.

You can select the Caregiver’s county with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the first letter alphabetically of the desired county. For instance, you would press the “L” key four times for Leon County. Press the Tab or Enter key. Enter the Caregiver’s telephone number. Press the Tab or Enter key.

You can select the Caregiver’s race with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the first letter alphabetically to select a value. Press the Tab or Enter key.

A – Asian or Pacific Islander
B – Black
N – Native American
N – Not Required
O – Other Minority
U – Unknown
W – White

You can select the Caregiver’s ethnicity with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the first letter alphabetically to select a value. Press the Tab or Enter key.

H – Hispanic
N – Not Required
O – Other
U – Unknown

You can select the Caregiver’s primary language with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the first letter alphabetically to select a value. For example, you would press the “E” key once for English or the “S” key three times for Spanish. Press the Tab or Enter key.

Enter the Caregiver’s date of birth in the format – MMDDYYYY. Dashes will be added automatically. Press the Tab or Enter key.

You can select the Caregiver’s sex with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the first letter alphabetically to select a value. Press the Tab or Enter key.

F – Female
M – Male
U – Unknown

You can select the Caregiver’s employment status with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the first letter alphabetically to select a value. The cursor will automatically move to the next field.

F – Full-Time
P – Part-Time
N – N/A

You can select the Caregiver’s health with the arrow keys, or by clicking the list and selecting the value, or you can type the numeric code to select a value. The cursor will automatically move to the next field.

1 – Excellent
2 – Good
3 – Fair
4 – Poor

You can select the Length Providing Care with the arrow keys, or by clicking the list and select the value, or you can type the alphabetic or numeric code to select a value. The cursor will automatically move to the next field.

L – Less than 6 months
6 – 6 months – 1 year
1 – 1 – 2 years
O – Over 2 years

You can select the Continue Providing Care value with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value. The cursor will automatically move to the next field.

1 – Very Likely
2 – Somewhat Likely
3 – Unlikely

You can select the Ability to Continue Providing Care with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value. The cursor will automatically move to the next field.

1 – Very Likely
2 – Somewhat Likely
3 – Unlikely

You can select “Who Would Provide Care?” with the arrow keys, or by clicking the list and selecting the value, or you can type the alphabetic code to select a value. The cursor will automatically move to the next field.

- N – No One
- F – Friend/Neighbor
- C – Close Relative
- O – Other

You can select the Assessment type with the arrow keys, or by clicking the list and selecting the value, or you can type the alphabetic code to select a value.

- I – Initial
- R – Reassessment

The cursor will automatically move to the CAR2 (Caregiver, page 2) screen.

Oracle Developer Forms Runtime - Web

ASSESSMENT INSTRUMENT AND PRIORITIZATION

Action Menu Edit Block Field Record Query Help

ASSESSMENT VERSION 10G.1 CIRTS Date 11/08/2006 User MCGLOHONSA

PSA SSN Last Name Risk Score Priority Score Rank

02 200611081 CLIENT

Add Assessment Update Assessment Demographics Assessment List Search Print Turnaround

ASSM INC MEN PHY ADL NUT HEA SPS SOC CAR CAR2

Caregiver Assessment - continued

Your relationship with client? 2 = SAME

Your relationship with other family members? 2 = SAME

Your relationship with friends? 2 = SAME

Your work (if applicable)? 2 = SAME

Your emotional well-being? 2 = SAME

Assessor: Is the caregiver in crisis? Y = Yes, N = No

If yes, check all that apply Financial Emotional Physical

Record: 1/1 ... <OSC>

You can select the Relationship with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value. The cursor will automatically move to the Relationship with Other Family field.

- 1 – Better
- 2 – Same
- 3 – Worse

You can select the Relationship with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value. The cursor will automatically move to the Relationship with Friends field.

- 1 – Better
- 2 – Same
- 3 – Worse

You can select the Relationship with the arrow keys, or by clicking the list and selecting the value with the mouse, or you can type the numeric code to select a value. The cursor will automatically move to the Your Work field.

- 1 – Better
- 2 – Same
- 3 – Worse

You can select the Work value with the arrow keys, or by clicking on the list and selecting the value with the mouse, or you can type the numeric code to select a value. The cursor will automatically move to the Emotional Well-being field.

- 1 – Better
- 2 – Same
- 3 – Worse

You can select the Well-being with the arrow keys, or by clicking on the list and selecting the value with the mouse, or you can type the numeric code to select a value. The cursor will automatically move to the Caregiver in Crisis field.

- 1 – Better
- 2 – Same
- 3 – Worse

Is the caregiver in crisis? – Enter a Y or N. If you enter N, the remaining fields (Financial, Emotional, Physical) will automatically populate with N.

Press the F10 key or click the Save button (yellow disk) to save.

Title Guardian

When the Assessment Type is Grandparent/Guardian, the Consumer Type is Caregiver, and “Are you the caregiver of a grandchild?” is Y, the TIG (Title Guardian) screen will appear.

The screenshot shows the Oracle Developer Forms Runtime - Web interface for the 'ASSESSMENT INSTRUMENT AND PRIORITIZATION' form. The form is titled 'ASSESSMENT' and 'VERSION 10G.1'. The user is 'MCGLOHONSA' and the date is '11/08/2006'. The form is currently displaying the 'TIG' (Title Guardian) screen, which is a sub-section of the 'ASSESSMENT' form. The 'TIG' screen contains the following information:

| CIRTS Assessment Information | | |
|--|--|--|
| Owner Id 20000 | Owner Assessor Id MCGLOHONSA | Assessment Date 11/07/2006 |
| Provider Id | Provider Assessor Id | Assessment Site CLIENT/RELATIVE'S HOME |
| Assessor Name SHANDRA MCGLOHON | | Assessment Type GRANDPARENT/GUARDIAN |
| Consumer Type: CAREGIVER | Are you the caregiver of a grandchild? Y | Is this Public Housing? N |
| Referral Source SELF | Primary Caregiver NO CAREGIVER | |
| Risk Level NONE | Living Situation ALONE | |
| Referral Date 11/07/2006 | | |

The form also includes a navigation bar at the bottom with 'Record: 1/1' and '<OSC>'.

Oracle Developer Forms Runtime - Web

ASSESSMENT INSTRUMENT AND PRIORITIZATION

Action Menu Edit Block Field Record Query Help

ASSESSMENT VERSION 10G.1 CIRTS Date 11/08/2006 User MCGLOHONSA

PSA SSN Last Name Risk Score Priority Score Rank

02 200611082 GUARDIAN

Add Assessment Update Assessment Demographics Assessment List Search Print Turnaround

ASSM TIG

Grandchild/Child Information

First Name MI Last Name

TIG CHILD

Date of Birth

11/08/1990

Is the child developmentally disabled? Y

Record: 1/1 <OSC>

Enter the child/grandchild's name, date of birth (Format: MMDDYYYY – dashes will appear automatically), and whether the child is developmentally disabled.

Press the F10 key or the Save button (yellow disk) to save.

Viewing the Client's Assessments

Oracle Developer Forms Runtime - Web
CLIENT INFORMATION AND REGISTRATION TRACKING SYSTEM

Action Menu Edit Block Field Record Query Help

DEMOGRAPHICS_1226
VERSION 10G.1

CIRTS

Date 11/08/2006
User MCGLOHONSA

PSA 02 Owner 20000 SSN 200611081 First Name TEST Last Name CLIENT
 Demographic Complete
 PAS Complete

DEMOGRAPHIC INFORMATION

SSN 200611081 PSA 02 First Name TEST MI Last Name CLIENT Medicaid Number

Home Address
Street 1234 ANY STREET Street cont'
City ANY TOWN State FL Zip 32311 County LEON Phone Number:
Extension

Mailing Address
Street Street cont'
City State Zip County Phone Number:
Extension

Date of Birth 11/08/1916 Date of Death Sex MALE Race WHITE Ethnicity OTHER
Primary Language ENGLISH Marital Status SINGLE Need outside assistance to evacuate? N
Registered with County Special Needs Registry? N

Search LOC Referrals **Assessments**

Click the Assessments button on the Demographic screen. A new screen with a list of the client's Assessments will appear.

List of Assessments Screen

Client Information
TEST CLIENT 200-61-1081

| Psa/Cares Office | Date | Assessor Name/ Caseworker | Assessment Site | Assessment Type | Priority Score | Rank |
|------------------|------------|------------------------------|-----------------------|--------------------|----------------|------|
| 02 | 11/06/2006 | SHANDRA MCGLOHON | CLIENT/RELATIVE'S HOM | INITIAL ASSESSMENT | 16 | 1 |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

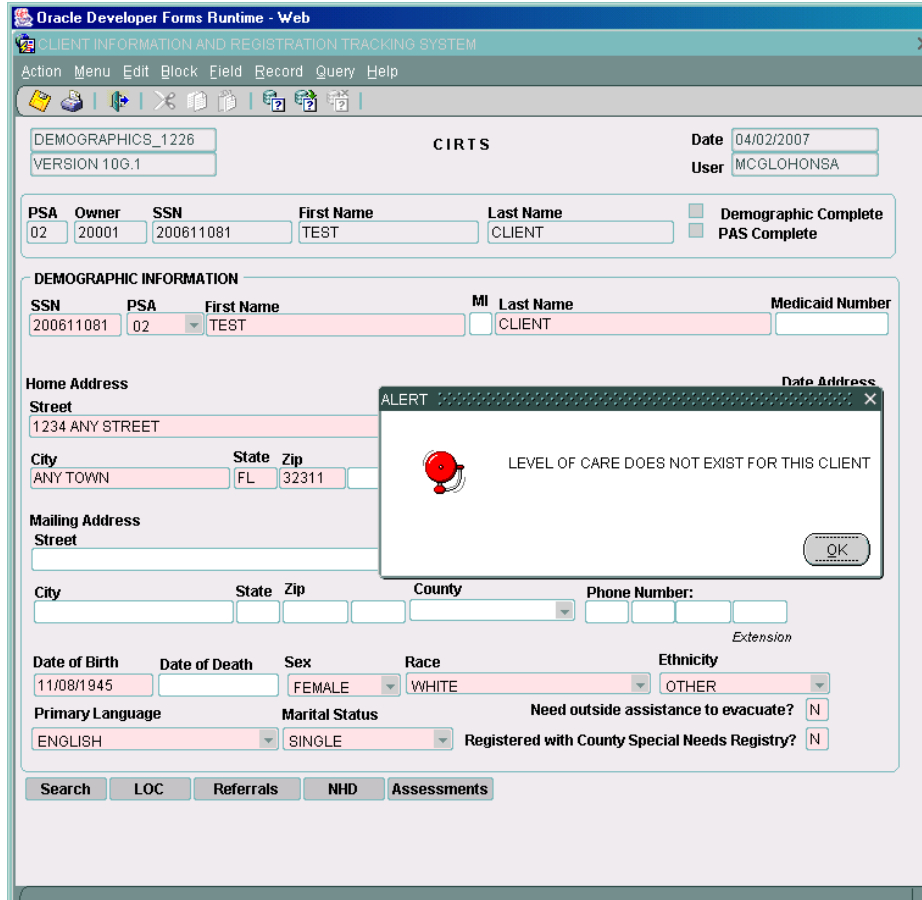
Details Add Assessment Demographics Close Print Turnaround

Record: 1/1 <OSC>

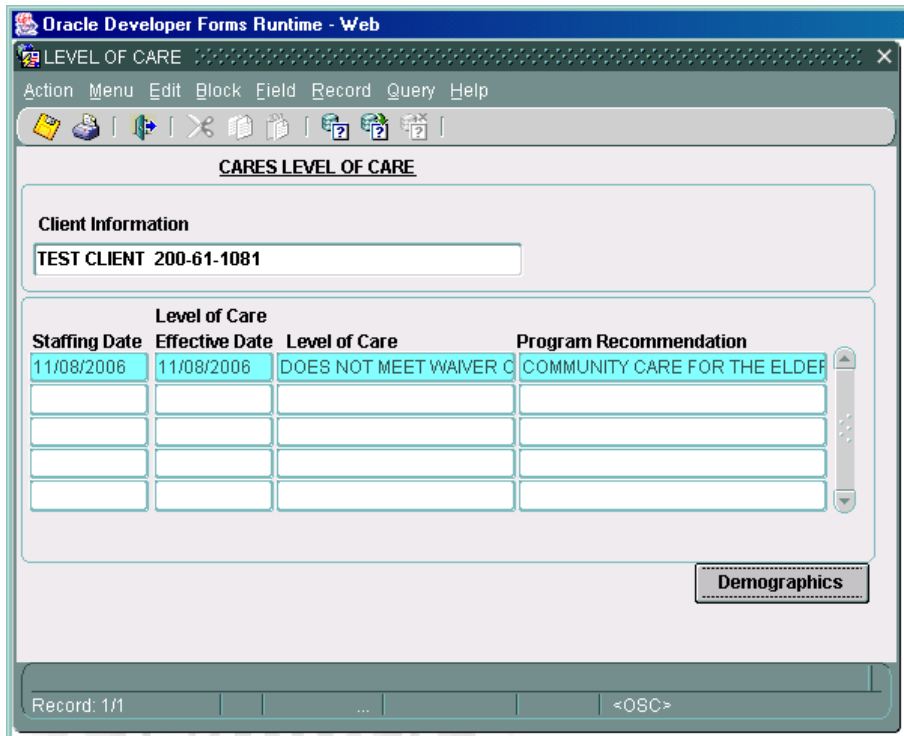
All of the client's Assessments, statewide, will appear in the List of Assessments. To view an Assessment, click the Assessment in the list then click the Details button or double-click the Assessment in the list. To add a new Assessment, click the Add Assessment button. Click the Demographics button to go back to the Demographics screen. The Close button will also take you back to the Demographics screen. The Print Turnaround button generates the Assessment Report.

The following buttons are available on the Assessment screen:

- Add Assessment
- Update Assessment
- Demographics
- Assessment List
- Search
- Print Turnaround



If the Level of Care (LOC) does not exist, you will receive the message seen above.



If the client has a Level of Care (LOC), you will see a screen with the levels listed. Click the Demographics button to return to the Demographics screen.

CARES Referrals

Oracle Developer Forms Runtime - Web
CLIENT INFORMATION AND REGISTRATION TRACKING SYSTEM

Demographics_1226 C I R T S Date: 04/02/2007
VERSION 100.1 User: MCGLOHONSA

PSA: 02 Owner: 20001 SSN: 200611081 First Name: TEST Last Name: CLIENT Demographic Complete
 PAS Complete

DEMOGRAPHIC INFORMATION

SSN: 200611081 PSA: 02 First Name: TEST MI: Last Name: CLIENT Medicaid Number:

Home Address

Street: 1234 ANY STREET Street con't: Date Address Changed: 04/02/2007

City: ANY TOWN State: FL Zip: 32311 County: LEON Phone Number:

Extension

Mailing Address

Street: Street con't:

City: State: Zip: County: Phone Number:

Extension

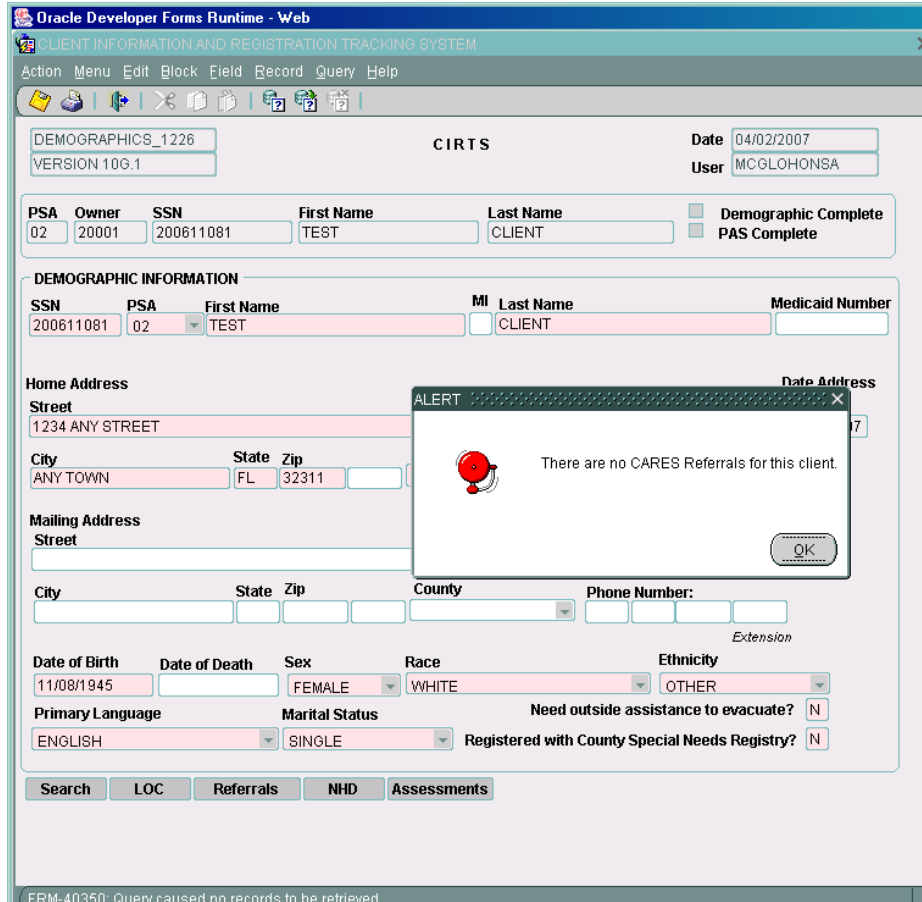
Date of Birth: 11/08/1945 Date of Death: Sex: FEMALE Race: WHITE Ethnicity: OTHER

Primary Language: ENGLISH Marital Status: SINGLE Need outside assistance to evacuate? N

Registered with County Special Needs Registry? N

...Search... LOC Referrals NHD Assessments

Click the Referrals button to view referrals from the CARES office to the area agency on aging (AAA) or the lead agency.



If CARES hasn't made a Referral to the area agency on aging (AAA) or the lead agency, you will receive the message seen above.

If the CARES office has made a referral to the area agency on aging (AAA) or the lead agency, you will see a screen with the referrals listed.

CARES Referral Information

Client Information
 TEST CLIENT 200-61-1081

| PSA | Employee Name | Referral Date | Imminent Risk | Referred To | Date Received by AAA or LA |
|-----|--------------------|---------------|---------------|-------------|----------------------------|
| 02B | TESTING CASEWORKER | 11/09/2006 | N | LEAD AGENCY | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

Demographics... Save

Record: 1/1 <OSC>

The Date Received should be entered, when the area agency on aging (AAA) or the lead agency receive the referral paperwork from the CARES office. After entering the Date Received, click the Save button. Then click the Demographics button to return to the Demographics screen.

CARES Referral Information

Client Information
 TEST CLIENT 200-61-1081

| PSA | Employee Name | Referral Date | Imminent Risk | Referred To | Date Received by AAA or LA |
|-----|--------------------|---------------|---------------|-------------|----------------------------|
| 02B | TESTING CASEWORKER | 11/09/2006 | N | LEAD AGENCY | 11/09/2006 |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

Demographics Save

Record: 1/1 <OSC>

Nursing Home Diversion

Oracle Developer Forms Runtime - Web
CLIENT INFORMATION AND REGISTRATION TRACKING SYSTEM

Demographics_1226 C I R T S Date: 04/02/2007
VERSION 100.1 User: MCGLOHONSA

PSA: 02 Owner: 20001 SSN: 200611081 First Name: TEST Last Name: CLIENT Demographic Complete
 PAS Complete

DEMOGRAPHIC INFORMATION

SSN: 200611081 PSA: 02 First Name: TEST MI: Last Name: CLIENT Medicaid Number:

Home Address

Street: 1234 ANY STREET Street con't: Date Address Changed: 04/02/2007

City: ANY TOWN State: FL Zip: 32311 County: LEON Phone Number:

Extension

Mailing Address

Street: Street con't:

City: State: Zip: County: Phone Number:

Extension

Date of Birth: 11/08/1945 Date of Death: Sex: FEMALE Race: WHITE Ethnicity: OTHER

Primary Language: ENGLISH Marital Status: SINGLE Need outside assistance to evacuate? N

Registered with County Special Needs Registry? N

...Search... LOC Referrals NHD Assessments

FRM-40350: Query caused no records to be retrieved

Click the NHD button to view the client's Nursing Home Diversion status.

Oracle Developer Forms Runtime - Web
 CARES NURSING HOME DIVERSION HISTORY
 Action Menu Edit Block Field Record Query Help

CARESNHD122620070314 04/02/2007
 VERSION 10G.1 CARES Nursing Home Diversion History MCGLOHONSA

Client
 ASSESSMENT,TEST

| CARES Office | PIPELINE | | MEDICAID PENDING | | |
|--------------|---------------------|---------------------|---------------------------|----------------------|----------------------------------|
| | Date Enter Pipeline | Date Leave Pipeline | Date Referred to Provider | Provider Referred To | Date Withdrawn from Med. Pending |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

Add More Record(s)

When the individual is determined financially eligible, meets LOC and eligibility criteria, and the completed packet is sent to the Diversion provider, complete the Referral screen and set the Referred To field to 'MCO'.

SAVE DELETE CANCEL CLOSE

Record: 1/1 ... <OSC>

This is a view-only screen. Click the Close button to return to Demographics.

CARES Office – Office processing the client’s referral to the Nursing Home Diversion Waiver.

Date Enter Pipeline – Date the client is determined to be interested and suitable in the NH Diversion Waiver.

Date Leave Pipeline – Date the client, who was previously determined to be interested and suitable for the NH Diversion Waiver, is no longer interested or suitable.

Date Referred to Provider – Date the client, whose financial eligibility status is Medicaid Pending, is referred to the NH Diversion provider.

Provider Referred To – NH Diversion provider to whom the client, whose financial eligibility status is Medicaid Pending, is referred.

Date Withdrawn from Med. Pending – Date the client determines they are no longer interested in the Medicaid Pending option after being referred to a NH Diversion provider, but prior to being officially enrolled.

Additional Client Information – Mini Menu (F12 – #2)

CIRTS

CICLIENT
X

Action Menu Edit Block Field Record Query Help

| | | |
|--|--|---|
| <input type="text" value="CICLIENT_1226"/> | CIRTS | Date <input type="text" value="11/08/2006"/> |
| <input type="text" value="VERSION 10G.1"/> | CLIENT DISPLAY AND LIMITED UPDATE | User <input type="text" value="MCGLOHONSA"/> |

| | | | |
|--|--|---|---|
| PSA <input type="text" value="02"/> | SSN <input type="text" value="200811081"/> | Intake Date <input type="text"/> | Medicaid # <input type="text"/> |
| First Name <input type="text" value="TEST"/> | MI <input type="text"/> | Last Name <input type="text" value="CLIENT"/> | |

| | | |
|---|---|---|
| Addresses ? <input type="checkbox" value="N"/> | Birth Date <input type="text" value="11/08/1916"/> | DOBV <input type="checkbox"/> |
| Sex <input type="checkbox" value="M"/> | Race <input type="checkbox" value="W"/> - WHITE | Ethnicity <input type="checkbox" value="O"/> - OTHER |
| Citizen <input type="checkbox"/> | Marital Status <input type="checkbox" value="S"/> SINGLE | |
| Hosp/Emerg <input type="checkbox"/> | Emerg Evac <input type="checkbox"/> | Spcl-Shlfr <input type="checkbox" value="N"/> |
| Refri Src <input type="text"/> | | Spcl-Reg <input type="checkbox" value="N"/> |
| Incomes ? <input type="checkbox" value="N"/> | | |

| | | |
|---|---|---|
| Contacts ? <input type="checkbox" value="N"/> | Comments ? <input type="checkbox" value="N"/> | Languages ? <input type="checkbox" value="N"/> |
| Handicaps ? <input type="checkbox" value="N"/> | OAA ? <input type="checkbox" value="N"/> | SSI ? <input type="checkbox" value="N"/> |
| Medicaid Waiver ? <input type="checkbox" value="N"/> | EHEAP ? <input type="checkbox" value="N"/> | |
| Earliest Intake Date <input type="text"/> | PSA Codes ? <input type="checkbox" value="N"/> | |

Enter Client's SSN (F9 for LOV) or F7 to Query on Last Name - Required

Record: 1/1 ... <OSC>

To access Additional Client Information for: Incomes, Contacts, Comments, Languages, Handicaps, OAA, SSI, Medicaid Waiver, EHEAP, and PSA Codes, enter a Y in the respective field and press the Enter key. A separate window will appear and will allow you to enter the additional information. On the individual screens, use the F9 key to access the codes list if needed.

Additional Client Information - Incomes

CIRTS

CICLIENT

Action Menu Edit Block Field Record Query Help

CIRTS
CLIENT DISPLAY AND LIMITED UPDATE

| | | | |
|---------------------------------|------------|--------------------|-------------------|
| PSA | SSN | Intake Date | Medicaid # |
| <input type="text" value="02"/> | | | |

| PSA | Type | Income/Asset Code | Amount | More? |
|--------------------------|----------------------|--------------------------|----------------------|------------------------------------|
| <input type="checkbox"/> | <input type="text"/> | <input type="checkbox"/> | <input type="text"/> | <input type="checkbox" value="N"/> |
| <input type="checkbox"/> | <input type="text"/> | <input type="checkbox"/> | <input type="text"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="text"/> | <input type="checkbox"/> | <input type="text"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="text"/> | <input type="checkbox"/> | <input type="text"/> | <input type="checkbox"/> |

| | | | | |
|---|--|--|--|--|
| Hosp/Emerg <input type="checkbox"/> | Emerg Evac <input type="checkbox"/> | Spcl-Shlfr <input type="checkbox" value="N"/> | Spcl-Reg <input type="checkbox" value="N"/> | Incomes ? <input type="checkbox" value="Y"/> |
| Refri Src <input type="text"/> - <input type="text"/> | | | | |
| Contacts ? <input type="checkbox" value="N"/> | Comments ? <input type="checkbox" value="N"/> | Languages ? <input type="checkbox" value="N"/> | | |
| Handicaps ? <input type="checkbox" value="N"/> | OAA ? <input type="checkbox" value="N"/> | SSI ? <input type="checkbox" value="N"/> | Medicaid Waiver ? <input type="checkbox" value="N"/> | EHEAP ? <input type="checkbox" value="N"/> |
| Earliest Intake Date <input type="text"/> | PSA Codes ? <input type="checkbox" value="N"/> | | | |

Record: 1/1
... List of Valu...
<OSC>

Additional Information - Contacts

CIRTS

CICLIENT

Action Menu Edit Block Field Record Query Help

CICLIENT_1236
11/09/2006

CLIENT CONTACTS

| | | | | | | | | | | |
|-------------------|--------------------------|----------------------|--------------------------|----------------------|--------------------------|----------------------|----------------------|----------------------|---------------------------------------|----------------------|
| PSA | <input type="checkbox"/> | Code | <input type="text"/> | HCE | <input type="checkbox"/> | CG SSN | <input type="text"/> | <input type="text"/> | Contact Relationship to Client | <input type="text"/> |
| First Name | | | | | <input type="text"/> | | | | | |
| Last Name | | | | | <input type="text"/> | | | | | |
| Telephone | (<input type="text"/>) | <input type="text"/> | - | <input type="text"/> | - | <input type="text"/> | | | | |
| Race | <input type="checkbox"/> | Ethnicity | <input type="checkbox"/> | Sex | <input type="checkbox"/> | DOB | <input type="text"/> | More? | <input type="checkbox"/> N | |

| | | | | | | | | | | |
|-------------------|--------------------------|----------------------|--------------------------|----------------------|--------------------------|----------------------|----------------------|----------------------|---------------------------------------|----------------------|
| PSA | <input type="checkbox"/> | Code | <input type="text"/> | HCE | <input type="checkbox"/> | CG SSN | <input type="text"/> | <input type="text"/> | Contact Relationship to Client | <input type="text"/> |
| First Name | | | | | <input type="text"/> | | | | | |
| Last Name | | | | | <input type="text"/> | | | | | |
| Telephone | (<input type="text"/>) | <input type="text"/> | - | <input type="text"/> | - | <input type="text"/> | | | | |
| Race | <input type="checkbox"/> | Ethnicity | <input type="checkbox"/> | Sex | <input type="checkbox"/> | DOB | <input type="text"/> | More ? | <input type="checkbox"/> | |

Refri Src -

Contacts ? Y **Comments ?** N **Languages ?** N

Handicaps ? N **OAA ?** N **SSI ?** N **Medicaid Waiver ?** N **EHEAP ?** N

Earliest Intake Date **PSA Codes ?** N

Enter Code for Contact Type (F9 for List) - Required

Record: 1/1 ... List of Valu... <OSC>

Additional Client Information - Comments

CIRTS

CICLIENT

Action Menu Edit Block Field Record Query Help

| | | |
|---------------|-----------------------------------|-----------------|
| CICLIENT_1226 | CIRTS | Date 11/08/2006 |
| VERSION 10G.1 | CLIENT DISPLAY AND LIMITED UPDATE | User MCGLOHONSA |

| | | | |
|--|---------------------------------|--------------------|-------------------|
| PSA | SSN | Intake Date | Medicaid # |
| <input type="text" value="02"/> | <input type="text" value="20"/> | | |
| COMMENTS | | | |
| <input type="checkbox"/> PSA Use "CTL + e" To Toggle The Text Editor ON and OFF. | | | |
| <input type="text"/> | | | |

| | | | | | | | | | | | | |
|---|---|---|---|---|---|---|--|---|---|--|--|--|
| Addresses ? <input type="text" value="N"/> | | | | | | | | | | | | |
| <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;">Sex <input type="text" value="M"/></td> <td style="width: 15%;">Race <input type="text" value="W"/> - WHITE</td> <td style="width: 15%;">Ethnicity <input type="text" value="O"/> - OTHER</td> </tr> <tr> <td>Citizen <input type="text"/></td> <td>Marital Status <input type="text" value="S"/> SINGLE</td> <td></td> </tr> <tr> <td>Hosp/Emerg <input type="text"/></td> <td>Emerg Evac <input type="text"/></td> <td>Spcl-Shlfr <input type="text" value="N"/> Spcl-Reg <input type="text" value="N"/> Incomes ? <input type="text" value="N"/></td> </tr> <tr> <td colspan="3">Refri Src <input type="text"/> - <input type="text"/></td> </tr> </table> | Sex <input type="text" value="M"/> | Race <input type="text" value="W"/> - WHITE | Ethnicity <input type="text" value="O"/> - OTHER | Citizen <input type="text"/> | Marital Status <input type="text" value="S"/> SINGLE | | Hosp/Emerg <input type="text"/> | Emerg Evac <input type="text"/> | Spcl-Shlfr <input type="text" value="N"/> Spcl-Reg <input type="text" value="N"/> Incomes ? <input type="text" value="N"/> | Refri Src <input type="text"/> - <input type="text"/> | | |
| Sex <input type="text" value="M"/> | Race <input type="text" value="W"/> - WHITE | Ethnicity <input type="text" value="O"/> - OTHER | | | | | | | | | | |
| Citizen <input type="text"/> | Marital Status <input type="text" value="S"/> SINGLE | | | | | | | | | | | |
| Hosp/Emerg <input type="text"/> | Emerg Evac <input type="text"/> | Spcl-Shlfr <input type="text" value="N"/> Spcl-Reg <input type="text" value="N"/> Incomes ? <input type="text" value="N"/> | | | | | | | | | | |
| Refri Src <input type="text"/> - <input type="text"/> | | | | | | | | | | | | |
| <table style="width: 100%; border-collapse: collapse;"> <tr> <td>Contacts ? <input type="text" value="N"/></td> <td>Comments ? <input type="text" value="Y"/></td> <td>Languages ? <input type="text" value="N"/></td> </tr> <tr> <td>Handicaps ? <input type="text" value="N"/></td> <td>OAA ? <input type="text" value="N"/></td> <td>SSI ? <input type="text" value="N"/> Medicaid Waiver ? <input type="text" value="N"/> EHEAP ? <input type="text" value="N"/></td> </tr> <tr> <td>Earliest Intake Date <input type="text"/></td> <td>PSA Codes ? <input type="text" value="N"/></td> <td></td> </tr> </table> | Contacts ? <input type="text" value="N"/> | Comments ? <input type="text" value="Y"/> | Languages ? <input type="text" value="N"/> | Handicaps ? <input type="text" value="N"/> | OAA ? <input type="text" value="N"/> | SSI ? <input type="text" value="N"/> Medicaid Waiver ? <input type="text" value="N"/> EHEAP ? <input type="text" value="N"/> | Earliest Intake Date <input type="text"/> | PSA Codes ? <input type="text" value="N"/> | | | | |
| Contacts ? <input type="text" value="N"/> | Comments ? <input type="text" value="Y"/> | Languages ? <input type="text" value="N"/> | | | | | | | | | | |
| Handicaps ? <input type="text" value="N"/> | OAA ? <input type="text" value="N"/> | SSI ? <input type="text" value="N"/> Medicaid Waiver ? <input type="text" value="N"/> EHEAP ? <input type="text" value="N"/> | | | | | | | | | | |
| Earliest Intake Date <input type="text"/> | PSA Codes ? <input type="text" value="N"/> | | | | | | | | | | | |

Enter <ALT+E> to Enter Comments(upto 256 characters) on full size comment screen

Record: 1/1 ... <OSC>

Additional Client Information - Languages

CIRTS

CICLIENT

Action Menu Edit Block Field Record Query Help

CIRTS
CLIENT DISPLAY AND LIMITED UPDATE

| | | | |
|---------------------------------|-----------------------------------|--------------------|-------------------|
| PSA | SSN | Intake Date | Medicaid # |
| <input type="text" value="02"/> | <input type="text" value="2001"/> | | |
| | First | | |
| | <input type="text" value="TES"/> | | |

| | | | | | |
|-----------------------------|---|-------------------|--------------------------------|----------------------------|----------------------------|
| Addresses ? | <input type="checkbox"/> N | Sex | <input type="text" value="M"/> | Citizen | <input type="checkbox"/> |
| Hosp/Emerg | <input type="checkbox"/> | Emerg Evac | <input type="checkbox"/> | Spcl-Shltr | <input type="checkbox"/> N |
| Spcl-Reg | <input type="checkbox"/> N | Incomes ? | <input type="checkbox"/> N | | |
| Refri Src | <input type="text" value=""/> - <input type="text" value=""/> | | | | |
| Contacts ? | <input type="checkbox"/> N | Comments ? | <input type="checkbox"/> N | Languages ? | <input type="checkbox"/> Y |
| Handicaps ? | <input type="checkbox"/> N | OAA ? | <input type="checkbox"/> N | SSI ? | <input type="checkbox"/> N |
| Medicaid Waiver ? | <input type="checkbox"/> N | EHEAP ? | <input type="checkbox"/> N | | |
| Earliest Intake Date | <input type="text" value=""/> | | PSA Codes ? | <input type="checkbox"/> N | |

Enter the Language Code (F9 for List) - Required
 Record: 1/1 | ... | List of Valu... | <OSC>

CLIENT LANGUAGES

| PSA | Primary (Y/N) | Code | Description | More ? |
|-------------------------------------|---------------------------------------|-------------------------------|-------------------------------|----------------------------|
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> Y | EN | ENGLISH | <input type="checkbox"/> N |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="text" value=""/> | <input type="text" value=""/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="text" value=""/> | <input type="text" value=""/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="text" value=""/> | <input type="text" value=""/> | <input type="checkbox"/> |

Additional Client Information - Handicaps

CIRTS

CICLIENT
X

Action Menu Edit Block Field Record Query Help

| | | |
|--|--|---|
| <input type="text" value="CICLIENT_1226"/> | CIRTS | Date <input type="text" value="03/26/2007"/> |
| <input type="text" value="VERSION 10G.1"/> | CLIENT DISPLAY AND LIMITED UPDATE | User <input type="text" value="CIRTSADMIN"/> |

| | | | |
|--|--|---|---|
| PSA <input type="text" value="02"/> | SSN <input type="text" value="200703241"/> | Intake Date <input type="text"/> | Medicaid # <input type="text"/> |
| First Name <input type="text" value="TEST"/> | MI <input type="text"/> | Last Name <input type="text" value="ASSESSMENT"/> | |

| | |
|---|--|
| Addresses ? <input type="checkbox" value="N"/> | Birth Date <input type="text"/> |
| Sex <input type="text" value="F"/> | Race <input type="text"/> |
| Citizen <input type="checkbox"/> | Marital S <input type="text"/> |
| Hosp/Emerg <input type="checkbox"/> | Emerg Ev <input type="text"/> |
| Refri Src <input type="text"/> | <input type="text"/> |

| | | |
|---|---|---|
| Contacts ? <input type="checkbox" value="N"/> | Comments ? <input type="checkbox" value="N"/> | Languages ? <input type="checkbox" value="N"/> |
| Handicaps ? <input type="checkbox" value="Y"/> | OAA ? <input type="checkbox" value="N"/> | SSI ? <input type="checkbox" value="N"/> |
| Medicaid Waiver ? <input type="checkbox" value="N"/> | EHEAP ? <input type="checkbox" value="N"/> | |
| Earliest Intake Date <input type="text"/> | PSA Codes ? <input type="checkbox" value="N"/> | |

Record: 1/1
... List of Valu...
<OSC>

CLIENT HANDICAPS

| PSA | Handicap | Description | More? |
|--------------------------|----------------------|----------------------|------------------------------------|
| <input type="checkbox"/> | <input type="text"/> | <input type="text"/> | <input type="checkbox" value="N"/> |
| <input type="checkbox"/> | <input type="text"/> | <input type="text"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="text"/> | <input type="text"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="text"/> | <input type="text"/> | <input type="checkbox"/> |

Additional Client Information – OAA (Older Americans Act)

CIRTS

CICLIENT X

Action Menu Edit Block Field Record Query Help

CICLIENT_1226
CIRTS
Date: 11/08/2006

VERSION 10G.1
CLIENT DISPLAY AND LIMITED UPDATE
User: MCGLOHONSA

| | | | |
|-----|------------|-------------|------------|
| PSA | SSN | Intake Date | Medicaid # |
| 02 | 200611081 | | |
| | First Name | MI | Last Name |
| | TEST | | CLIENT |

Addresses ? N Birth Date: 11/08/1916 DOBV:

Sex: M Race: OLDER AMERICANS ACT (OAA)

Citizen: Marita:

Hosp/Emerg: Emerg: Incomes ? N

Refrl Src: -

Contacts ? N Comments ? N Languages ? N

Handicaps ? N OAA ? Y SSI ? N Medicaid Waiver ? N EHEAP ? N

Earliest Intake Date: PSA Codes ? N

Does Client Live in Urban/Rural Area? "U"= Urban, "R"=Rural - Optional

Record: 1/1 ... <OSC>

Additional Client Information – SSI (Supplemental Security Income)

CIRTS

CICLIENT X

Action Menu Edit Block Field Record Query Help

CICLIENT_1226 CIRTS Date
VERSION 10G.1 CLIENT DISPLAY AND LIMITED UPDATE User

| | | | |
|---------------------------------|---|----------------------|----------------------|
| PSA | SSN | Intake Date | Medicaid # |
| <input type="text" value="02"/> | <input type="text" value="2000110001"/> | <input type="text"/> | <input type="text"/> |

| | | | | | |
|---|---|--|---|--|--|
| Addresses ? <input type="checkbox"/> | Sex <input type="text" value="M"/> | Screened Out Referral (Y/N) | | | |
| <input type="checkbox"/> | <input type="checkbox"/> | Reason # 1 - SSA <input type="text" value="N"/> | Reason # 2 - State/Local Agency <input type="text" value="N"/> | | |

| | | | | | |
|--|---|--|--|--|--|
| Hosp/Emerg <input type="checkbox"/> | Refri Src <input type="checkbox"/> | Program Referred To (Y/N) | | | |
| <input type="checkbox"/> | <input type="checkbox"/> | VR <input type="text" value="N"/> | Substance Abuse <input type="text" value="N"/> | | |
| | | Housing Assistance <input type="text" value="N"/> | Food Stamps <input type="text" value="N"/> | | |
| | | Other Programs <input type="text" value="N"/> | Medicaid or Other Medical Assistance <input type="text" value="N"/> | | |

| | | | | | |
|--|---|---------------------------------------|---|---|---|
| Contacts ? <input type="checkbox"/> | Handicaps ? <input type="checkbox"/> | OAA ? <input type="checkbox"/> | SSI ? <input type="text" value="Y"/> | Medicaid Waiver ? <input type="checkbox"/> | EHEAP ? <input type="checkbox"/> |
| | | | | | |

| | |
|--|---|
| Earliest Intake Date <input type="text"/> | PSA Codes ? <input type="text" value="N"/> |
|--|---|

Enter SSI Inquiry Date (MM/DD/YYYY) - Optional
 Record: 1/1 <OSC>

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Page 837 of 905

Additional Client Information – Medicaid Waiver

CIRTS

CICLIENT X

Action Menu Edit Block Field Record Query Help

CICLIENT_1226
CIRTS
Date: 11/08/2006

VERSION 10G.1
CLIENT DISPLAY AND LIMITED UPDATE
User: MCGLOHONSA

| PSA | SSN | Intake Date | Medicaid # |
|-----|-----|-------------|------------|
| 02 | | | |

MEDICAID WAIVER (MW) X

Medicaid Number
200611081

Slot Number

Slot Status

Eligibility

Eligibility Date

MW Re-Determination Date

CARES Redetermination Date

Voter Registration Assistance

Address: _____

S: _____

Citiz: _____

Hosp/En: _____ N

Refri Src: _____

Contacts ? N
Comments ? N
Languages ? N

Handicaps ? N
OAA ? N
SSI ? N
Medicaid Waiver ? Y
EHEAP ? N

Earliest Intake Date:

PSA Codes ? N

Enter Client's Medicaid Slot #-Optional(If Entered Status Must also be Entered).

Record: 1/1 <OSC>

Additional Client Information – Planning and Service Area Codes

CIRTS

CICLIENT
X

Action Menu Edit Block Field Record Query Help

CIRTS
CLIENT DISPLAY AND LIMITED UPDATE

Date
User

| | | | | | | | |
|------------|---------------------------------|------------|----------------------|--------------------|----------------------|-------------------|----------------------|
| PSA | <input type="text" value="02"/> | SCN | <input type="text"/> | Intake Date | <input type="text"/> | Medicaid # | <input type="text"/> |
|------------|---------------------------------|------------|----------------------|--------------------|----------------------|-------------------|----------------------|

| | | | | | | | | | | | | | | | |
|--------------------|----------------------------|------------|--------------------------------|----------------|--------------------------|-------------------|--------------------------|-------------------|--------------------------|-------------------|----------------------------|-----------------|----------------------------|------------------|----------------------------|
| Addresses ? | <input type="checkbox"/> N | Sex | <input type="text" value="M"/> | Citizen | <input type="checkbox"/> | Hosp/Emerg | <input type="checkbox"/> | Emerg Evac | <input type="checkbox"/> | Spcl-Shltr | <input type="checkbox"/> N | Spcl-Reg | <input type="checkbox"/> N | Incomes ? | <input type="checkbox"/> N |
|--------------------|----------------------------|------------|--------------------------------|----------------|--------------------------|-------------------|--------------------------|-------------------|--------------------------|-------------------|----------------------------|-----------------|----------------------------|------------------|----------------------------|

| | | | | | | | |
|------------------|----------------------|-------------------|----------------------------|-------------------|----------------------------|--------------------|----------------------------|
| Refri Src | <input type="text"/> | Contacts ? | <input type="checkbox"/> N | Comments ? | <input type="checkbox"/> N | Languages ? | <input type="checkbox"/> N |
|------------------|----------------------|-------------------|----------------------------|-------------------|----------------------------|--------------------|----------------------------|

| | | | | | | | | | |
|--------------------|----------------------------|--------------|----------------------------|--------------|----------------------------|--------------------------|----------------------------|----------------|----------------------------|
| Handicaps ? | <input type="checkbox"/> N | OAA ? | <input type="checkbox"/> N | SSI ? | <input type="checkbox"/> N | Medicaid Waiver ? | <input type="checkbox"/> N | EHEAP ? | <input type="checkbox"/> N |
|--------------------|----------------------------|--------------|----------------------------|--------------|----------------------------|--------------------------|----------------------------|----------------|----------------------------|

| | | | |
|-----------------------------|----------------------|--------------------|----------------------------|
| Earliest Intake Date | <input type="text"/> | PSA Codes ? | <input type="checkbox"/> Y |
|-----------------------------|----------------------|--------------------|----------------------------|

Enter "Y" to Enter Another PSA Code, "N" to Return to Client Screen

Record: 1/1 ... <OSC>

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Client Enrollment Screen – Mini Menu (F12 - #3)

CIENROLL_1226 CIRT Date 11/08/2006
 VERSION 10G.1 CLIENT ENROLLMENTS User MCGLOHONSA
 (Press Ctrl+Page Down to access Waitlist)

PSA 02 SSN 200611081 DOB 11/08/1916 Owner Provider 20000

First Name TEST MI Last Name CLIENT

| PSA | Program Comp. | Status | Enrollment Start | Enrollment End | Elig. Code | Provider | Loc | Worker |
|-----|---------------|--------|------------------|----------------|------------|----------|-----|--------|
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |

Enter Client's SSN or F7 to Query on Last Name
 Record: 1/1 ... <OSC>

Adding a new Enrollment:

Click on a blank row or press the F6 key.

The cursor will begin in the Program Comp. field.

Type the three or four letter code for Program and Status, if known; if not, press the F9 key for a list of values.

Enter the Enrollment Start Date – format: MMDDYYYY or MMDDYY. The dashes will be added automatically.

Enter the three or four letter code for Eligibility, if known; if not, press the F9 key for a list of values.

Enter the Provider Number and Location, if known; if not, press the F9 key for a list of values.

Enter the Worker ID, if known; if not, press the F9 key for a list of values.

Editing an Enrollment:

Click the Enrollment in the list.

Update the Enrollment information, i.e., Enrollment Start or End Date.

Press the F10 key or click the Save button (yellow disk) to save.

Accessing the Waitlist screen:

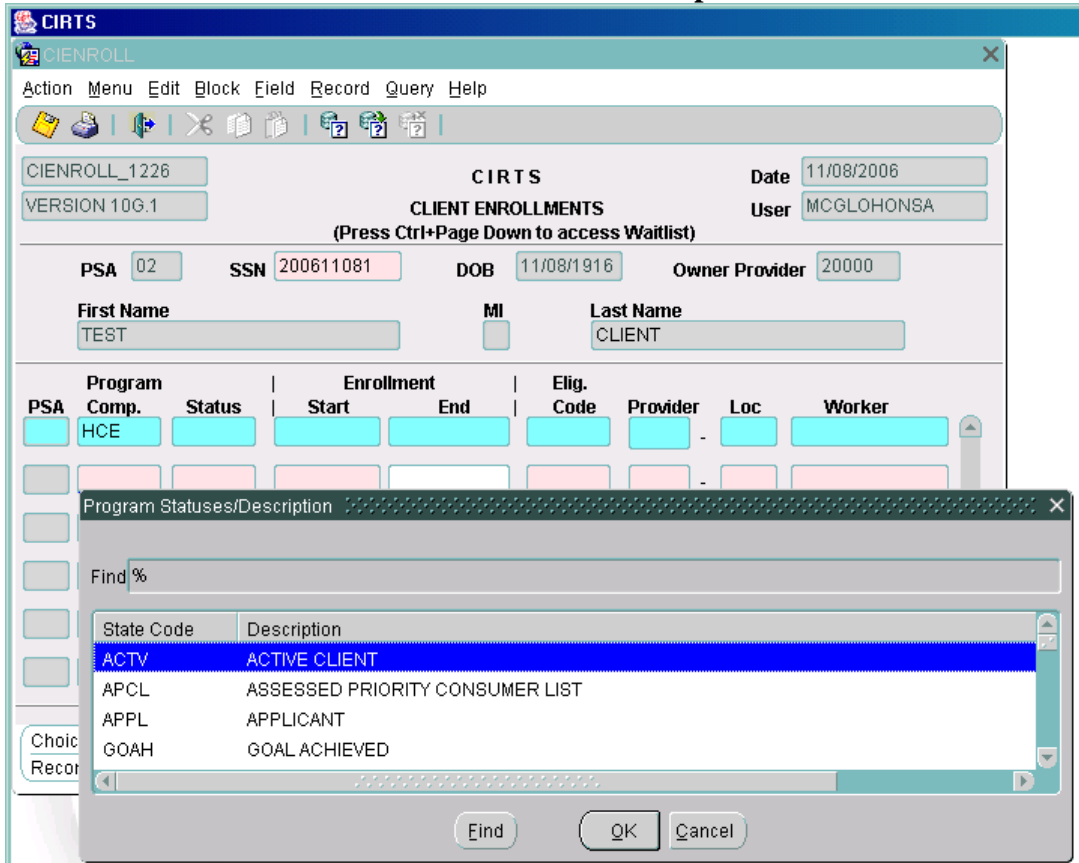
Press [Ctrl][Page Down] to access the Waitlist screen.

| Program Comp | Status | Enrollment Start | Enrollment End | Elig. Code | Provider | Loc | Worker |
|--------------|--------|------------------|----------------|------------|----------|-----|--------|
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

| PSA | Program Comp | Service | Begin Date | End Date |
|-------------------------------------|--------------|---------|------------|----------|
| <input checked="" type="checkbox"/> | CCE | | 03/24/2007 | |
| <input type="checkbox"/> | | | | |
| <input type="checkbox"/> | | | | |
| <input type="checkbox"/> | | | | |

Enter the client's Waitlist information; press the F10 key to save the Waitlist information. The Waitlist screen will automatically disappear after the record is saved.

Enrollment Screen Examples



F9 key list of values for Status

CIRTS
CIENTROLL


Action Menu Edit Block Field Record Query Help

CIENTROLL_1226 **CIRTS** Date 11/08/2006
 VERSION 10G.1 **CLIENT ENROLLMENTS** User MCGLOHONSA
 (Press Ctrl+Page Down to access Waitlist)

PSA 02 SSN 200611081 DOB 11/08/1916 Owner Provider 20000

First Name TEST MI Last Name CLIENT

| PSA | Program Comp. | Status | Enrollment Start | End | Elig. Code | Provider | Loc | Worker |
|-----|---------------|--------|------------------|-----|------------|----------|-----|------------|
| 02 | HCE | ACTV | 11/07/2006 | | AGE | 20005 | 04 | CIRTSADMIN |
| | MW | ACTV | 11/07/2006 | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |

ALERT
 FRM-40400: Transaction complete: 1 records applied and saved.
 OK

Enter Worker Code; Upto 14 Characters (F9 for List) - Required
 Record: 2/2 ... List of Valu... <OSC>

Press the F10 key or click the yellow disk to save the new Enrollment record.

Care Plan Data Entry – Mini Menu (F12 - #4)

The Care Plan Date Entry screen will begin in the Services Needed section.

Enter the Service, Units, and Frequency needed by the client, using the F9 key to access the code lists if needed.

Type will populate automatically.

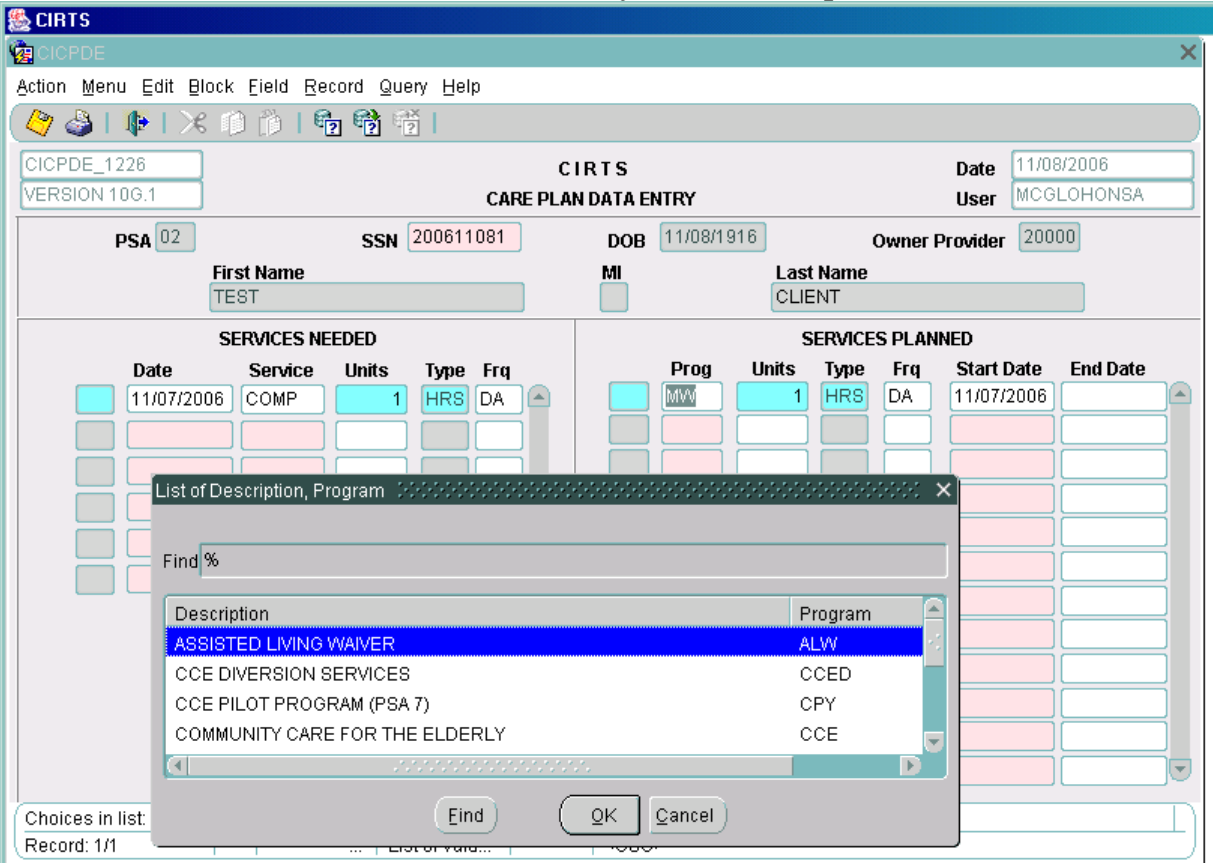
When finished adding Services Needed, press [Ctrl][Page Down] to enter Services Planned.

Enter the Program, Units, Frequency, Start Date, and End Date (if known, or when services are terminated). Multiple entries for Services Planned can be entered for each Service Needed.

Use the F9 key to access the code lists if needed.

Press the F10 key or click the Save button (yellow disk) to save.

Care Plan Date Entry Screen Examples



F9 key list of values for Services Planned Program

CIRTS
CICPDE

Action Menu Edit Block Field Record Query Help

CICPDE_1226
VERSION 10G.1

**CIRTS
CARE PLAN DATA ENTRY**

Date: 11/08/2006
User: MCGLOHONSA

PSA: 02 SSN: 200611081 DOB: 11/08/1916 Owner Provider: 20000

First Name: TEST MI: Last Name: CLIENT

| SERVICES NEEDED | | | | | SERVICES PLANNED | | | | | |
|-----------------|---------|-------|------|-----|------------------|-------|------|-----|------------|------------|
| Date | Service | Units | Type | Frq | Prog | Units | Type | Frq | Start Date | End Date |
| 11/07/2006 | COMP | 1 | HRS | DA | MW | 1 | HRS | DA | 11/07/2006 | 12/31/2010 |
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ALERT: FRM-40400: Transaction complete: 2 records applied and saved. [OK]

Enter Program which is to Provide the Service (F9 for List) - Required.
Record: 1/1 ... List of Valu... <OSC>

Press F10 or click the Save button (yellow disk) to save the Care Plan information.

Services by Client – Mini Menu (F12 - #6)

CIRTS

RECEIVED SERVICES BY CLIENTS

PSA 02 SSN 200611081 DOB 11/08/1916 County LEON Owner/Provider 20000

First Name TEST MI Last Name CLIENT

| PSA | Provider | Loc | Worker | Program | Service | Service Date | Units | Unit Type | Payment Amount |
|-----|----------|-----|--------|---------|---------|--------------|-------|-----------|----------------|
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Enter Provider Id (F9 for List) - Required
Record: 1/1 ... List of Valu... <OSC>

The Services by Client screen is used to enter services for individual clients.

Adding new Services:

The cursor will start in the Provider field.

Enter all required information using the Tab or Enter key to move to the next field.

Use the F9 key to access the code lists if needed.

Press the F10 key or click the Save button (yellow disk) to save the services.

Editing Services:

Click on the service row to be edited.

Update the client's service information.

Press the F10 key or click the Save button (yellow disk) to save the services.

Services by Client Screen Examples

The screenshot shows the 'CIRT S RECEIVED SERVICES BY CLIENTS' application window. The main window has a menu bar (Action, Menu, Edit, Block, Field, Record, Query, Help) and a toolbar. The title bar reads 'CIRT S' and 'CISRV RCL'. The main area contains several input fields for client information: CIRT S (CISRV RCL_1226), Date (11/08/2006), User (CIRT SADMIN), VERSION 10G.1, RECEIVED SERVICES BY CLIENTS, PSA (02), SSN (200611081), DOB (11/08/1916), County (LEON), Owner/Provider (20000), First Name (TEST), MI, and Last Name (CLIENT). Below this is a table with columns: PSA, Provider, Loc, Worker, Program, Service, Service Date, Units, Unit Type, and Payment Amount. The first row is highlighted in cyan and contains: PSA (02), Provider (20009), Loc (01), Worker (CIRT SADMIN), Program, Service, Service Date, Units, Unit Type, and Payment Amount. A dialog box titled 'List of Program Information' is open, showing a search field 'Find %' and a list of programs with descriptions: MW (MEDICAID WAIVER/HCBS), NDP (NON-DOEA PROGRAM), O3C1 (TITLE IIIC1 OF OAA), O3C2 (TITLE IIIC2 OF OAA), and OA3B (TITLE IIIB OF OAA). The dialog box has 'Find', 'OK', and 'Cancel' buttons. At the bottom of the main window, it says 'Record: 1/1' and '<OSC>'. The status bar at the very bottom shows '... List of Valu...'.

F9 key list of values for Program

Enter the client's last name and press the F9 key to search.
 Select the client's name from the list then click OK or press the Enter key.

The screenshot shows the CIRTS software interface. At the top, there is a menu bar with 'Action', 'Menu', 'Edit', 'Block', 'Field', 'Record', 'Query', and 'Help'. Below the menu bar is a toolbar with various icons. The main window displays the following information:

CIRTS RECEIVED SERVICES BY CLIENTS

Client Information:

- PSA: 02
- SSN: 200703241
- DOB: 03/24/1945
- County: LEON
- Owner/Provider: 20002
- First Name: TEST
- MI: []
- Last Name: ASSESSMENT

Service History Table:

| PSA | Provider | Loc | Worker | Program | Service | Service Date | Units | Unit Type | Payment Amount |
|-----|----------|-----|------------|---------|---------|--------------|-------|-----------|----------------|
| 02 | 20001 | 01 | CIRTSADMIN | MW | HDM | 04/02/2007 | 2.00 | MEL | |
| 02 | 20001 | 01 | CIRTSADMIN | MW | CM | 04/01/2007 | 1.00 | HRS | |
| 02 | 20001 | 01 | CIRTSADMIN | MW | HMK | 04/01/2007 | 3.00 | HRS | |
| 02 | 20001 | 01 | CIRTSADMIN | MW | HDM | 03/27/2007 | 2.00 | MEL | |
| 02 | 20001 | 01 | CIRTSADMIN | MW | HDM | 03/26/2007 | 2.00 | MEL | |
| 02 | 20001 | 01 | CIRTSADMIN | MW | COMP | 03/25/2007 | 4.00 | HRS | |
| 02 | 20001 | 01 | CIRTSADMIN | MW | HDM | 03/25/2007 | 2.00 | MEL | |
| 02 | 20001 | 01 | CIRTSADMIN | MW | CM | 03/24/2007 | 2.00 | HRS | |

At the bottom of the window, there is a status bar with the text: "Enter Provider Id (F9 for List) - Required", "Record: 1/8", and navigation buttons: "...", "List of Valu...", and "<OSC>".

Press the F8 key (twice) to retrieve the client's information.
 Press the F7 key to activate Enter Query mode or click the first canister with a question mark (?) on the Tool Bar.

The screenshot shows the CIRTS software interface in 'Enter Query' mode. The client information and service history table are the same as in the previous screenshot. The status bar at the bottom now displays: "Enter a query; press F8 to execute, Ctrl+Q to cancel.", "Record: 1/1", and navigation buttons: "Enter-Qu...", "List of Valu...", and "<OSC>".

Services by Provider – Individual – Mini Menu (F12 - #7)

CIRTS
CISRVPR

Action Menu Edit Block Field Record Query Help

CIRTS RECEIVED SERVICES - INDIVIDUAL SSN
Date: 11/06/2008
User: CIRTSADMIN

| PSA | Provider | Worker ID. | Prog. | Serv. | Service Date | Units | Unit Type |
|-----|----------|------------|-------|-------|--------------|-------|-----------|
| 02 | | | | | | | |

| PSA | Client SSN | Prog Comp | Svc Code | Service Date | Units | Unit Type | Payment Amount |
|--------------------------|-------------|-----------|----------|--------------|-------|-----------|----------------|
| <input type="checkbox"/> | | | | | | | |
| | Client Name | | | | | | |
| <input type="checkbox"/> | | | | | | | |
| | Client Name | | | | | | |
| <input type="checkbox"/> | | | | | | | |
| | Client Name | | | | | | |
| <input type="checkbox"/> | | | | | | | |
| | Client Name | | | | | | |

Enter Provider Id (F9 for List) - Required
Record: 1/1 | ... | List of Valu... | <OSC>

The Services by Provider - Individual screen allows you to enter services performed by a single provider for individual clients.

The cursor will start in the Provider field. Use the Tab or Enter key to move to the other fields and enter the related service information. Use the F9 key to access the code lists if needed.

Service information entered in the fields at the top of the screen will be transferred to the service fields related to the individual client.

Services by Provider – Individual Screen Examples

The screenshot displays the CIRTS software interface. At the top, the title bar reads 'CIRTS' and the window title is 'CISVRPR'. Below the title bar is a menu bar with 'Action', 'Menu', 'Edit', 'Block', 'Field', 'Record', 'Query', and 'Help'. A toolbar contains various icons for file operations. The main window has several input fields: 'CISVRPR_1226' and 'VERSION 10G.1' on the left; 'CIRTS' and 'RECEIVED SERVICES - INDIVIDUAL SSN' in the center; and 'Date' (11/08/2006) and 'User' (CIRTSADMIN) on the right. Below these are fields for 'PSA' (02), 'Provider' (20009), 'Worker ID.' (CIRTSADMIN), 'Prog.', 'Serv.', 'Service Date', 'Units', and 'Unit Type'. A table with columns 'Client', 'Prog', 'Svc', 'Service', 'Unit', and 'Payment' is partially visible. A dialog box titled 'List of Program, Description' is open, showing a search field 'Find %' and a list of programs: ADI (ALZHEIMER'S DISEASE INITIATIVE), ALW (ASSISTED LIVING WAIVER), CCE (COMMUNITY CARE FOR THE ELDERLY), and DOEA (DEPARTMENT OF ELDER AFFAIRS). The dialog has 'Find', 'OK', and 'Cancel' buttons. At the bottom of the main window, there is a status bar with 'Choices in list: 11', 'Record: 1/1', and a 'List of Valu...' field.

F9 key list of values for Program

CIRTS
CISVRPR

Action Menu Edit Block Field Record Query Help

CISVRPR_1226 **CIRTS** Date: 03/26/2007
 VERSION 10G.1 RECEIVED SERVICES - INDIVIDUAL SSN User: CIRTSADMIN

| PSA | Provider | Worker ID. | Prog. | Serv. | Service Date | Units | Unit Type | |
|-----|----------|------------|------------|-------|--------------|------------|-----------|-----|
| 02 | 20001 | 01 | CIRTSADMIN | MWV | CM | 03/24/2007 | 1.00 | HRS |

| PSA | Client SSN | Prog Comp | Svc Code | Service Date | Units | Unit Type | Payment Amount |
|-----|--------------------------------|-----------|----------|--------------|-------|-----------|----------------|
| 02 | 200703241 | MWV | CM | 03/24/2007 | 2.00 | HRS | |
| | Client Name: ASSESSMENT, TEST, | | | | | | |
| 02 | 200703151 | MWV | CM | 03/24/2007 | 1.00 | HRS | |
| | Client Name: ASSESSMENT, TEST, | | | | | | |
| | | | | | | | |
| | Client Name: | | | | | | |
| | | | | | | | |
| | Client Name: | | | | | | |
| | | | | | | | |
| | Client Name: | | | | | | |

Enter Payment Amount - Required for HCE Services

Record: 1/2 ... <OSC>

Changes can be made to the individual client service information if needed. For example, you enter services for one hour of case management. Four out of five clients entered received one hour of case management, but one client received two hours. On the service line for the one client, you can change the one-hour to two hours.

CIRTS
CISRVRPR

Action Menu Edit Block Field Record Query Help

CISRVRPR_1226 **CIRTS** Date: 03/26/2007
 VERSION 10G.1 RECEIVED SERVICES - INDIVIDUAL SSN User: CIRTSADMIN


| PSA | Provider | Worker ID. | Prog. | Serv. | Service Date | Units | Unit Type |
|-----|----------|------------|------------|-------|--------------|-------|-----------|
| 02 | 20001 | 01 | CIRTSADMIN | MW | 03/24/2007 | 1.00 | HRS |

| PSA | Client SSN | Prog Comp | Svc Code | Service Date | Units | Unit Type | Payment Amount |
|-----|--------------------------------|-----------|----------|--------------|-------|-----------|----------------|
| 02 | 200703241 | MW | CM | 03/24/2007 | 2.00 | HRS | |
| | Client Name: ASSESSMENT, TEST, | | | | | | |
| 02 | 200703151 | MW | CM | 03/24/2007 | 1.00 | HRS | |
| | Client Name: ASSESSMENT, TEST, | | | | | | |
| | | | | | | | |
| | Client Name: | | | | | | |
| | | | | | | | |
| | Client Name: | | | | | | |

Enter Payment Amount - Required for HCE Services

Record: 1/2 ... <OSC>

ALERT

 FRM-40400: Transaction complete: 2 records applied and saved.

OK

Press the F10 key or click the Save button (yellow disk) to save the service information.

Services by Provider – Aggregate – Mini Menu (F12 - #8)

The screenshot displays the 'RECEIVED SERVICES - AGGREGATE' screen in the CIRTS application. The interface includes a menu bar, a header section with user and session information, and a main data entry area. The data entry area consists of a top row of fields for provider and service details, followed by a table with columns for service identification and payment. The table is currently empty, and a status bar at the bottom provides navigation and record information.

The Services by Provider – Aggregate screen allows you to enter services performed by a single provider for many (AGGREGATE) clients. Clients are not identified individually on this screen.

The cursor will start in the Provider field. Use the Tab or Enter key to move to the other fields and enter the related service information.

Service information entered in the fields at the top of the screen will be transferred to the service fields related to the Aggregate SSN.

Services by Provider – Aggregate Screen Examples

CIRTS
CISRVRPR

Action Menu Edit Block Field Record Query Help

CISRVRPR_AGG_1226 **CIRTS** Date 11/08/2006
 VERSION 10G.1 RECEIVED SERVICES - AGGREGATE User CIRTSADMIN

| PSA | Provider | Worker ID. | Prog. | Serv. | Service Date | Units | Unit Type |
|-----|------------|------------|-------|-------|--------------|-------|-----------|
| 02 | 20009 - 01 | CIRTSADMIN | 03C1 | | | | |

| PSA | AGGREGATE SSN | Prog Comp | Svc Code | Service Date | Units | Unit Type | Payment Amount |
|--------------------------|---------------|-----------|----------|--------------|-------|-----------|----------------|
| <input type="checkbox"/> | | | | | | | |
| <input type="checkbox"/> | | | | | | | |
| <input type="checkbox"/> | | | | | | | |
| <input type="checkbox"/> | | | | | | | |

List of Service, Description

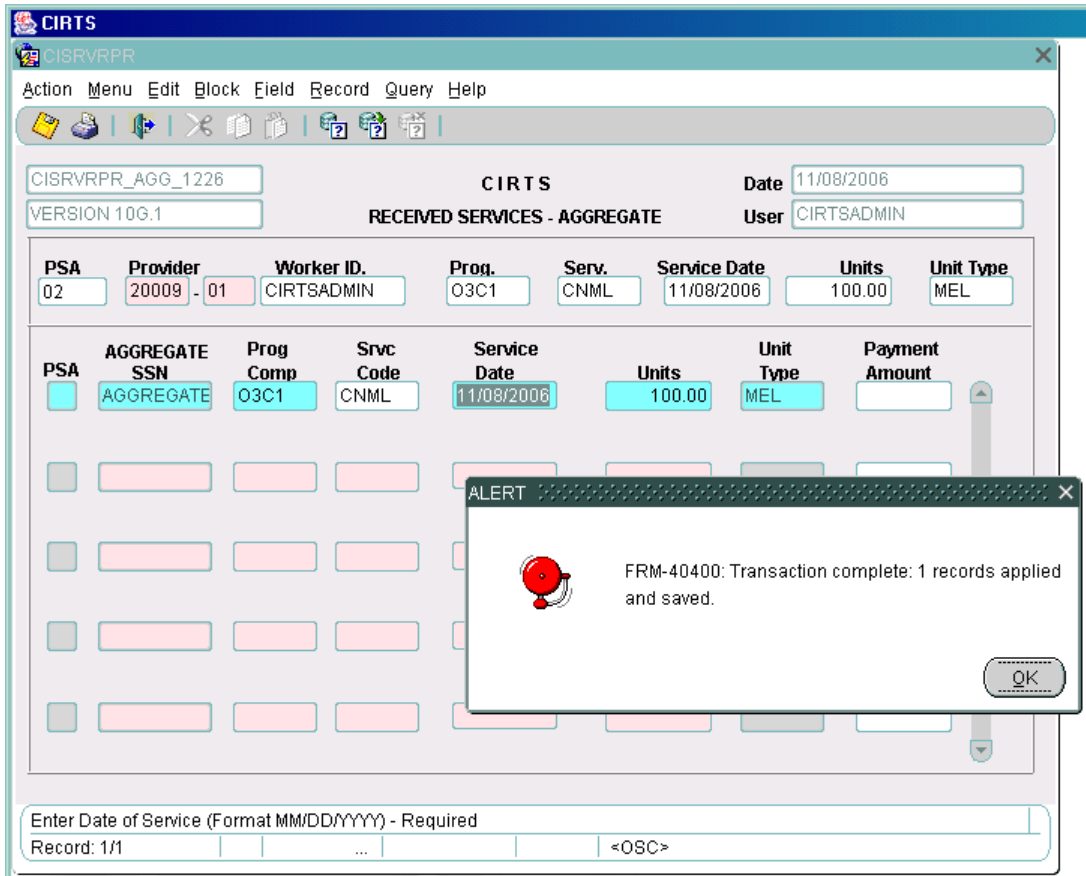
Find %

| Service | Description | Hipaa CPT Co... |
|---------|---------------------|-----------------|
| CNML | CONGREGATE MEALS | 98928 |
| NTED | NUTRITION EDUCATION | 97804 |

Find QK Cancel

Choices in list: 2
 Record: 1/1 ... List of Valu... <OSC>

F9 key list of values for Service



Press the F10 key or click the Save button (yellow disk) to save the service information.

Query Results

CIRTS

CISRVPR

Action Menu Edit Block Field Record Query Help

CISRVPR_AGG_1226
Date

VERSION 10G.1
User

CIRTS
RECEIVED SERVICES - AGGREGATE

| PSA | Provider | Worker ID. | Prog. | Serv. | Service Date | Units | Unit Type |
|---------------------------------|---|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|
| <input type="text" value="02"/> | <input type="text" value="20001 - 01"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |

| PSA | AGGREGATE SSN | Prog Comp | Svc Code | Service Date | Units | Unit Type | Payment Amount |
|---------------------------------|--|-----------------------------------|-----------------------------------|---|--------------------------------------|----------------------------------|----------------------|
| <input type="text" value="02"/> | <input type="text" value="AGGREGATE"/> | <input type="text" value="O3C1"/> | <input type="text" value="CNML"/> | <input type="text" value="12/29/2006"/> | <input type="text" value="1911.00"/> | <input type="text" value="MEL"/> | <input type="text"/> |
| <input type="text" value="02"/> | <input type="text" value="AGGREGATE"/> | <input type="text" value="LSP"/> | <input type="text" value="CNML"/> | <input type="text" value="12/29/2006"/> | <input type="text" value="551.00"/> | <input type="text" value="MEL"/> | <input type="text"/> |
| <input type="text" value="02"/> | <input type="text" value="AGGREGATE"/> | <input type="text" value="O3C1"/> | <input type="text" value="CNML"/> | <input type="text" value="11/30/2006"/> | <input type="text" value="2031.00"/> | <input type="text" value="MEL"/> | <input type="text"/> |
| <input type="text" value="02"/> | <input type="text" value="AGGREGATE"/> | <input type="text" value="LSP"/> | <input type="text" value="CNML"/> | <input type="text" value="11/30/2006"/> | <input type="text" value="613.00"/> | <input type="text" value="MEL"/> | <input type="text"/> |
| <input type="text" value="02"/> | <input type="text" value="AGGREGATE"/> | <input type="text" value="LSP"/> | <input type="text" value="CNML"/> | <input type="text" value="10/31/2006"/> | <input type="text" value="710.00"/> | <input type="text" value="MEL"/> | <input type="text"/> |

Record: 1/?
<OSC>

Change Owner and Change Planning and Service Area (PSA)

When you try to add an Assessment for a client or update the Demographic record and receive a message that the client does not reside in your PSA or is owned by another provider, contact your LAN Administrator. The LAN Administrator has the ability to move the client's record into your PSA and change the owner.

Examples of when to contact your LAN Administrator:

The screenshot displays the Oracle Developer Forms Runtime - Web interface for the CLIENT INFORMATION AND REGISTRATION TRACKING SYSTEM. The main form is titled "CIRTS" and contains the following fields and sections:

- DEMOGRAPHICS_1226** (Form Name)
- VERSION 10G.1** (Version)
- Date:** 11/10/2006
- User:** MCGLOHONSA
- PSA:** 03
- Owner:** 20009
- SSN:** 200611091
- First Name:** TEST
- Last Name:** CLIENT
- Demographic Complete
- PAS Complete

DEMOGRAPHIC INFORMATION

| SSN | PSA | First Name | MI | Last Name | Medicaid Number |
|-----------|-----|------------|----|-----------|-----------------|
| 200611091 | 03 | TEST | | CLIENT | 200611081 |

Home Address

Street: 1234 ANY STREET

Street con't:

City: ANY TOWN | **State:** FL | **Zip:** 32311 | **County:** COLUMBIA | **Phone Number:**

Mailing Address

Street:

Street con't:

City: | **State:** | **Zip:** | **County:**

Date of Birth: 11/08/1916 | **Date of Death:** | **Sex:** MALE | **Race:** WHITE

Primary Language: ENGLISH | **Marital Status:** SINGLE

Need outside assistance to evacuate? N

Registered with County Special Needs Registry? N

Buttons: Search, LOC, Referrals, Assessments, Change Owner, Change SSN, Delete Client, Change PSA

Forms

 This client owned by another provider. Update restrictions apply.

OK

Oracle Developer Forms Runtime - Web

ASSESSMENT LISTS

Action Menu Edit Block Field Record Query Help


LIST OF ASSESSMENTS

Client Information

TEST CLIENT 200-61-1091

| Psa/Cares Office | Date | Assessor Name/ Caseworker | Assessment Site | Assessment Type | Priority Score | Rank |
|------------------|------------|------------------------------|-----------------------|-----------------------|----------------|------|
| 02 | 11/09/2006 | CIRTS ADMIN | | CHANGE OWNER ASSESMEN | | |
| 02B | 11/08/2006 | TEST CASEWORKER | OFFICE / MEDICAL CASE | OTHER | | |
| 02 | 11/06/2006 | SHANDRA MCGLOHON | CLIENT/RELATIVE'S HOM | INITIAL ASSESSMENT | 16 | 1 |
| | | | | | | |
| | | | | | | |
| | | | | | | |

ALERT

 Add Assessment is not allowed. Client does not reside in your psa.

OK

Record: 1/3 ... <OSC>

Clear Screen

If you want to view a new client on any screen, you must clear the screen by:

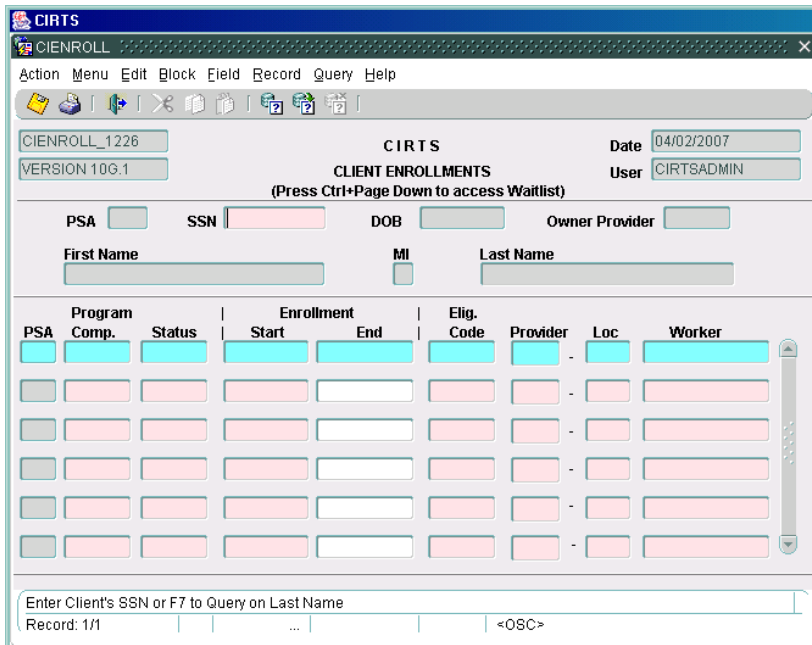
- Going to “Action” on the Menu Bar and selecting “Clear All,” or
- Pressing [Shift][F7].

You can then enter a new SSN or client name to query. Once the client information has been retrieved, using F12 to move from screen to screen will keep the client’s information. You will need to clear the screen again to view a different client.

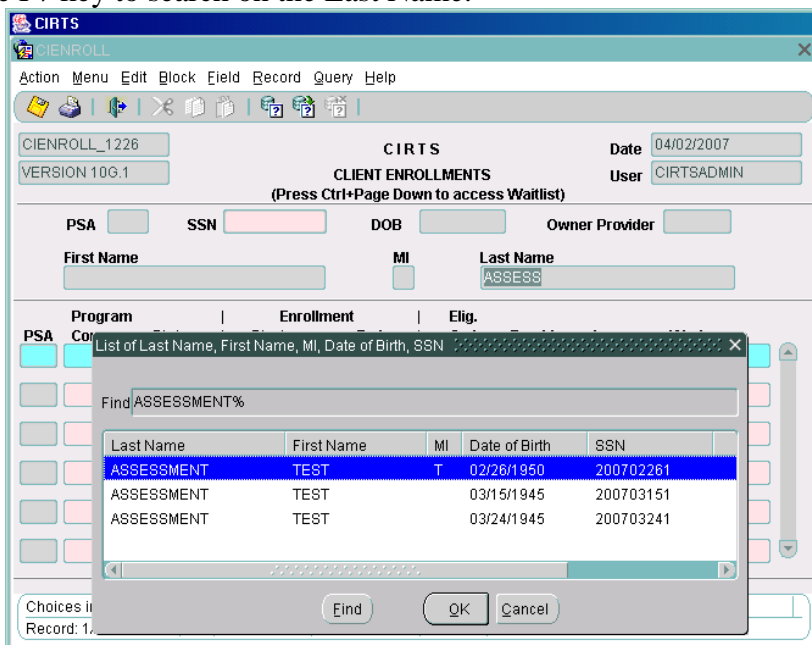
Clear Screen example:

The screenshot shows the CIRTS CLIENT ENROLLMENTS screen. At the top, there is a menu bar with 'Action', 'Menu', 'Edit', 'Block', 'Field', 'Record', 'Query', and 'Help'. Below the menu bar, there are several input fields for client information: 'PSA' (02), 'SSN' (200703241), 'DOB' (03/24/1945), 'Owner Provider' (20002), 'First Name' (TEST), 'MI' (), and 'Last Name' (ASSESSMENT). The date is 04/02/2007 and the user is CIRTSADMIN. Below this information is a table of enrollments with columns: PSA, Program Comp., Status, Enrollment Start, Enrollment End, Elig. Code, Provider, Loc, and Worker. The first row shows PSA 02, Program Comp. CCE, Status ACTV, Enrollment Start 03/24/2007, Elig. Code AGE, Provider 20001, Loc 01, and Worker CIRTSADMIN. The second row shows PSA 02, Program Comp. MWV, Status ACTV, Enrollment Start 03/24/2007, Elig. Code AGE, Provider 20001, Loc 01, and Worker CIRTSADMIN. Below the table, there is a search bar with the text 'Enter Client's SSN or F7 to Query on Last Name' and a 'Record: 1/1' indicator.

You have added the client’s CCE enrollment and now need to add enrollment information for another client. Instead of going back to the Search screen, press [Shift][F7] or go to Action, Clear All on the Menu Bar.



The Enrollment Screen has been cleared. Now search for your next client – enter the client’s SSN or press the F7 key to search on the Last Name.



Press the F8 key to retrieve the client’s information, then add the new enrollment information and save [press the F10 key or click the Save button (yellow disk)].

CIRTS
CIENROLL

Action Menu Edit Block Field Record Query Help

CIENROLL_1226 CIRTS Date 04/02/2007
 VERSION 10G.1 CLIENT ENROLLMENTS User CIRTSADMIN
 (Press Ctrl+Page Down to access Waitlist)

PSA 02B SSN 200702261 DOB 02/26/1950 Owner Provider

First Name MI Last Name
 TEST T ASSESSMENT

| PSA | Program Comp. | Status | Enrollment | | Elig. Code | Provider | Loc | Worker |
|-----|---------------|--------|------------|-----|------------|----------|-----|------------|
| | | | Start | End | | | | |
| | MW | ACTV | 04/02/2007 | | AGE | 20001 | 01 | CIRTSADMIN |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |

Enter Program Component (F9 for List) - Required
 Record: 1/1 ... List of Valu... <OSC>

Repeat the same process for your next client.

Reports Tab Screen

DOEA Enterprise Application Services - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address https://199.250.26.136/portal/page?_pageid=33_32395_33_32415&_dad=portal&_schema=PORTAL Go Links

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To create an environment that provides choices, promotes independence and enables older Floridians to remain in their communities for a lifetime.

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Applications **Reports** Documents Support

- ▶ [ACMS](#) - Automated Contract Management System
- ▶ [Aging Network Providers](#)
- ▶ [APS Exception Reports](#)
- ▶ [CARES](#) - Long-Term Care Services
- ▶ [CIRTS](#) - Client Information and Registration Tracking System
- ▶ [Contracted Unit Rate](#)
- ▶ [HMT Completion Report](#) - ADA Waiver Holistic Monitoring Tool
- ▶ [Medicaid Waiver Reports for Clients Under 60 or 60 and Older](#)
- ▶ [Nursing Home Diversion Reports](#)
- ▶ [Outcome Measurement Reports](#)

Start Discoverer Viewer Fetch Report Output Ad Hoc Query Change SSO Password Logout

Click the CIRTS link.

Outcome Measurement Reports

To run Outcome Measurement Reports:
Click the Outcome Measurement Reports link.

DOEA Enterprise Application Services - Microsoft Internet Explorer

Address: https://199.250.25.136/portal/page?_pageid=33_32355_33_32415&_dad=portal&_schema=PORTAL

DEPARTMENT OF ELDER AFFAIRS STATE OF FLORIDA

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- ▶ [Contracted Unit Rate](#)
- ▶ [HMT Completion Report](#) - ADA Waiver Holistic Monitoring Tool
- ▶ [Medicaid Waiver Reports for Clients Under 60 or 60 and Older](#)
- ▶ [Nursing Home Diversion Reports](#)
- ▶ [Outcome Measurement Reports](#)

Start Discoverer Viewer Fetch Report Output Ad Hoc Query Change SSO Password Logout

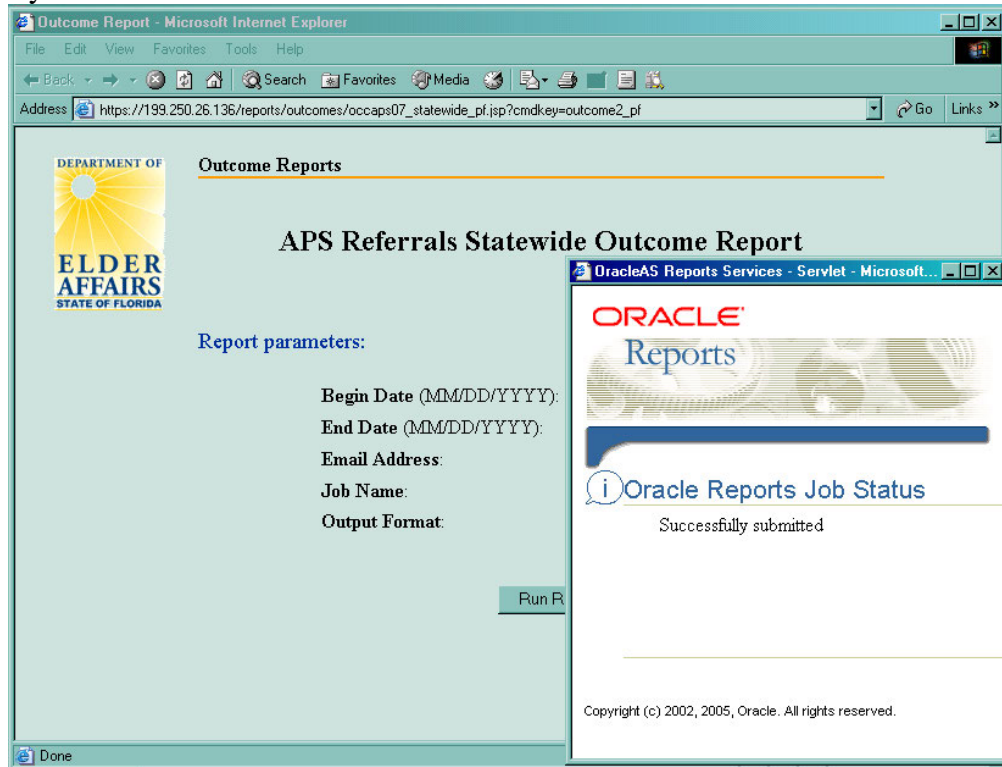


Click the “Run” link for the appropriate report.

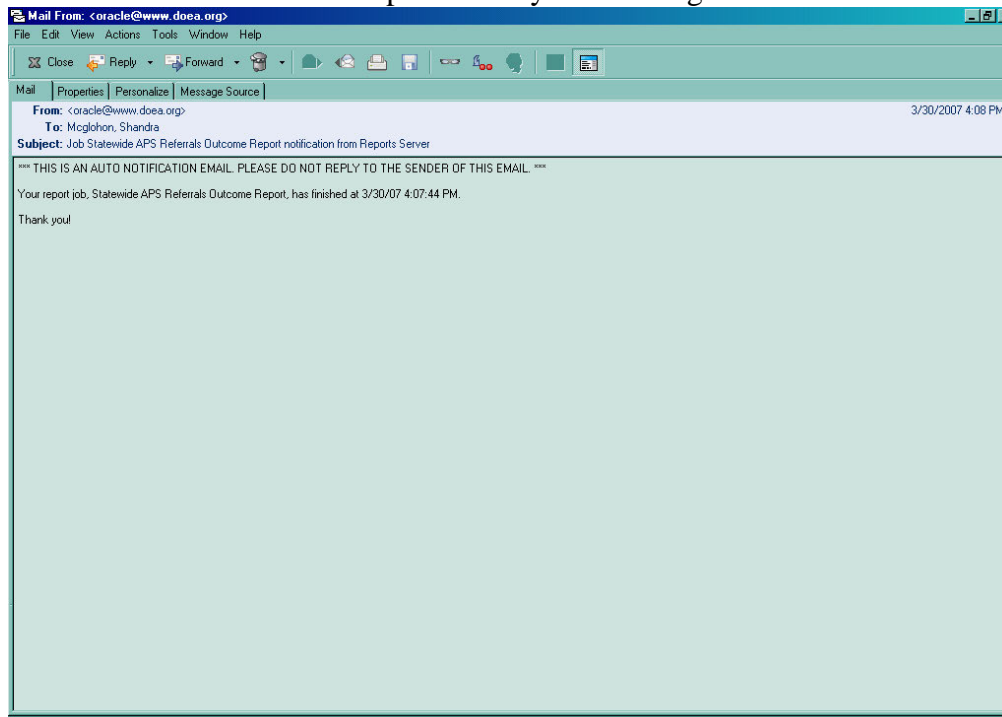
Enter the requested parameters (i.e., PSA, Provider, Begin Date, End Date, E-mail Address) for the report selected. **** Parameters vary depending on the report selected.**

Start Date- The Start Date parameter for each outcome report should be the beginning of the Fiscal Year, i.e., 07/01/2006.

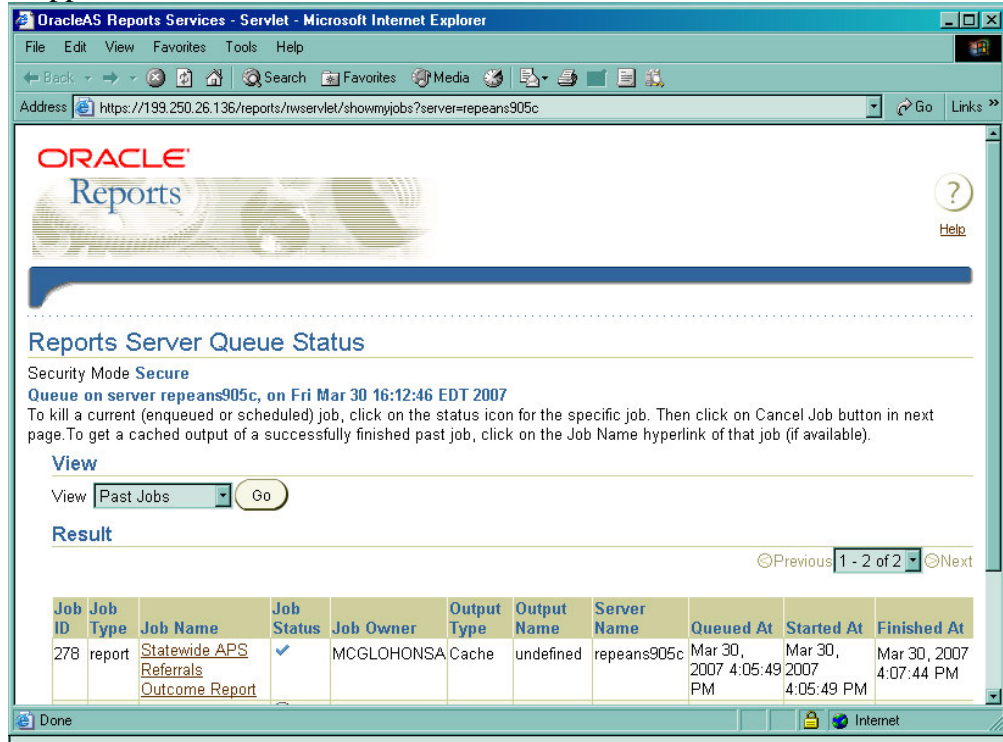
Click the Run Report button. The following screen will appear, indicating the report was successfully submitted.



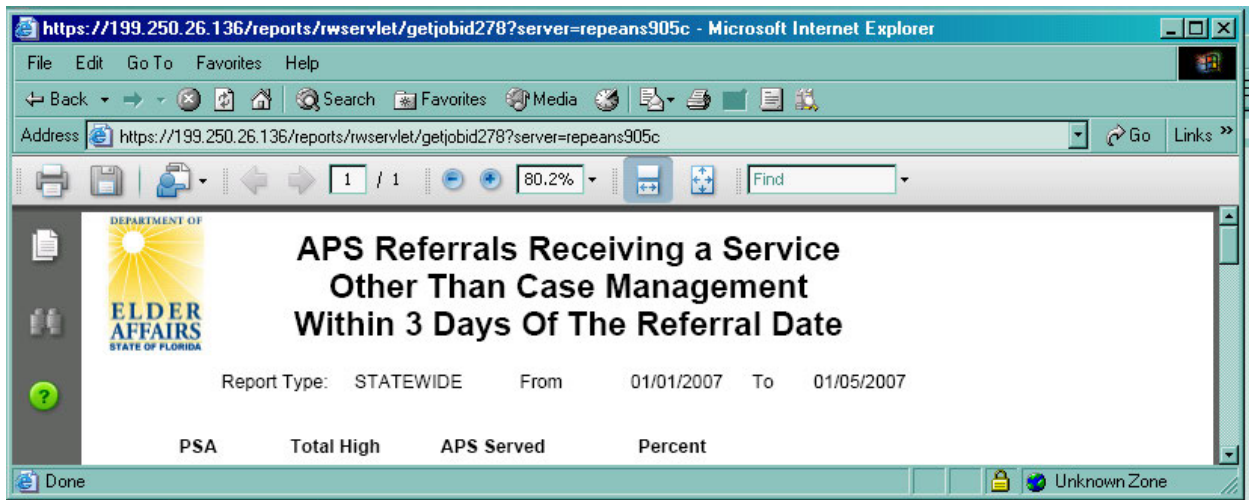
You will receive an e-mail when the report is ready for viewing.



Go back to the Reports page and click the “View” link for the appropriate report. The following screen will appear.



Find the name of your report and your user name as the “Job Owner.” Click the report name to view the results.



Documentation Tab Screen

User manuals and enhancement documents will be posted on this screen.

DOEA Enterprise Application Services - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Home Search Favorites Media Print

Address https://199.250.26.136/portal/page?_pageid=33.32395.33_32419&_dad=portal&_schema=PORTAL Go Links »

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To create an environment that provides choices, promotes independence and enables older Floridians to remain in their communities for a lifetime.

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Applications Reports Documents Support

- ▶ [ARTT](#) - Link to the APS Referral Tracking Tool manual, newsletters, MOA and model MOU
- ▶ [HMT Manual](#) - ADA Waiver Holistic Monitoring Tool manual
- ▶ [Long-Term Care Community Diversion Program Enrollment Management Document](#)

Start Discoverer Viewer Fetch Report Output Ad Hoc Query Change SSO Password Logout

Internet

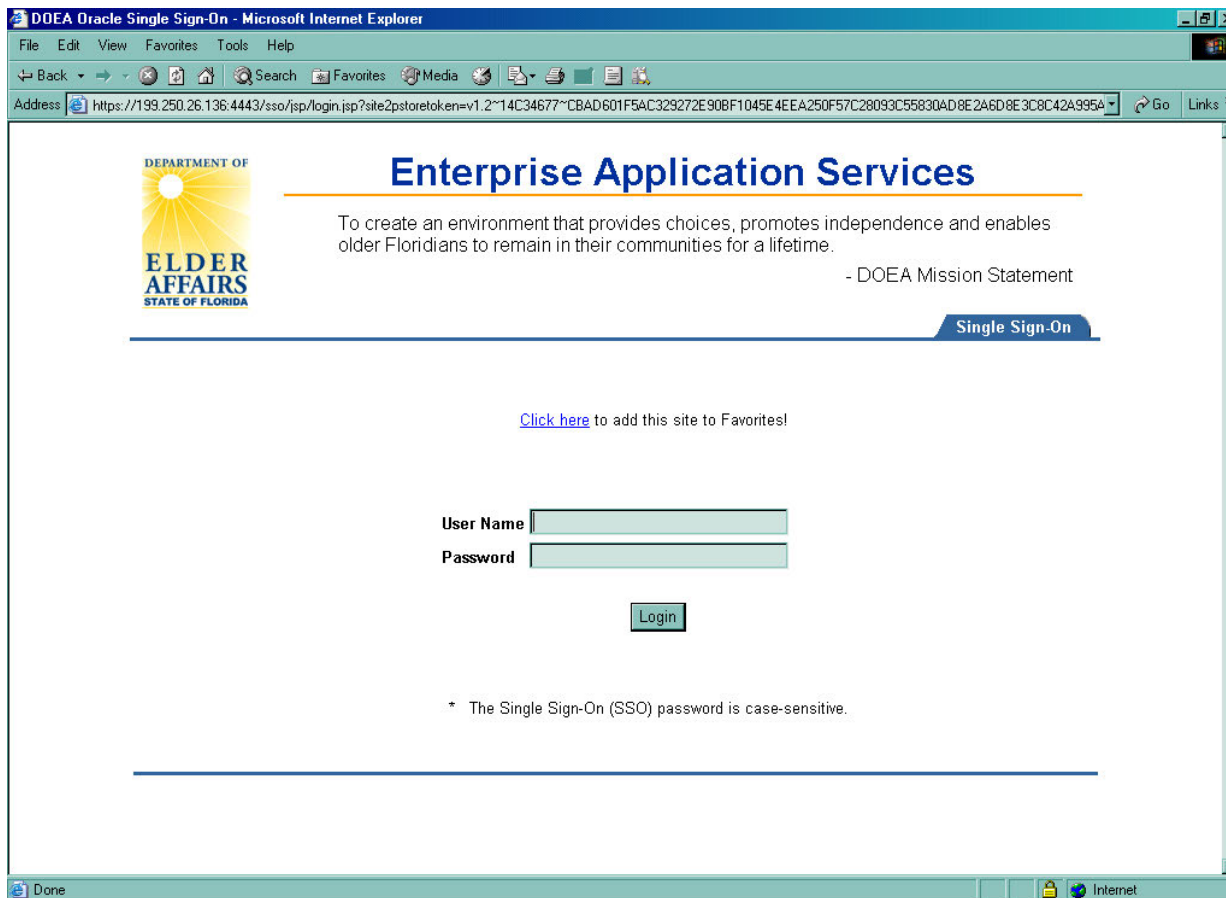
Support Tab Screen

The screenshot shows a Microsoft Internet Explorer browser window displaying the DOE Enterprise Application Services website. The address bar shows the URL: https://199.250.26.136/portal/page?_pageid=33.32395.33_32423&_dad=portal&_schema=PORTAL. The page features the Department of Elder Affairs logo on the left and the title "Enterprise Application Services" in the center. Below the title is the DOE Mission Statement: "To create an environment that provides choices, promotes independence and enables older Floridians to remain in their communities for a lifetime." A navigation bar contains tabs for "Applications", "Reports", "Documents", and "Support". The "Support" tab is active, showing a "Download" section with links to "PC Setup Instructions", "Website Certificate", "JInitiator", "JInitiator Certificate", and "Adobe Reader", along with a link for "Items 1-4 in a single file". A "FYI" section lists "1. Steps to prepare a PC for this website:" with sub-points (a) through (d) and a reference to "PC Setup Instructions". It also lists "2. Restrictions on the Single Sign-On (SSO) password:" with sub-points (a) through (c). A "Contact" section provides the email enterprise_support@elderaffairs.org. At the bottom, a horizontal menu contains buttons for "Start Discoverer Viewer", "Fetch Report Output", "Ad Hoc Query", "Change SSO Password", and "Logout".

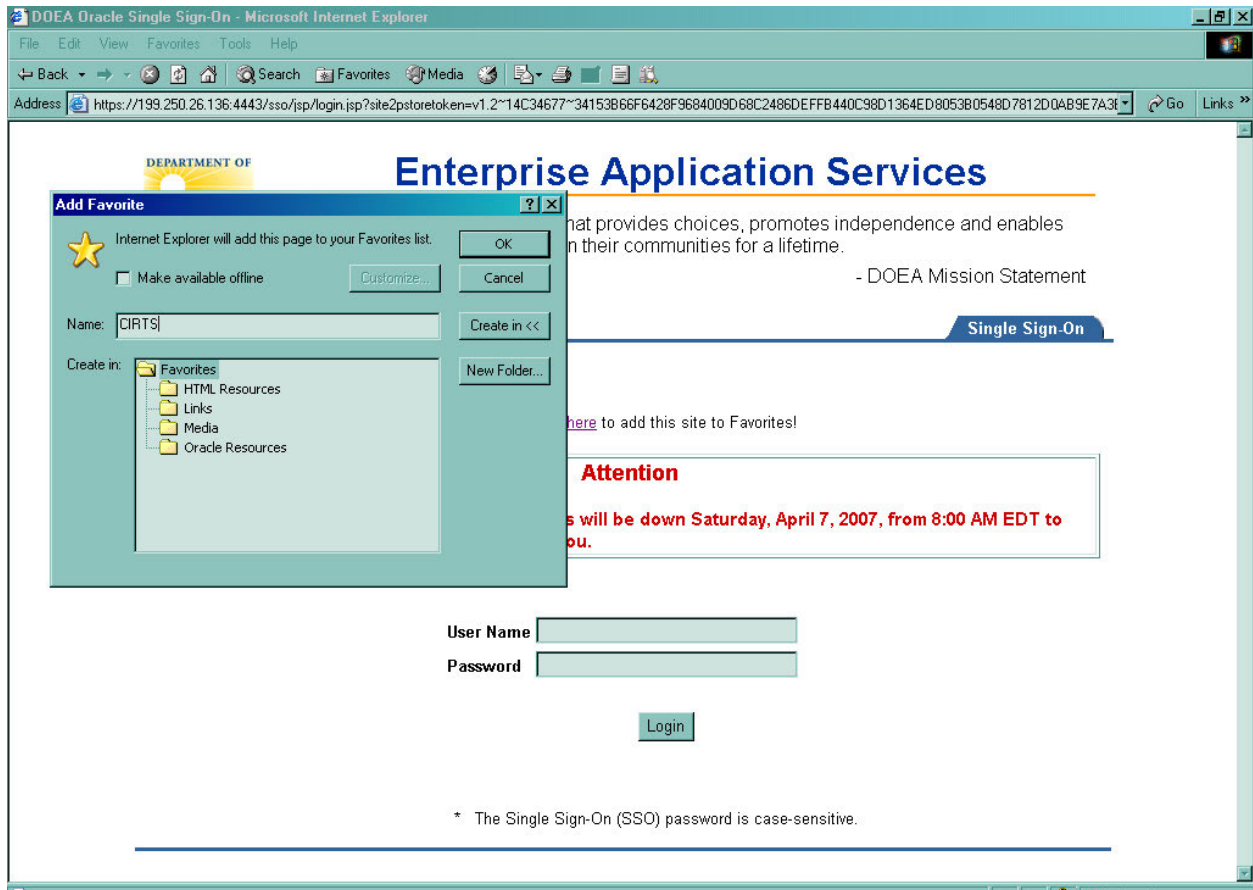
In the event CIRT stops working on your computer:

- 1) Start at Item 1 in the Download section and click the PC Setup Instructions link.
- 2) Follow all instructions for installing the Web site Certificate, JInitiator (close your Web browser after this step and re-open before running the JInitiator Certificate), and the JInitiator Certificate.
- 3) If CIRT still does not run on your computer, contact your LAN Administrator.

Add CIRT'S Icon to Your Desktop



Click the “Click here” link to add the CIRT'S login screen to your Favorites.



- Give your new Favorite a meaningful name, i.e., CIRTS, New CIRTS, etc. Click OK.
- Click Favorites from the Menu Bar.
- Find the Favorite icon for CIRTS.
- Right-click the link and select, Send To -> Desktop (create shortcut).
- Your icon should be visible on the Desktop.

Changing Your CIRTS Password

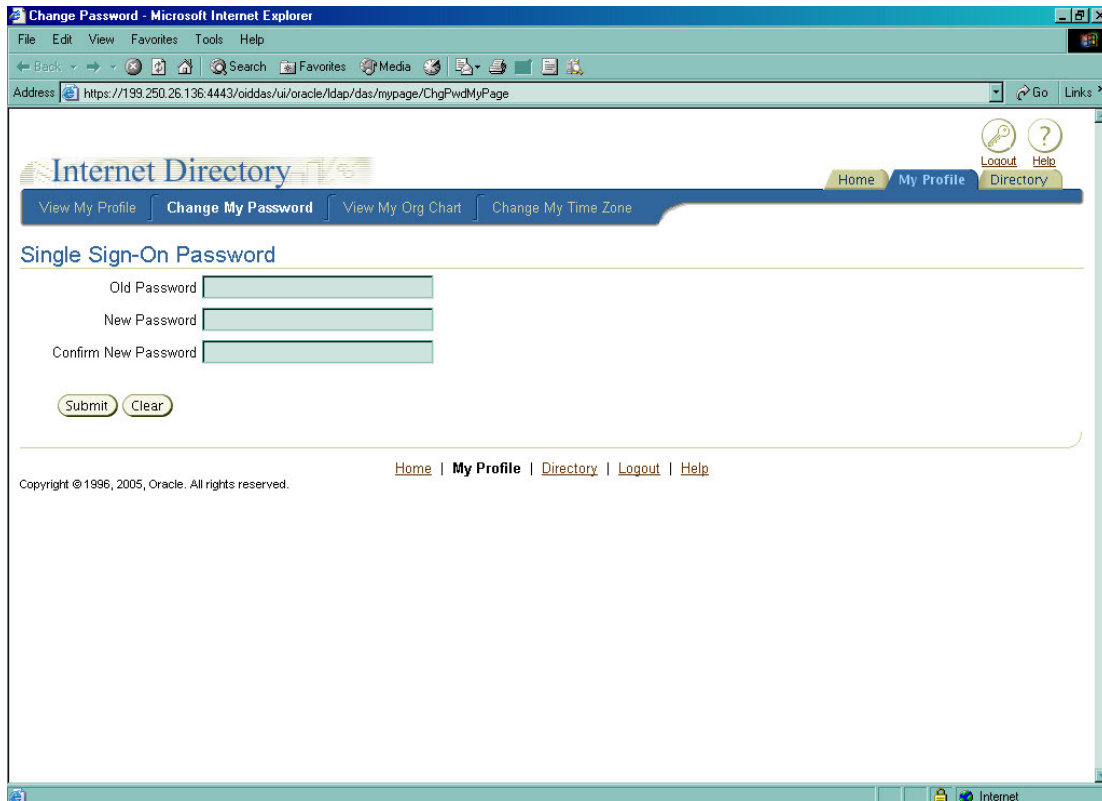
CIRTS will automatically prompt you to change your password every 120 days.

Change your password -

If you want to change your password at any other time, click the Change SSO Password link in the bottom right-hand corner of the screen.



The following screen will appear.



Type your current password in the Old Password field.
Type your new password in the New Password field (the password is case-sensitive).
Type your new password in the Confirm New Password field.
Click the Submit button.

Appendix A

Assessment Type: Annual, Initial, Update, Wait List

Tabs: ASSM, INC (Income), MEN (Mental Health), PHY (Physical Health), ADL (Activities of Daily Living), NUT (Nutrition), HEA (Health Conditions), SPS (Special Services), SOC (Social Resources)

The screenshot displays the Oracle Developer Forms Runtime - Web interface for the 'ASSESSMENT INSTRUMENT AND PRIORITIZATION' form. The window title is 'Oracle Developer Forms Runtime - Web'. The form header includes the title 'ASSESSMENT INSTRUMENT AND PRIORITIZATION' and a menu bar with options: Action, Menu, Edit, Block, Field, Record, Query, Help. Below the menu bar is a toolbar with various icons. The main form area contains several sections:

- Header Section:** Includes fields for 'ASSESSMENT' (value: VERSION 10G.1), 'CIRTS', 'Date' (value: 11/08/2006), and 'User' (value: MCGLOHONSA).
- Personal Information Section:** Includes fields for 'PSA' (value: 02), 'SSN' (value: 200611081), 'Last Name' (value: CLIENT), 'Risk Score', 'Priority Score', and 'Rank'.
- Action Buttons:** Includes buttons for 'Add Assessment', 'Update Assessment', 'Demographics', 'Assessment List', 'Search', and 'Print Turnaround'.
- Assessment Categories:** A row of tabs for 'ASSM', 'INC', 'MEN', 'PHY', 'ADL', 'NUT', 'HEA', 'SPS', and 'SOC'. The 'ASSM' tab is currently selected.
- CIRTS Assessment Information Section:** A large box containing several sub-sections:
 - Owner Information:** 'Owner Id' (value: 20000), 'Owner Assessor Id' (value: MCGLOHONSA), and 'Assessment Date' (value: 11/08/2006).
 - Provider Information:** 'Provider Id' (empty), 'Provider Assessor Id' (empty), and 'Assessment Site' (value: CLIENT/RELATIVE'S HOME).
 - Assessor Information:** 'Assessor Name' (value: SHANDRA MCGLOHON) and 'Assessment Type' (value: INITIAL ASSESSMENT).
 - Consumer Type:** 'Consumer Type' (value: ELDER RECIPIENT), 'Are you the caregiver of a grandchild?' (value: N), and 'Is this Public Housing?' (checkbox).
 - Referral and Caregiver Information:** 'Referral Source' (value: <NULL>), 'Primary Caregiver' (empty), 'Risk Level' (value: <NULL>), 'Living Situation' (value: <NULL>), and 'Referral Date' (empty).

At the bottom of the form, there is a status bar showing 'Record: 1/1' and navigation controls including '<OSC>'.

Appendix B

Assessment Type: CARES Non_Com, EHEAP, Other

Tabs: ASSM, INC (Income), MEN (Mental Health), ADL (Activities of Daily Living), NUT (Nutrition), HEA (Health Conditions), SPS (Special Services)

Oracle Developer Forms Runtime - Web

ASSESSMENT INSTRUMENT AND PRIORITIZATION

Action Menu Edit Block Field Record Query Help

ASSESSMENT VERSION 10G.1 CIRTS Date 11/08/2006 User MCGLOHONSA

PSA 02 SSN 200611081 Last Name CLIENT Risk Score Priority Score Rank

Add Assessment Update Assessment Demographics Assessment List Search Print Turnaround

ASSM INC MEN ADL NUT HEA SPS

CIRTS Assessment Information

| | | |
|-----------------------------------|---------------------------------|---|
| Owner Id 20000 | Owner Assessor Id MCGLOHONSA | Assessment Date 11/08/2006 |
| Provider Id | Provider Assessor Id | Assessment Site CLIENT/RELATIVE'S HOME |
| Assessor Name SHANDRA MCGLOHON | | Assessment Type CARES_NON_COM |

Consumer Type: ELDER RECIPIENT Are you the caregiver of a grandchild? N Is this Public Housing?

Referral Source: <NULL> Primary Caregiver: <NULL>

Risk Level: <NULL> Living Situation: <NULL>

Referral Date: <NULL>

Record: 1/1 <OSC>

Appendix C

Assessment Type: Change Owner, Demographic, Grandparent/Guardian

Tabs: ASSM

The screenshot displays the Oracle Developer Forms Runtime - Web interface for the 'ASSESSMENT INSTRUMENT AND PRIORITIZATION' application. The window title is 'Oracle Developer Forms Runtime - Web' and the application title is 'ASSESSMENT INSTRUMENT AND PRIORITIZATION'. The menu bar includes 'Action', 'Menu', 'Edit', 'Block', 'Field', 'Record', 'Query', and 'Help'. The toolbar contains various icons for navigation and editing.

The form contains the following fields and controls:

- ASSESSMENT**: Text field with value 'VERSION 10G.1'
- CIRTS**: Text field
- Date**: Text field with value '11/08/2006'
- User**: Text field with value 'MCGLOHONSA'
- PSA**: Text field with value '02'
- SSN**: Text field with value '200611081'
- Last Name**: Text field with value 'CLIENT'
- Risk Score**: Text field
- Priority Score**: Text field
- Rank**: Text field

Buttons: 'Add Assessment', 'Update Assessment', 'Demographics', 'Assessment List', 'Search', 'Print Turnaround'

ASSM (Selected Tab)

CIRTS Assessment Information

| | | |
|--|--|--|
| Owner Id 20000 | Owner Assessor Id MCGLOHONSA | Assessment Date 11/08/2006 |
| Provider Id | Provider Assessor Id | Assessment Site CLIENT/RELATIVE'S HOME |
| Assessor Name SHANDRA MCGLOHON | | Assessment Type CHANGE OWNER ASSES... |

Consumer Type: ELDER RECIPIENT

Are you the caregiver of a grandchild? N

Is this Public Housing?

Referral Source: <NULL>

Primary Caregiver: <NULL>

Risk Level: <NULL>

Living Situation: <NULL>

Referral Date: <NULL>

Record: 1/1 | ... | <OSC>

Appendix D

Assessment Type: Congregate Meals

Tabs: ASSM, INC (Income), NUT (Nutrition)

The screenshot displays the Oracle Developer Forms Runtime - Web interface for the 'ASSESSMENT INSTRUMENT AND PRIORITIZATION' form. The window title is 'Oracle Developer Forms Runtime - Web' and the page title is 'ASSESSMENT INSTRUMENT AND PRIORITIZATION'. The interface includes a menu bar (Action, Menu, Edit, Block, Field, Record, Query, Help) and a toolbar with various icons. The form contains several input fields and buttons.

Form Fields:

- ASSESSMENT: []
- VERSION: 10G.1
- CIRTS: []
- Date: 11/08/2006
- User: MCGLOHONSA
- PSA: 02
- SSN: 200611081
- Last Name: CLIENT
- Risk Score: []
- Priority Score: []
- Rank: []

Buttons: Add Assessment, Update Assessment, Demographics, Assessment List, Search, Print Turnaround

Tabs: ASSM, INC, NUT

CIRTS Assessment Information:

| | | |
|--|--|--|
| Owner Id 20000 | Owner Assessor Id MCGLOHONSA | Assessment Date 11/08/2006 |
| Provider Id [] | Provider Assessor Id [] | Assessment Site CLIENT/RELATIVE'S HOME |
| Assessor Name SHANDRA MCGLOHON | | Assessment Type CONGREGATE MEALS |

Consumer Type: ELDER RECIPIENT

Are you the caregiver of a grandchild? N

Is this Public Housing?

Referral Source: <NULL>

Primary Caregiver: []

Risk Level: <NULL>

Living Situation: <NULL>

Referral Date: []

Footer: Record: 1/1 ... <OSC>

Appendix E

Assessment Type: OA3E, OAA

Tabs: ASSM, INC (Income), MEN (Mental Health), PHY (Physical Health), ADL (Activities of Daily Living), NUT (Nutrition), HEA (Health Conditions), SPS (Special Services)

The screenshot displays the Oracle Developer Forms Runtime - Web interface for the 'ASSESSMENT INSTRUMENT AND PRIORITIZATION' form. The window title is 'Oracle Developer Forms Runtime - Web' and the form title is 'ASSESSMENT INSTRUMENT AND PRIORITIZATION'. The interface includes a menu bar (Action, Menu, Edit, Block, Field, Record, Query, Help) and a toolbar with various icons. The form contains several input fields and buttons:

- Header Fields:** ASSESSMENT (text), VERSION 10G.1 (text), CIRTS (text), Date (11/08/2006), User (MCGLOHONSA).
- Personal Information:** PSA (02), SSN (200611081), Last Name (CLIENT), Risk Score (text), Priority Score (text), Rank (text).
- Buttons:** Add Assessment, Update Assessment, Demographics, Assessment List, Search, Print Turnaround.
- Navigation Tabs:** ASSM, INC, MEN, PHY, ADL, NUT, HEA, SPS.
- CIRTS Assessment Information Section:**
 - Owner Id: 20000, Owner Assessor Id: MCGLOHONSA, Assessment Date: 11/08/2006
 - Provider Id: (empty), Provider Assessor Id: (empty), Assessment Site: CLIENT/RELATIVE'S HOME (dropdown)
 - Assessor Name: SHANDRA MCGLOHON, Assessment Type: OA3E (dropdown)
- Additional Fields:**
 - Consumer Type: ELDER RECIPIENT (dropdown), Are you the caregiver of a grandchild? (N), Is this Public Housing? (checkbox)
 - Referral Source: <NULL> (dropdown), Primary Caregiver: (empty dropdown)
 - Risk Level: <NULL> (dropdown), Living Situation: <NULL> (dropdown)
 - Referral Date: (empty text field)
- Footer:** Record: 1/1, ... (navigation), <OSC> (button)

Appendix F

Assessment Type: Telephone, Wait List Screening

Tabs: ASSM, INC (Income), PHY (Physical Health), ADL (Activities of Daily Living), NUT (Nutrition)

The screenshot displays the Oracle Developer Forms Runtime - Web interface for the 'ASSESSMENT INSTRUMENT AND PRIORITIZATION' form. The window title is 'Oracle Developer Forms Runtime - Web' and the form title is 'ASSESSMENT INSTRUMENT AND PRIORITIZATION'. The menu bar includes 'Action', 'Menu', 'Edit', 'Block', 'Field', 'Record', 'Query', and 'Help'. The toolbar contains various icons for navigation and editing.

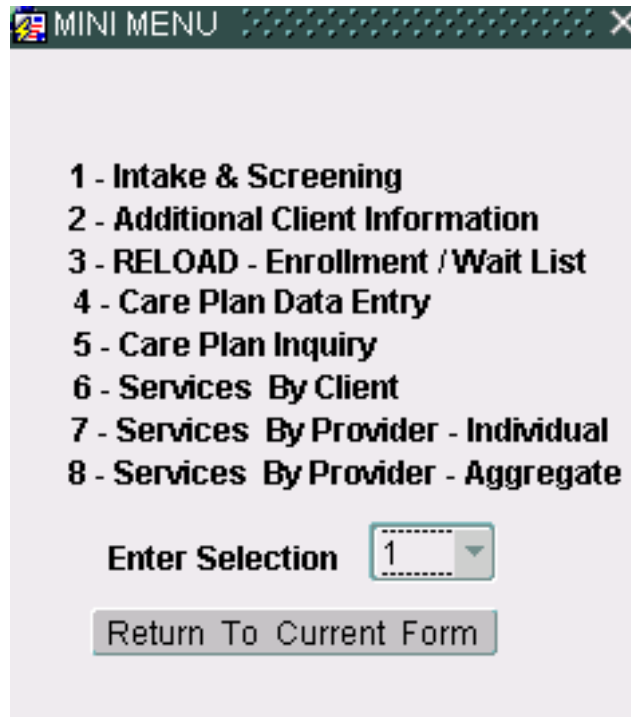
At the top, there are input fields for 'ASSESSMENT' (VERSION 10G.1), 'CIRTS', 'Date' (11/08/2006), and 'User' (MCGLOHONSA). Below this, there are fields for 'PSA' (02), 'SSN' (200611081), 'Last Name' (CLIENT), 'Risk Score', 'Priority Score', and 'Rank'. There are buttons for 'Add Assessment', 'Update Assessment', 'Demographics', 'Assessment List', 'Search', and 'Print Turnaround'.

The main content area has tabs for 'ASSM', 'INC', 'PHY', 'ADL', and 'NUT'. The 'ASSM' tab is selected, showing 'CIRTS Assessment Information'. This section includes fields for 'Owner Id' (20000), 'Owner Assessor Id' (MCGLOHONSA), 'Assessment Date' (11/08/2006), 'Provider Id', 'Provider Assessor Id', 'Assessment Site' (CLIENT/RELATIVE'S HOME), 'Assessor Name' (SHANDRA MCGLOHON), and 'Assessment Type' (TELEPHONE).

Below this, there are three checkboxes: 'Consumer Type' (ELDER RECIPIENT), 'Are you the caregiver of a grandchild?' (N), and 'Is this Public Housing?'. There are also dropdown menus for 'Referral Source' (<NULL>), 'Primary Caregiver', 'Risk Level' (<NULL>), and 'Living Situation' (<NULL>). A 'Referral Date' field is also present.

At the bottom, there is a status bar showing 'Record: 1/1' and '<OSC>'.

Appendix G – Mini Menu



Press the F12 key to access the Mini Menu.

Type the number of the screen you would like to see and press the Enter key, or click the selection list, select the number with your mouse, and press the Enter key.

Click the “Return To Current Form” button to exit the Mini Menu.

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2022-2023

Department: Elder Affairs

Chief Internal Auditor: Inspector General Taroub J. Faraj

Budget Entity: 65000000

Phone Number: (850) 414-2013

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|---|--------------------------|--|---|--|----------------------|
| <p>E1819DEA-022</p> <p>Audit of the Department of Elder Affairs' Office of Public and Professional Guardians and Selected Administrative Activities</p> | <p>06/01/2020</p> | <p>Office of Public and Professional Guardians (OPPG)</p> | <p>Finding 1: Contrary to State law, the OPPG did not establish policies and procedures for monitoring private professional guardians, develop or implement a monitoring tool, or monitor private professional guardians for compliance with OPPG standards of practice governing the conduct of professional guardians.</p> | <p>Original Response: Recommendation accepted. OPPG management is currently in the research and planning phases of implementing the monitoring policies and procedures for the private professional guardian segment in addition to implementing a monitoring tool which would include forms and a database system to house data that is parallel to the public guardian monitoring. Current proposal and specifications are being developed with a vendor to produce a database system for the Department to have an efficient way to monitor and have oversight of the private professional guardians. Within the FY 2020-2021 budget, an allocation of \$500,000 of non-recurring funds has been set aside to research and implement the monitoring tool for private professional guardians for compliance with OPPG standards of practice.</p> | |
| | | | <p>Recommendation: To ensure that wards are safe and receive appropriate care and treatment and that their assets are protected as well as OPPG management establish monitoring policies and procedures, develop and implement a monitoring tool, and conduct monitoring of private professional guardians for compliance with OPPG standards of practice.</p> | | |
| | | | | <p>Six-month Follow-up Response: OPPG management is currently in the planning phases of implementing the monitoring policies and procedures for the private professional guardian segment in addition to implementing a monitoring tool which would include forms and a database system to house data that is parallel to the public guardian monitoring. Current proposal and specifications are in final stages of review and approval to start implementation with the selected vendor to produce a database system for the Department in order to have an efficient way to monitor and have oversight of the private professional guardians in the area of client management and registration compliance. Within the FY 2020-2021 budget, an allocation of \$500,000 of non-recurring funds has been set aside to research and implement the monitoring tool for private professional guardians for compliance with OPPG standards of practice. The OPPG anticipates the project to start prior to the end of FY 2020-2021.</p> | |

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|-------------------------|-------------------------|------------------|---|--|----------------------|
| | | | <p>Finding 2: OPPG efforts to monitor Public Guardian Offices (PGOs) were not always adequate to ensure that OPPG records evidence that program monitors were free from conflicts of interest, all State guardianship rules were subject to adequate monitoring, monitoring tool responses were supported by and consistent with source documentation, and monitoring reports were reviewed appropriately and provided timely to PGOs.</p> | <p>Original Response: Recommendation accepted. Effective April 2020, the OPPG Executive Director developed an office staff policy and procedure manual for the public guardian monitor job function. There has also been a review of current monitoring forms and tools used for monitoring of the PGOs. These forms have been updated to align with requirements detailed in the contract with the Department, the PGOs, and the appropriate Florida statutes. The monitoring staff and the Executive Director currently have completed “Department of Elder Affairs Conflict of Interest Questionnaire” forms for each PGO.</p> <p>Effective August 2020, the OPPG is conducting a trial run of a newly developed “virtual monitoring” model in light of travel and visitation bans due to COVID-19. This “virtual monitoring” model will allow the OPPG to ensure that PGOs remain in compliance with the Department’s contractual agreement, this includes PGOs registration of fiduciary employees. In the virtual monitoring model, the OPPG will continue to use the monitoring tool that is currently in place for the PGOs without having to physically travel to locations across the state. Adjustments are being made to ensure large documents can be shared in accordance with Department and State practices and security. This monitoring will allow for compliance with all State guardianship rules and ensuring verification that employees with fiduciary responsibilities are appropriately reported to and approved by the OPPG.</p> <p>The Executive Director is engaged in the overall monitoring process and implementing the process of mapping documents to ensure that monitoring results are reviewed timely, monitoring tool responses are supported by and consistent with source documentation, and monitoring reports are provided timely to the PGOs.</p> | |

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|-------------------------|-------------------------|------------------|---|---|----------------------|
| | | | <p>Recommendation: OPPG management:</p> <ul style="list-style-type: none"> • Require program monitors to document that they are independent of, and have no conflicts of interest related to, the PGOs that they are responsible for monitoring. • Enhance the monitoring tool to include all State guardianship rules and ensure verification that employees with fiduciary responsibilities are appropriately reported to and approved by the OPPG. • Strengthen supervisory review controls to ensure that monitoring engagement results are reviewed timely, monitoring tool responses are supported by and consistent with source documentation, and monitoring reports are provided timely to the PGOs. | | |
| | | | | <p>Six-month Follow-up Response: The office staff policy and procedure manual developed in April 2020 is currently the guiding document for the position, and updates are made as needed. The OPPG is currently following the policies and procedures contained within the office manual. The OPPG successfully conducts monitoring of its PGOs by using a virtual monitoring model in light of travel and visitation bans due to COVID-19. This virtual monitoring model will allow the OPPG to ensure that PGOs remain in compliance with the Department’s contractual agreement, which includes PGOs’ registration of fiduciary employees.</p> <p>The Executive Director remains engaged in the overall monitoring process and implementing the process of mapping documents to ensure that monitoring results are reviewed timely, monitoring tool responses are supported by and consistent with source documentation, and monitoring reports are provided timely to the PGOs. The OPPG considers all recommendations related to Finding 2 fulfilled.</p> | |

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|-------------------------|-------------------------|------------------|---|---|----------------------|
| | | | <p>Finding 3: OPPG complaint processing controls need improvement to ensure that: complaints are referred and related investigation activities are conducted in accordance with State law, OPPG policies and procedures, other guidelines, and management expectations; investigations include all applicable complaint allegations; and guardians and complainants are notified timely of whether disciplinary actions are taken.</p> | <p>Original Response: Recommendation accepted. Effective March 2020, the Executive Director developed an office staff policy and procedure manual for the complaint intake job function to ensure complaints are documented, recorded, and tracked appropriately and accurately. The manual sets standards for methods to ensure complaint files are maintained for future auditing and investigation needs including preservation of communication with complainant, documents received from complainant, communication with guardians and discipline of guardians. In addition, the Executive Director has implemented the following complaint policies and procedures:</p> <ul style="list-style-type: none"> • Documentation and tracking of all complaints and complaint related inquiries that come into the OPPG complaint toll-free hotline. • Notification to guardian registration staff to appropriately document when guardian discipline is related to guardian education requirement or renewal of registration. • Internal monthly audit process by non-complaint intake personnel to ensure that the documentation and tracking referenced above is done effectively. • Process documentation and tracking for guardian discipline to ensure compliance. | |
| | | | <p>Recommendation: OPPG management enhance complaint processing controls to ensure that complaints are referred timely for investigation, documented appropriately, and complaint information is recorded accurately. Such control enhancements should also promote the inclusion of all applicable complaint allegations in investigations and the timely notification to guardians and complainants of disciplinary actions.</p> | | |
| | | | | <p>Six-month Follow-up Response: The office staff policy and procedure manual developed in March 2020 is currently the guiding document for the position, and updates are made as needed. The OPPG is currently following the policies and procedures contained within the office manual. The OPPG considers this recommendation fulfilled.</p> | |

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|-------------------------|-------------------------|------------------|---|--|----------------------|
| | | | <p>Finding 4: Contrary to State law, the Department had not adopted rules for certain OPPG processes, including the process for investigating complaints.</p> | <p>Original Response: Recommendation accepted. The OPPG will work with the DOEA General Counsel's Office to develop OPPG rules. While the OPPG acknowledges that there are legislative rules or processes defined in Chapter 58M-2, Florida Administrative Code, governing complainants and investigations, the OPPG did communicate to the Auditor General that the office does in fact have a Memorandum of Understanding (MOU) with the Statewide Clerks' Alliance and internal processes and procedures that are detailed in the complaint intake staff manual that governs the following:</p> <ul style="list-style-type: none"> • Investigating complaints against guardians; • Communicating the disciplinary process to guardians and complainants; and • Reporting determined or suspected abuse, neglect, or exploitation of a vulnerable adult to the central abuse hotline established by the Department of Children and Families. | |
| | | | <p>Recommendation: To ensure that OPPG management, staff, and other parties are provided authoritative Department direction, DOEA management should adopt rules governing complaint, disciplinary proceeding, and enforcement processes.</p> | | |
| | | | | <p>Six-month Follow-up Response: The OPPG continues to work with and receive ongoing support from the DOEA General Counsel's Office to develop OPPG rules. The OPPG is currently in the internal draft stages of the rule and anticipates having proposed rules ready to present by the end of FY 2020-2021.</p> | |
| | | | <p>Finding 5: OPPG controls need enhancement to ensure that, prior to reimbursing Clerks of the Court for the direct costs of guardianship complaint investigations, invoiced amounts are adequately supported and agree with established rates.</p> | <p>Original Response: Recommendation accepted. Effective March 2020, the Executive Director has implemented a two-person review of County Clerks of Court invoices for complaint investigation work prior to submission for payment. This process includes verification of dollar amounts, time spent on individual investigations, time study of time spent, and assurance of complying with Memorandum of Understandings (MOUs).</p> | |

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|-------------------------|-------------------------|------------------|---|---|----------------------|
| | | | Recommendation: Prior to reimbursing Clerks for the direct costs of complaint investigations, OPPG management should ensure that invoiced amounts are adequately supported and agree with the salary rates established by the MOUs. | | |
| | | | | Six-month Follow-up Response: Since March 2020, the Executive Director has implemented an office procedure of a two-person review of County Clerks of Court invoices for complaint investigation work prior to submission for payment. The OPPG considers this recommendation fulfilled. | |
| | | | Finding 6: OPPG controls did not adequately promote the timely submittal of annual professional guardian renewal registrations or ensure that the courts responsible for appointing guardians were notified timely of lapses in guardian registration. | <p>Original Response: Recommendation accepted. Effective March 2020, the Executive Director developed an office staff policy and procedure manual for the guardian registrar job function. The manual provides guidance on handling notifications to professional guardians regarding renewals and handling untimely renewals of registrations. Specifically, regarding timely renewal and expiration notifications, the Executive Director has implemented the following registration policies and procedures:</p> <ul style="list-style-type: none"> Professional guardians are notified via email communication 30-45 days prior to registration expiration with details of all necessary components needed for the guardian and fiduciary staff to be in compliance and to assist with timely registration. The email will include, as an attachment, the appropriate registration forms and a Registration Infographic for visual learners. Professional guardians that may submit registration or renewal registration documents that are incomplete or missing necessary components are notified via email communication within 1-2 days of OPPG receiving the documents. If OPPG does not receive the required documents, staff will notify the professional guardians via email communication or phone call every 8-10 days. Professional guardians are notified after 10 days of registration expiration if no attempt to renew registration is made. In working with the General Counsel's Office, the OPPG has developed communication for professional guardians that fail to renew their registrations in a timely manner. This communication is a signed letter sent via mail or email to the professional guardian and, in some circumstances, Chief Judges and Clerks of the Court will be notified of the untimely renewal. | |

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|--|-------------------------|---|---|--|----------------------|
| | | | Recommendation: OPPG management establish renewal registration policies and procedures, including procedures for providing expiration notices to professional guardians prior to the date the registration is due to the OPPG. In addition, OPPG management establish policies and procedures to ensure that lapses in guardian registrations are communicated timely to court personnel who are responsible for appointing guardians. | | |
| | | | | Six-month Follow-up Response: The office staff policy and procedure manual developed in March 2020 is currently the guiding document for the position, and updates are made as needed. The manual includes processes and procedures to ensure strict compliance of professional guardian registrations. The OPPG is currently following the procedures contained within the office manual. The OPPG considers this recommendation fulfilled. | |
| E1819DEA-022 Audit of the Department of Elder Affairs' Office of Public and Professional Guardians and Selected Administrative Activities | 06/01/2020 | Bureau of Information Technology (BIT) | Finding 7: Security controls over mobile device utilization need improvement to ensure the confidentiality, integrity, and availability of Department data and information technology (IT) resources. | Original Response: The Bureau of Information Technology (BIT) acknowledges the preliminary and tentative audit finding related to mobile device security controls. BIT will work in collaboration with Department leadership to review and align policies and procedures with the Department's mission, business needs, and the Auditor General's (AG's) recommendations. In consideration of alternate work accommodations due to the coronavirus pandemic, a tentative target date of December 31, 2020 will be set for finalization and approval of the policies and procedures. The remaining AG recommendations, related to mobile device security controls, will be evaluated collaboratively by Department leadership and BIT to determine where operational changes may be made to enhance certain security controls while still supporting the Department's mission and business needs. Implementation of operational changes that may be approved will likely be a protracted endeavor as additional funding may be required. Due to the potential of needing additional funds, implementation of approved changes may be delayed until FY 2020-2021 or FY 2021-2022 to account for state legislative and budgetary cycles. | |
| | | | Recommendation: Department management enhance certain security controls related to employee use of mobile devices to ensure the confidentiality, integrity, and availability of Department data and related IT resources. | | |

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|---|--------------------------|---|---|---|----------------------|
| | | | | <p>Six-month Follow-up Response: The BIT has reviewed the Department's existing policies and protocols related to information technology resources and mobile devices. The existing policies and protocols provide a framework for issuance, usage, and management of Department-issued resources and devices while allowing the flexibility necessary to meet the Department's evolving business needs. The BIT continues to work, in collaboration with Department leadership, to review and align policies, procedures, and protocols in support of the Department's mission and business needs, and within available financial resources, during the coronavirus pandemic. Existing policies include DOEA Policy 420.10, Management Information Systems Policies and Procedures and DOEA Policy 545.61, Wireless Communication Devices and Services.</p> | |
| <p>E1819DEA-022</p> <p>Audit of the Department of Elder Affairs' Office of Public and Professional Guardians and Selected Administrative Activities</p> | <p>06/01/2020</p> | <p>Division of Financial and Support Services (F&SS)</p> | <p>Finding 8: Department controls over employee access to the Florida Accounting Information Resource (FLAIR) System continue to need improvement to reduce the risk of unauthorized disclosure, modification, or destruction of Department data.</p> | <p>Original Response: The Division of Financial & Support Services acknowledges the preliminary and tentative audit finding related to FLAIR access controls. The Division has written procedures for FLAIR access dated August 10, 2020. Effective immediately, DOEA will utilize this procedure to ensure that access to FLAIR is reviewed periodically and to provide documentation when an employee requires access to FLAIR as well as termination of access to FLAIR. In addition, as employees are reassigned duties within the Department, documentation will be maintained to support required updates to privileges.</p> | |
| | | | <p>Recommendation: Department management establish policies and procedures for conducting periodic reviews of the appropriateness of FLAIR user access privileges. Also, Department management limit user access privileges to FLAIR to promote an appropriate separation of duties and require that, where incompatible access privileges are necessary, compensating controls are established and documented. Department management should also ensure that FLAIR access privileges are removed immediately upon a user's separation from Department employment.</p> | | |

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|-------------------------|-------------------------|------------------|---|---|----------------------|
| | | | | <p>Six-month Follow-up Response: The Accounting Section has revised the procedures for FLAIR access. Currently, Accounting Staff perform the following two functions:</p> <p>1. New Hires Not all new employees utilize FLAIR. If they are required to have FLAIR access, supervisors will call the FLAIR Administrator (FA) to ensure proper forms are used. The FA discusses the forms with the supervisor to ensure understanding of them, and the forms are properly signed/initialed.</p> <p>2. Terminated Employees The FA will utilize the automated offboarding report to terminate employees the work day following their departure date from the Department.</p> <p>The Accounting Supervisor is in the process of training the Accountant IV to review FLAIR access forms routinely so that it can be determined if the employees are still working in the duties that require access for which they have acquired. The Accountant IV will begin to contact these employees this month (February). Staff will also ensure that job duties have remained the same.</p> | |

Fiscal Year 2022-23 LBR Technical Review Checklist

| |
|--|
| Department/Budget Entity (Service): Department of Elder Affairs |
| Agency Budget Officer/OPB Analyst Name: Sonya Smith / Khari Calloway |

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 | 65 - Dept. | 65100200 | 65100400 | 65100600 | 65101000 |

I. GENERAL

| | | | | | |
|---|---|---|---|---|---|
| 1.1 Are Columns A01, A04, A05, A91, A92, A93, A94, A95, A96, A36, A10, IA1, IA4, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI or Web LBR Column Security) | Y | Y | Y | Y | Y |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI) | Y | Y | Y | Y | Y |

AUDITS:

| | | | | | |
|---|---|---|---|---|---|
| 1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | Y | Y | Y | Y | Y |
| 1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I (SC1R, SC1 or SC1R, SC1D adding column A12) to verify. | Y | Y | Y | Y | Y |
| 1.5 Has Column A12 security been set correctly to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? (CSDR, CSA) | Y | Y | Y | Y | Y |
| 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 included in the LAS/PBS Web upload process requires 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 57 of the LBR Instructions? | Y | Y | Y | Y | Y |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | Y | Y | Y | Y | Y |
| 2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue? | Y | N/A | Y | Y | Y |

| | | | | | |
|--------|--|----------|----------|----------|----------|
| | Program or Service (Budget Entity Codes) | | | | |
| Action | 65 - Dept. | 65100200 | 65100400 | 65100600 | 65101000 |

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 | N/A | N/A | N/A |
|-----|---|-----|-----|-----|-----|-----|

AUDITS:

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|-----|---|-----|-----|-----|---|---|
| 3.2 | Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity and program component at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found") <i>Justification: There are negative appropriation amounts in Column A04 due to the transfer of PACE from DOEA to AHCA (IC 1700420) and the transfer of Federal Grants Trust Fund budget authority from BE 65100400 to BE 65100600 for the eCIRTS project (IC 2000110).</i> | N/J | N/A | N/J | Y | Y |
|-----|---|-----|-----|-----|---|---|

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|-----|--|---|---|---|---|---|
| 3.3 | Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero") | Y | Y | Y | Y | Y |
|-----|--|---|---|---|---|---|

| | | | | | | |
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| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
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| 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. | | | | | |
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| 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 61 of the LBR Instructions? | Y | Y | Y | Y | Y |
|-----|--|---|---|---|---|---|

| | | | | | | |
|-----|---|---|---|---|---|---|
| 4.2 | Is the program component code and title used correctly? | Y | Y | Y | Y | Y |
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| 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 | Y | Y | Y | Y |
|-----|--|---|---|---|---|---|

AUDITS:

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|-----|---|---|---|---|---|---|
| 5.2 | Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report") | Y | Y | Y | Y | Y |
|-----|---|---|---|---|---|---|

| Action | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|----------|----------|----------|----------|
| | | 65 - Dept. | 65100200 | 65100400 | 65100600 | 65101000 |
| 5.3 | FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.) | Y | Y | Y | Y | Y |
| 5.4 | A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.) | Y | Y | Y | Y | Y |
| 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 2020-21 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 | N/A | Y | Y | Y |
| TIP | Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems. | | | | | |
| 7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal) | | | | | | |
| 7.1 | Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 27 of the LBR Instructions.) | Y | N/A | Y | Y | Y |
| 7.2 | Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 65 through 68 of the LBR Instructions.) | Y | N/A | Y | Y | Y |
| 7.3 | Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 67 through 69 of the LBR Instructions? | Y | N/A | N/A | Y | Y |
| 7.4 | Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? | Y | N/A | N/A | 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.5 of the LBR Instructions.) | Y | N/A | Y | Y | Y |
| 7.6 | Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized. | Y | N/A | Y | Y | Y |

| Action | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|----------|----------|----------|----------|
| | | 65 - Dept. | 65100200 | 65100400 | 65100600 | 65101000 |
| 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 93 through 95 of the LBR Instructions.) | Y | N/A | Y | N/A | Y |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | N/A | N/A | N/A | N/A | N/A |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | N/A | N/A | N/A | N/A | N/A |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #22-001? | N/A | N/A | N/A | N/A | N/A |
| 7.11 | When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO) | N/A | N/A | N/A | N/A | N/A |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | N/A | N/A | N/A | N/A |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | N/A | N/A | N/A | N/A |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | Y | N/A | Y | Y | Y |
| 7.15 | Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount. | N/A | N/A | N/A | N/A | N/A |
| 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 26 and 90 of the LBR Instructions.) | N/A | N/A | N/A | N/A | N/A |
| 7.17 | Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)? | Y | N/A | N/A | Y | Y |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | N/A | N/A | N/A | N/A |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | N/A | Y | Y | Y |
| AUDIT: | | | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | N/A | N/A | N/A | N/A |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | N/A | N/A | N/A | N/A | N/A |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | N/A | N/A | N/A | N/A | N/A |

| Action | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|----------|----------|----------|----------|
| | | 65 - Dept. | 65100200 | 65100400 | 65100600 | 65101000 |
| 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 | N/A | N/A | N/A | N/A |
| 7.24 | Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. (NAAR, BSNR) | Y | N/A | Y | Y | Y |
| 7.25 | Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2021-22? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2021-22. Do not add annualization issues for pay and benefit distribution issues, as those annualization issues (26AXXXX) have already been added to A03. | N/A | N/A | N/A | N/A | N/A |
| TIP | Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative. | | | | | |
| TIP | The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 65 through 70 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 2021-22 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 | | | | |

| Action | | Program or Service (Budget Entity Codes) | | | | |
|--------|--|--|----------|----------|----------|----------|
| | | 65 - Dept. | 65100200 | 65100400 | 65100600 | 65101000 |
| 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 | | | | |
| 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? | 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? | 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? | Y | | | | |

| Action | | Program or Service (Budget Entity Codes) | | | | |
|----------------|---|--|----------|----------|----------|----------|
| | | 65 - Dept. | 65100200 | 65100400 | 65100600 | 65101000 |
| 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? | 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 | | | | |
| 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 126 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. | | | | | |

| | | | | | |
|--------|--|----------|----------|----------|----------|
| | Program or Service (Budget Entity Codes) | | | | |
| Action | 65 - Dept. | 65100200 | 65100400 | 65100600 | 65101000 |

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 156 of the LBR Instructions.) | Y/J | N/A | N/A | Y/J | Y/J |
|-----|---|-----|-----|-----|-----|-----|

10. SCHEDULE III (PSCR, SC3)

| | | | | | | |
|------|--|-----|-----|-----|-----|-----|
| 10.1 | Is the appropriate lapse amount applied? (See page 88 of the LBR Instructions.) | N/A | N/A | N/A | N/A | N/A |
| 10.2 | Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See pages 93 through 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested. | Y | N/A | Y | N/A | Y |

11. SCHEDULE IV (EADR, SC4)

| | | | | | | |
|------|---|---|-----|-----|---|---|
| 11.1 | Are the correct Information Technology (IT) issue codes used? | Y | N/A | N/A | Y | Y |
| TIP | If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV. | | | | | |

12. SCHEDULE VIIIA (EADR, SC8A)

| | | | | | | |
|------|--|---|-----|-----|---|---|
| 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 | N/A | N/A | Y | Y |
|------|--|---|-----|-----|---|---|

13. SCHEDULE VIIIB-1 (EADR, S8B1)

| | | | | | | |
|------|---|-----|-----|-----|-----|-----|
| 13.1 | Do the reductions comply with the instructions provided on pages 100 through 103 of the LBR Instructions regarding an 8.5% reduction in 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 | N/A | N/A | N/A | N/A |
| TIP | If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the nonrecurring portion in Column A92. | | | | | |

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 100 through 103 of the LBR Instructions regarding a 10% reduction in 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 | N/A | Y | N/A | 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. | | | | | |
| TIP | If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|--|--|----------|----------|----------|----------|
| Action | | 65 - Dept. | 65100200 | 65100400 | 65100600 | 65101000 |
| 15. SCHEDULE VIIC (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 | N/A | N/A | N/A | N/A |
| 15.2 | Are the priority narrative explanations adequate and do they follow the guidelines on pages 97 through 103 of the LBR instructions? | N/A | N/A | N/A | N/A | N/A |
| 15.3 | Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source? | N/A | N/A | N/A | N/A | N/A |
| AUDIT: | | | | | | |
| 15.4 | Do the issues net to zero at the department level? (GENR, LBR5) | N/A | N/A | N/A | N/A | N/A |
| 16. SCHEDULE XI (UCSR,SCXI) (LAS/PBS Web - see pages 111-115 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents) | | | | | | |
| 16.1 | Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.) | Y | Y | Y | Y | Y |
| 16.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | Y | Y | Y | Y | Y |
| AUDITS INCLUDED IN THE SCHEDULE XI REPORT: | | | | | | |
| 16.3 | Does the FY 2020-21 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1) | Y | Y | Y | Y | Y |
| 16.4 | None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found") | Y | N/A | N/A | Y | N/A |
| 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 | N/A | N/A | N/A | 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 | Y | Y | Y | Y |
| 16.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | Y | Y | Y | Y | Y |
| TIP | If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable. | | | | | |

| | | | | | |
|--------|--|----------|----------|----------|----------|
| | Program or Service (Budget Entity Codes) | | | | |
| Action | 65 - Dept. | 65100200 | 65100400 | 65100600 | 65101000 |

| 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 52 through 84 of the LBR Instructions), and are they accurate and complete? | Y | Y | Y | Y | Y |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Y | Y | Y | Y | Y |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | Y | Y | Y | Y | Y |
| 17.4 | Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 136 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US? | Y | N/A | N/A | Y | N/A |
| 17.5 | Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable)? | N/A | N/A | N/A | N/A | N/A |

| AUDITS - GENERAL INFORMATION | | | | | | |
|-------------------------------------|--|--|--|--|--|--|
| TIP | Review <i>Section 6: Audits</i> of the LBR Instructions (pages 155-157) for a list of audits and their descriptions. | | | | | |
| TIP | Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error. | | | | | |

| 18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal) | | | | | | |
|--|---|-----|-----|-----|-----|-----|
| 18.1 | Are the CIP-2, CIP-3, CIP-A and CIP-B forms included? | Y | Y | Y | Y | Y |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | N/A | N/A | N/A | N/A | N/A |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | Y | Y | Y | Y | Y |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | N/A | N/A | N/A | N/A | N/A |
| 18.5 | Are the appropriate counties identified in the narrative? | N/A | N/A | N/A | N/A | N/A |
| 18.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | N/A | N/A | N/A | N/A | N/A |
| TIP | Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification. | | | | | |

| 19. FLORIDA FISCAL PORTAL | | | | | | |
|----------------------------------|---|---|---|---|---|---|
| 19.1 | Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Y | Y | Y | Y | Y |