



**State of Florida
Department of Children and Families**

Ron DeSantis
Governor

Shevaun Harris
Secretary

LEGISLATIVE BUDGET REQUEST

September 15, 2021

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

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

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Children and Families is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2022-23 Fiscal Year.

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

Sincerely,

Shevaun Harris
Secretary

2415 North Monroe Street, Tallahassee, Florida 32303-4190

Mission: Protect the Vulnerable, Promote Strong and Economically Self-Sufficient Families, and Advance Personal and Family Recovery and Resiliency

Florida Department of Children and Families
Temporary Special Duty – General Pay Additives Implementation Plan
Fiscal Year 2022-2023

Pursuant to section 110.2035(7)(b), F.S., this is the Florida Department of Children and Families (DCF) written plan for implementing temporary special duties – general pay additives for Fiscal Year 2022-23. DCF requests approval to continue long-standing pay additives. The agency is not requesting any additional rate or appropriations for these additives.

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

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

The DCF submits the following plan granting a temporary special duty pay additive of five (5) percent of the employee's base rate of pay to:

Certified Nursing Assistant Pay Additive

All employees in the Human Services Worker I, Human Services Worker II, and Unit Treatment and Rehabilitation Specialist classes who work within the 13-1E, 13-1W, 32N, or 32S living areas at the Northeast Florida State Hospital or the Specialty Care Unit and Medical Services Unit at Florida State Hospital. Such additive may be awarded only during the time the employees work within those living areas at the Northeast Florida State Hospital.

The Career Service positions within two of these living areas require incumbents to possess a Certified Nursing Assistant (CNA) license and the other two living areas where it is preferred that incumbents possess a CNA license. The individuals served on these living areas are medically complex, in addition to being diagnosed with severe and persistent mental illness. In order to provide care for these complex and multi-medical problem individuals, an extensive skill set above that of the regular direct care staff is required. The staff providing care in these areas have received extensive training and have passed both a written and practical exam in order to be licensed as a CNA by the State of Florida.

Florida State Hospital (FSH) has two residential units (Specialty Care and Medical Services Units) where the majority of residents are medically complex in addition to being diagnosed with severe and persistent mental illness. In order to provide care for these multi-medical problem individuals, an extensive skill set above that of the regular direct care staff is preferred, although not required. Staff who hold a CNA license have received extensive training and have passed both a written and practical exam in order to be licensed as a CNA by the State of Florida. The justification is as follows:

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

4. NEFSH employees will receive a five percent (5%) pay additive. For FSH, these employees will receive this pay additive in addition to the Temporary Special Duty additive described below.
5. For NEFSH, includes a total of 110 F.T.E. Career Service positions in the following classifications:
 - Human Service Worker I
 - Human Service Worker II

For FSH, includes a total of 182 F.T.E. Career Service positions in the following classifications:

 - Human Service Worker I
 - Human Service Worker II
 - Unit Treatment and Rehabilitation Specialist
6. At NEFSH, this additive has been provided for at least the past 14+ years.
7. The annual cost at NEFSH is approximately \$136,802.52. The annual cost at FSH is approximately \$249,278.09.
8. The classes included in this plan are represented by AFSCME Council 79. Article 25, Section 1 of the AFSCME agreement states, "Pay shall be in accordance with the Fiscal Year 2021-22 General Appropriations Act and other provisions of state law." DCF has a past practice of providing these pay additives to bargaining unit employees.

Temporary Special Duty Additive

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

1. This pay additive is necessary in order for employee retention in these work locations. The agency requests approval to offer this pay additive to employees who are hired into these units.
2. The employees will receive a five percent (5%) pay additive.
3. This additive will be effective until the employee leaves the position/designated area.
4. Includes a total of 163 F.T.E. Career Service positions in the following classifications:
 - Human Service Worker I
 - Human Service Worker II
 - Unit Treatment & Rehabilitation Specialist
5. This additive was previously approved and provided for the past 14+ years for positions under the original agreement/implementation plan.
6. Annual cost is approximately \$216,579.33.

7. The classes included in this plan are represented by AFSCME Council 79. Article 25, Section 1 of the AFSCME Agreement states "Pay shall be in accordance with the Fiscal Year 2021-22 General Appropriations Act and other provisions of state law." DCF has a past practice of providing these pay additives to bargaining unit employees.

The Medical Services Unit (MSU) at FSH provides in-patient, emergency, out-patient, ancillary, and after-hours partial pharmacy services to residents of FSH and the Developmentally Disabled Defendant Program with the Agency for Persons with Disabilities. The individuals served in this unit are medically unstable and require inpatient medical care, in addition to being diagnosed with severe and persistent mental illness. In-patient medical care is provided on a 24-bed medical ward and is staffed with a full-time physician, registered nurses and direct services staff across three shifts. All employees in the Human Services Worker I and Human Services Worker II classes who work within the Medical Services Unit at the Florida State Hospital. Such additive may be awarded only during the time those employees work within the Medical Services Unit at the Florida State Hospital. The justification is as follows:

1. This pay additive is necessary in order for employee retention in these work locations. The agency requests approval to offer this pay additive to employees who are hired into these units.
2. The employees will receive a five percent (5%) pay additive.
3. This additive will be effective until the incumbent leaves the position/designated area.
4. Includes a total of 19 F.T.E. Career Service positions in the following classifications:
 - Human Service Worker I
 - Human Service Worker II
5. Annual cost is approximately \$22,698.69.
6. The classes included in this plan are represented by AFSCME Council 79. Article 25, Section 1 of the AFSCME Agreement states "Pay shall be in accordance with the Fiscal Year 2021-22 General Appropriations Act and other provisions of state law." DCF has a past practice of providing these pay additives to bargaining unit employees.

Child Protective Investigation Weekend Unit Pay Additive

Child Protective Investigations is an area responsible for conducting investigations regarding allegations of abuse, neglect, abandonment and/or special conditions for children; Collects information through interviews with the children, parents, relatives, neighbors, and other parties associated with the case; and engages families, identifies needs and determines the level of intervention needed to include voluntary services or court ordered dependency services; provides services linkages to agency and community resources based on needs assessment. Employees in these positions were required to be on-call and work weekends which causes an unstable work week and increase workload; this created a high turnover rate and recruitment difficulties. All employees in Child Protective Investigator, Senior Child Protective Investigator and support staff classes who work in a weekend unit. Such additive may be awarded only during the time such employees work in a weekend unit. The justification is as follows:

1. This pay additive is necessary for employee retention in these units. Offering additional compensation for working in a "weekend unit" has significantly improved morale and retention.
2. These additives will be in effect from the first day the incumbent is assigned to the position.
3. This additive will be effective until the employee leaves that position, or the position is moved to standard workweek schedule.
4. The employees will receive a five percent (5%) pay additive.

5. Includes a total of 66 F.T.E. Career Service positions in the following classifications:
 - Senior Child Protective Investigator
 - Child Protective Investigator
 - Support Staff Positions
6. This additive has been provided for the past 5 years.
7. Annual cost is approximately \$134,669.45.
8. The classes included in this plan are represented by AFSCME Council 79. The relevant collective bargaining agreement language states as follows: "Increases to base rate of pay and salary additives shall be in accordance with state law and the Fiscal Year 2021-22 General Appropriations Act." See Article 25, Section 1 (B) of the AFSCME Agreement. We would anticipate similar language in future agreements. DCF has a past practice of providing these pay additives to bargaining unit employees.

Abuse Hotline Weekend Unit Pay Additive

Abuse Hotline is an area operating 24 hours a day, 7 days a week and is responsible for receiving and assessing allegations of abuse, neglect or abandonment of children, and abuse, neglect of exploitation of vulnerable adults. The Hotline determines if the information meets statutory criteria for an investigation of referral to an appropriate agency. Employees enter abuse reports in the appropriate information system and research appropriate information systems to determine prior history to assist in the safety and risk assessment of alleged victim. All Adult Registry Counselors who work in a weekend unit at the Abuse Hotline. Such additive may be awarded only during the time such employees work in a weekend unit. The justification is as follows:

1. This pay additive is necessary in order for employee retention in these units. Offering additional compensation for working in a "weekend unit" has significantly improved morale and retention.
2. These additives will be in effect from the first day the incumbent is assigned to the position.
3. These additives will be effective until the incumbent leaves that position or the position is moved to standard workweek schedule.
4. The employees will receive a five percent (5%) pay additive.
5. Includes a total of 48 F.T.E. Career Service positions in the following classifications:
 - Abuse Registry Counselor
6. These pay additives have been provided for the past 6 years.
7. Annual Cost approximately \$148,351.75.
8. The classes included in this plan are represented by AFSCME Council 79. The relevant collective bargaining agreement language states as follows: "Increases to base rate of pay and salary additives shall be in accordance with state law and the Fiscal Year 2021-22 General Appropriations Act." See Article 25, Section 1 (B) of the AFSCME Agreement. We would anticipate similar language in future agreements. DCF has a past practice of providing these pay additives to bargaining unit employees.

Questions regarding this plan may be directed to Shelby Jefferson, HR Director, at (850) 717-4548 or Debra Johnson in DCF HQ HR at (850) 717-4543.



State of Florida

Department of Children and Families

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 Children and Families		
Contact Person:	Andrew McGinley	Phone Number:	850-717-4118
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	State of Florida, Department of Children and Families v. Plaintiffs, FLORIDA COALITION AGAINST DOMESTIC VIOLENCE, INC., a Florida corporation not-for-profit, TIFFANY CARR, individually, SANDRA BARNETT, individually, PATRICIA DUARTE, individually, MELODY KEETH, individually, LAUREL LYNCH individually, ANGELA DIAZ-VIDAILLET, individually, SHANDRA RIFFEY, individually, DONNA FAGAN, individually, THERESA BEACHY, individually, SHERYL SCHWAB, individually, and PENNY MORRILL, individually. Defendants		
Court with Jurisdiction:	Leon County, Florida		
Case Number:	2020-CA-000431		
Summary of the Complaint:	This is a claim for Breach of Contract, Breach of Implied Duty of Good Faith and Fair Dealing, and Breach of Fiduciary Duty against FCADV. Against the individual Defendants, DCF alleges Fraudulent Concealment, Fraudulent Misrepresentation, Negligent Misrepresentation, and Civil Conspiracy.		
Amount of the Claim:	DCF is seeking damages in excess of both the Court's jurisdictional amount, and the amount required for reporting pursuant to this schedule.		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	This matter is currently in mediation.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

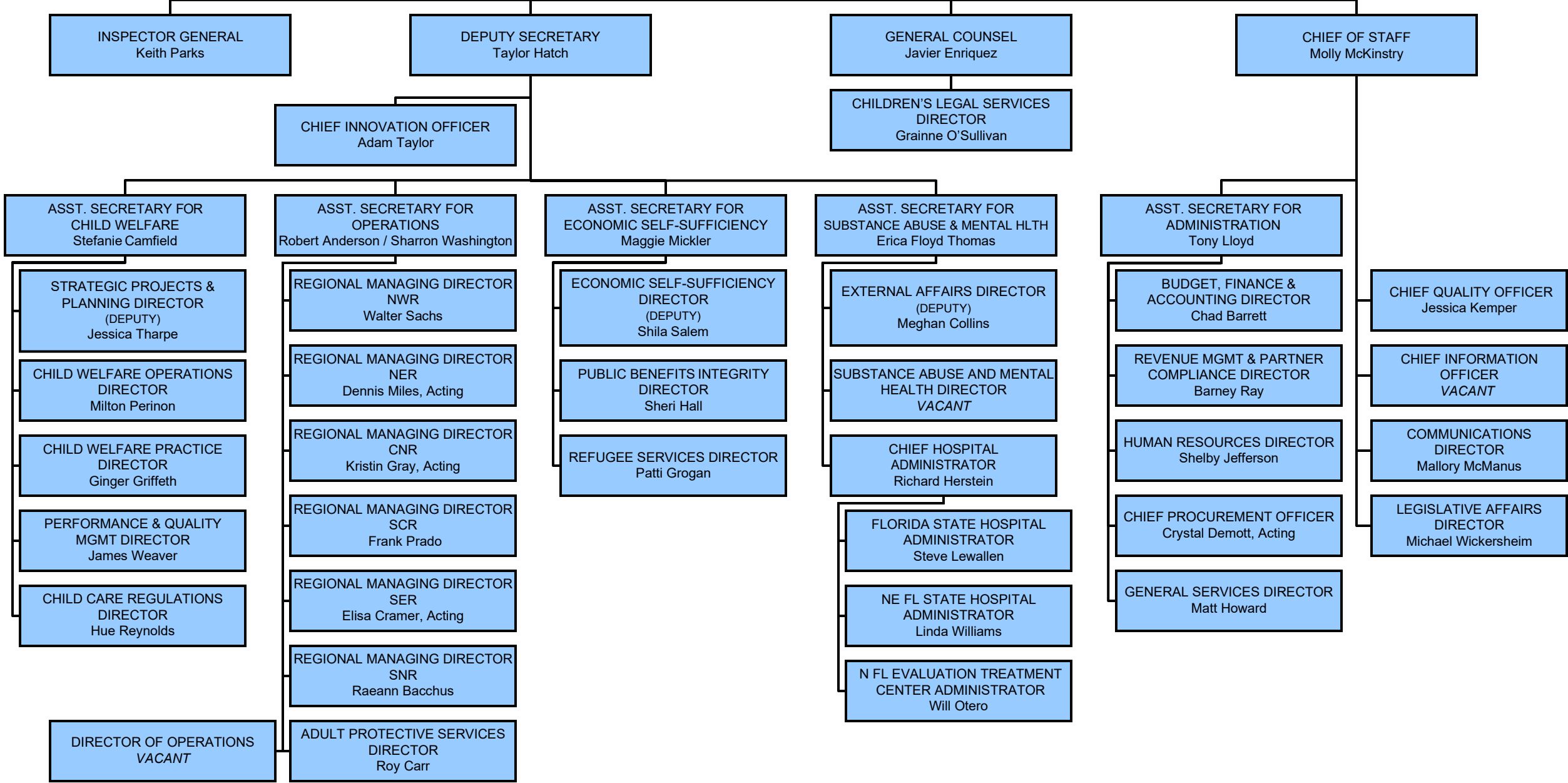
Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Children and Families		
Contact Person:	Andrew McGinley	Phone Number:	850-717-4118
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Michael Barnett et al., v. Plaintiffs, State of Florida, Department of Children and Families, Defendant.		
Court with Jurisdiction:	Palm Beach County, Florida		
Case Number:	2012-CA-004183		
Summary of the Complaint:	This is a claim alleging negligence against the Department for its investigation of a domestic violence abuse report. Alleged perpetrator ultimately shot and killed four (4) minor children, their mother, and injured a fifth (5 th) child before committing suicide.		
Amount of the Claim:	Remaining Plaintiffs are seeking the remainder of the immunity cap in effect at the time of the incident (\$200,000) and the Department's agreement not to oppose a claims bill for a total amount in excess of the amount required for reporting pursuant to this schedule. The Department already settled with one Plaintiff for forty thousand dollars (\$40,000) for the death of his son. There is \$160,000 remaining under the immunity cap.		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	This matter is currently in mediation.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Department of Children and Families
Organizational Chart
Updated 07/06/2021

THE PEOPLE
 GOVERNOR
 Ron DeSantis
 SECRETARY
 Shevaun Harris



CHILDREN AND FAMILIES, DEPARTMENT OF		FISCAL YEAR 2020-21			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		3,367,518,166		2,650,000	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		1,109,194,594		-400,000	
FINAL BUDGET FOR AGENCY		4,476,712,760		2,250,000	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)					2,250,000
Protective Services *		48,655	1,303.38	63,416,105	
Healthy Families * Number of families served in Healthy Families		9,911	2,863.51	28,380,264	
Protective Investigations * Number of investigations		168,845	1,683.48	284,246,881	
In-home Supports * Number of children under protective supervision (point in time)		10,031	47,802.79	479,509,782	
Out-of-home Supports * Number of children with a goal of adoption who remain in out-of-home care after 24 months.		4,119	60,493.17	249,171,355	
Child Welfare Legal Services * Number of termination of parental rights petitions filed		5,611	11,937.45	66,981,023	
Emergency Shelter Supports * Number of adults with a safety plan upon leaving domestic violence shelter after 72 hours		4,242	10,049.45	42,629,766	
Report Intake, Assessment And Referral * Number of calls to the Florida Abuse Hotline		391,652	72.21	28,281,380	
Adoption Subsidies * Number of children receiving adoption subsidies		43,238	5,768.18	249,404,542	
Adoption Services * Children receiving adoptive services		8,635	5,871.13	50,697,213	
License Child Care Arrangements * Number of facilities and homes licensed		8,784	4,743.70	41,668,629	
Daily Living * Number of qualified disabled adults (ages(18 - 59) in the CCDA, ADA Medicaid Waiver Programs, and Consumer Directed Care Medicaid Waiver		358	4,411.37	1,579,272	
Home Care For Disabled Adults * Number of qualified disabled adults (ages 18 - 59) in the HCDA Program		1,085	1,654.56	1,795,194	
Emergency Stabilization *		1,139	4,121.99	4,694,942	
Emergency Stabilization *		12,837	7,090.28	91,017,930	
Provide Forensic Treatment * Number of adults in forensic commitment served		3,311	61,691.70	204,261,234	
Provide Civil Treatment * Number of people in civil commitment served		1,696	143,959.94	244,156,056	
Community Support Services *		25,503	3,096.10	78,959,940	
Community Support Services *		5,255	72,515.70	381,070,021	
Assessment * Number of sexual predators assessed		3,676	8,917.57	32,780,975	
Detoxification *		75	8,996.92	674,769	
Treatment And Aftercare *		7,198	5,638.58	40,586,508	
Detoxification *		28,511	2,235.00	63,721,968	
Prevention *		225,531	395.32	89,158,022	
Benefit Recovery/Error Rate Reduction * Return on investment from fraud prevention/benefit recovery		32,975,870	4.41	145,374,635	
Refugee Assistance * Number of refugee clients served		33,172	955.67	31,701,633	
Issue Optional State Supplementation Payments * Number of applications processed for Optional State Supplementation payments		125	76,342.79	9,542,849	
Homeless Assistance * Number of grants issued for homeless clients		45,338	2,705.04	122,641,255	
Eligibility Determination/Case Management *		580,863	428.70	249,013,458	
Issue Welfare Transition Program Payments * Total number of cash assistance applications		265,959	441.33	117,375,262	
TOTAL				3,494,492,863	2,250,000
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS				36,242	
OTHER					
REVERSIONS				982,180,405	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				4,476,709,510	2,250,000

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

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

SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY

Schedule XII Cover Sheet and Agency Project Approval	
Agency:	Schedule XII Submission Date:
Project Name:	Is this project included in the Agency's LRPP? Yes No
FY 2022 - 2023 LBR Issue Code:	FY 2022 -2023 LBR Issue Title:
Agency Contact for Schedule XII (Name, Phone #, and E-mail address):	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule XII in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII.	
Agency Head:	Date:
Printed Name:	
Agency Chief Information Officer: <i>(If applicable)</i>	Date:
Printed Name:	
Budget Officer:	Date:
Printed Name:	
Planning Officer:	Date:
Printed Name:	
Project Sponsor:	Date:
Printed Name:	

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

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

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

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

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

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

Agency: Department of Children and Families

Contact: Tony Lloyd

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	Maintenance Adoption Subsidies			10.1
b	Community-Based Care (CBC) Lead Agencies			20.0
c	Child Abuse Investigations (department and/or sheriff's offices)			0.0
d	Children's Legal Services - see line n			4.9
e	Foster Care Room and Board Rates - see line n			0.0
f	State Mental Health Treatment Facility Needs and Operating Contracts - see line o	B	82.4	0.0
g	Domestic Violence Victims			0.0
h	Substance Abuse Prevention - see line q			0.0
i	Mental Health Services - see line o			0.0
j	Funding Needs Resulting from Recent Federal Changes - see line n			0.0
k	Fixed Capital Outlay	B		29.9
l	Executive Direction & Support Services -36118C0 Florida Palm Agency Implementation	B		0.9
m	Information Technology -24010C0 Information Technology Infrastructure Replacement -36338C0 CLS Legal Case Management System -36123C0 Child Welfare Software and Enterprise Architecture Modernization -36316C0 FLORIDA System Modernization -36301C0 Grants to Enhance APS Information Technolgy	B		88.9

n	Family Safety and Preservation Services -4000210 Foster Parent Cost of Living Adjustment Growth Rate -4000330 Level I Foster Care Board Payments -4003200 Adoption Incentive Benefits for State Employees and Other Applicants -4008300 and 4008310 Child Abuse Prevention and Treatment Act (CAPTA) Grant Budget Authority -4009970 and 4009990 Community-Based Child Abuse Prevention (CBCAP) Grant Budget Authority -4008270 Preschool Development Grant (PDG) Renewal Funding -1700060 / 1700070 / 4001690 Transition Hillsborough County Local Licensing Child Care Program to the Department -3400860 / 3400870 Fund Swap Federal Grants Trust Fund with General Revenue Due to Title IV-E Earnings Shortfall ADD & DEDUCT -4008170 Services, Training, Officers, and Prosecution (STOP) Grant Budget Authority -4001160 Grants to Enhance Adult Protective Services	B		22.8
o	Mental Health Services -4000310 Expand Bed Capacity and Cost of Living Adjustment - Mental Health Contracted Agencies -4000740 Automated Medication Dispensing Systems -4000290 Increased Costs of Medical and Food Services at the State-Operated Mental Health Treatment Facilities	B		13.0
p	Economic Self Sufficiency Services -4402080 Automated Employment and Income Verification	B		7.5
q	Community Substance Abuse and Mental Health Services -4001360 State Opioid Response Grant Budget Authority Request -4001350 Increase in Community Mental Health Block Grant	B		134.4

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

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

* R/B = Revenue or Budget Driver

Office of Policy and Budget - June 2021

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

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

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



State of Florida

Department of Children and Families

BUDGET ENTITY LEVEL EXHIBITS AND SCHEDULES

SCHEDULE IV-B FOR MODERNIZING FLORIDA'S COMPREHENSIVE CHILD WELFARE INFORMATION SYSTEM

For Fiscal Year 2022-23



August 27, 2021

DEPARTMENT OF CHILDREN AND FAMILIES

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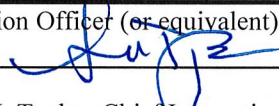



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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Children and Families	Schedule IV-B Submission Date: August 27, 2021
Project Name: Modernizing Florida's Comprehensive Child Welfare Information System	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2022-23 LBR Issue Code: 36123C0	FY 2022-23 LBR Issue Title: Child Welfare Software and Enterprise Architecture Modernization
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Adam Taylor, 850-404-4952, Adam.Taylor@myflfamilies.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: 	Date: 9/15/2021
Printed Name: Shevaun L. Harris, Secretary	
Agency Chief Information Officer (or equivalent): 	Date: 9/15/21
Printed Name: Adam M. Taylor, Chief Innovation Officer	
Budget Officer: 	Date: 9/15/2021
Printed Name: Chad Barrett, Budget, Finance & Accounting Director	
Planning Officer: 	Date: 9-15-2021
Printed Name: Lori Schultz, Senior Management Analyst	
Project Sponsor: 	Date: 9/15/21
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Cost Benefit Analysis:	
Risk Analysis:	

Technology Planning:	
Project Planning:	

Executive Summary

The Florida Department of Children and Families (DCF) respectfully submits this Schedule IV-B for Modernizing Florida’s Comprehensive Child Welfare Information System (CCWIS) to reserve consideration of a request for up to \$65 million across four years (\$25 million the first year) to procure the services and software necessary to implement a CCWIS solution for the State of Florida. The information contained herein does not provide a complete evaluation of the extent to which available solutions can align with Florida’s child welfare practice model and meet the current requirements for federal funding participation in the information system. Following the engagement of a consultant to thoroughly analyze currently available CCWIS solution options for their ability to meet the needs of Florida’s child welfare community, in the most cost-efficient manner, this Schedule IV-B will be updated with the most current information available on the available options.

DCF works in close partnership with the Children’s Bureau (CB) of the Administration for Children and Families (ACF) within the U.S. Department of Health and Human Services (HHS), as well as other federal offices, numerous other state and local agencies, and systems of community-based care throughout Florida. While the state and local partners are more engaged in-service delivery, ACF is an invaluable partner, providing federal funding participation in the implementation of the state’s child welfare practice model and the technology to support it.

As a partner with ACF, DCF regularly reviews child welfare needs around the state and prepares a Five-Year Child and Family Services Plan (CFSP) to delineate goals, objectives and strategies to enhance prevention, intervention and permanent placement strategies, and improve outcomes for children and families in contact with the child welfare system. Additionally, federal funding is available to support information technology that improves worker efficiency and enhances outcomes for children and families at-risk of entering or re-entering the child welfare system and increases permanency for children place in out-of-home settings.

In 2018, ACF promulgated a new rule for information systems, the Comprehensive Child Welfare Information Systems (CCWIS) model. This presented an opportunity for states to undertake substantial initiatives for modernizing their child welfare information systems and customizing the resulting systems to more closely mirror and support child welfare practice models.

The first step in transitioning to CCWIS for states was to notify ACF whether they would 1) not transition and suffer reductions in funding, 2) build a new system, or 3) transition an existing system to comply with CCWIS. With legislative authorization, Florida opted to transition the Florida Safe Families Network (FSFN), the existing child welfare information system, to comply with CCWIS.

This provided a welcome opportunity to modernize FSFN, remediate obsolete architecture and incorporate state-of-the-art technology to create an information system that provides more real-time and automated support to front-line workers, as well as community partner agencies, and managerial staff. Particularly in the context of the pandemic, but also the ever-changing dynamic field of child welfare practice, it has become clear that there is an ever-increasing need to keep technology as flexible, and automate as many processes, as possible.

In 2019, a consultant group was hired to compile documentation of the as-is business processes and conduct a gap analysis among stakeholders to identify specific strategies to provide maximum support to child welfare partnering agencies and staff, as well as DCF. Their work and exploration of solutions available at that time, resulted in a recommendation to re-architect the current FSFN and replace components over time using a modular system design. This solution also envisioned business process re-engineering to align the Florida child welfare community and systems to the new federal CCWIS requirements while leveraging DCF Enterprise assets to configure and integrate modular best of breed Commercial off-the-shelf (COTS) products. This solution was estimated to cost \$199,623,143 to implement within a four-year timeframe.

Several developments have ensued in the intervening years, presenting alternative solutions that were not viable at that time. Other states’ progress in implementing CCWIS solutions and the emergence of commercial off the shelf (COTS) products that are more capable of supporting child welfare practice from intake through crisis resolution are now available.

This Schedule IV-B considered three potential, currently available solutions for Florida to pursue to become CCWIS

compliant.:

1. Transfer a fully operational CCWIS system from another state, pending confirmation that minimal customization would be required to align with Florida's practice model and the solution will achieve the objectives identified in Section A.2. of this document.
2. Purchase commercial off the shelf software (COTS), pending confirmation that minimal customization would be required to align with Florida's practice model and the solution will achieve the objectives identified in Section A.2. of this document.
3. Build a system using Service-Oriented Architecture that provides User Interface Flexibility and maximizes adaptability and extensibility.

The technical solution and approach that DCF prefers, based upon currently available information, is the second - to implement a commercial off the shelf solution that can align with CCWIS requirements and Florida's child welfare practice model. It is expected that no COTS solution will provide 100% of Florida's requirements for a CCWIS, so it is anticipated that there will be some additional components integrated or custom solutions integrated. In other words, the final solution may end up being a COTS solution with integrated enterprise and custom components.

This approach provides the most flexible option and provides the best fit for Modern System Characteristics. This approach also aligns the CCWIS guidance to use best-of-breed solution components in an interoperable solution as opposed to using single vendor big-bang solution strategies. With this solution, technical components can be implemented more quickly, achieve value and return on investment more quickly, provide for reusability within the Human Service Enterprise, and be shareable with other states.

The overall risk assessment rating that this project poses aligns with expectations for a project of this scope, size, and complexity regardless of solution or approach. However, the categories in which risk is classified as "High" are manageable and identified risks can be mitigated through stringent project management. It is anticipated that several categories with high-risk classifications will see reduced risks when a final decision has been made on the solution selected, formal project management planning activities are completed, executive stakeholder approval is secured and detailed project requirements are finalized.

Until the project and funding are approved, it is not prudent to expend additional effort and costs to address identified risk areas in advance. However, an overview of specific elements of Project Management, consistent with the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK) framework, is outlined to acknowledge the need for this rigid approach to ensure risks are mitigated.

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

D. A. Background and Strategic Needs Assessment

1. Business Need

Overview

§ 20.19, Fla. Stat. (2021), defines the mission of the Department of Children and Families (DCF or the Department):

to work in partnership with local communities to protect the vulnerable, promote strong and economically self-sufficient families, and advance personal and family recovery and resiliency.

To fulfill this legislative intent, DCF partners with privately-operated Community Based Care (CBC) organizations in delivering needed services to assist and support Florida's children and families. In particular, the DCF Office of Child Welfare (OCW) is responsible for the development and implementation of policies and programs that are implemented at the local level to support DCF's mission. Other collaborating partners include other state and local agencies, tribal representatives, foster/kinship caregivers, the legal and judicial systems, researchers, child advocates, guardians ad litem, the Legislature, and private foundations.

In addition, Florida's child welfare system is administered and coordinated collaboratively with the federal government whose principal unit in this area is the Children's Bureau (CB) of the Administration for Children and Families (ACF) within the U.S. Department of Health and Human Services (HHS). Federal funding participation is available to child welfare agencies that cooperate in aligning with the ACF CB strategies.

One of these strategies is the routine development, updating and refinement of a Five Year Child and Family Services Plan (CFSP) that defines goals, objectives, performance standards, and quality assurance requirements that make DCF accountable to the people of Florida and to the federal funding partner. In January 2019, DCF updated its CFSP for the Fiscal Years 2019-2020 through 2023-2024. The updated CFSP outlines DCF's priorities by setting the objectives and goals needed to fulfill DCF's mission and align with state and federal priorities. The goals delineated in this plan are listed below:

Goal 1: Protect children from abuse or neglect through preventable child deaths, preventable entries to child welfare system, and preventable entries to foster care.

Goal 2: Provide children with improved permanency, stability, and family connections through a redesigned placement services array.

Goal 3: Families have enhanced capacity to provide for their children's needs and children receive adequate services to meet their physical and mental health needs through collaborative strategies and new financing.

Goal 4: Engage parallel systems and organizations to develop understanding of service roles as well as to design approaches to jointly meet the needs of common clients.

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Goal 4: Engage parallel systems and organizations to develop understanding of service roles as well as to design approaches to jointly meet the needs of common clients.

The objectives identified for each goal are distinct and target different specific outcomes, however, the overall desired outcomes are 1) to improve workforce efficiency and 2) to increase improved outcomes. The following summarizes the strategies to be employed:

- **Re-engineer Business Processes**
- **Increase Collaboration Between State and Regional Agencies**
- **Strengthen State/Regional Participation/Collaboration**
- **Increase CBC Capacity to Serve At-Risk Families**
- **Improve Substance Abuse and Mental Health (SAMH) Services to Child Welfare Clients**
- **Maximize Financial Health of the Child Welfare System**

Another strategy that has recently been promulgated by the ACF CB is adherence to new child welfare information system requirements. Until 2017, states desiring federal funding participation to support their child welfare information system were required to comply with Statewide Automated Child Welfare Information System (SACWIS) requirements defined in 45 C.F.R. Section 1355.52. A new 45 C.F.R. Section 1355.52 rule was instituted in 2017 which enumerated alternative requirements for a Comprehensive Child Welfare Information System (CCWIS). States were told they needed to declare their intent by July 31, 2018 to:

1. Function as a non-CCWIS with their former SACWIS
2. Transition an Existing SACWIS to a CCWIS system
3. Build a New CCWIS

The prior emphasis of SACWIS requirements for child welfare information systems resulted in primarily creating large data repositories, drawing data from a prescribed set of functionalities and complying with federal data reporting requirements. These systems tended to be large, one size fits all, rather than tailored to align with each state's practice model.

In contrast, the CCWIS requirements are intended to provide states the flexibility to build systems closely tailored to the states' needs. Though federal data reporting requirements are still intact, emphasis on data quality assurance; interoperability and data sharing between child welfare partnering agencies (Juvenile Justice, Education, etc.); and modularity to promote cost-efficiency by encouraging the sharing of modules between states. The CCWIS requirements were developed around the concept of modernizing child welfare practice through technological advancements (mobility, data analytics, etc.) and eliminating duplication of system development, software maintenance, and data entry to promote efficient, economical, and effective program administration.

Having considered the three options above, during the 2018 Legislative session, the Department recommended, and the Legislature concurred that the state should opt to transition Florida's existing SACWIS, Florida Safe Families

Network (FSFN), to comply with CCWIS requirements,

Current Challenges

There are two primary challenges DCF Office of Child Welfare must overcome in fulfilling its mission and implementing strategies that achieve the goals identified in the Five-Year Child and Family Services Plan (CFSP) as program priorities: CCWIS compliance and modernization of FSFN's obsolete technology and insufficient functionality. Each of these challenges are critical for the Department to meet the needs of Florida's expanding population that is placing ever-greater demands on limited existing resources. These challenges are outlined in more detail below.

Comprehensive Child Welfare Information System Compliance

One of the primary business needs and drivers for the modernization of Florida's FSFN is to implement the Department's strategic initiative to align the FSFN with CCWIS requirements. To accomplish this, FSFN must transition from an obsolete monolithic application to more modern technology architecture/framework capable of providing the enhanced functionality needed today and the agility and flexibility to meet future objectives and needs. Additionally, and equally important, since FSFN does not currently support CCWIS requirements, DCF is at risk of forgoing the maximum of federal matching funds.

Aligning with CCWIS requirements will, at a minimum, require a solution that:

- Provides architecture that affords the greatest flexibility to meet current and future needs and enables the Department to coordinate services, eliminate paperwork, and prevent duplicate data entry
- Is built with modules and components that provide efficient, effective, and economical program administration
- Focuses on capturing and maintaining data for sharing with child welfare contributing agencies and meeting federal and state reporting requirements
- Has the ability to store and format data, as required, to comply with federal and state reporting requirements
- Captures data as required to comply with the most rigorous of federal and state data standards and reporting requirements
- Establishes a single data exchange standard for all data sharing that ensures complete, timely, accurate and consistently and uniformly collected data
- Provides automated eligibility determinations
- Provides bi-directional data exchanges with IV-B and IV-E financial systems, systems that are used to calculate eligibility determinations, external systems used by IV-E staff, and any systems used by child welfare contributing agencies that collect relevant case management data; additionally, to the extent practicable provides bi-directional data exchanges with child abuse and neglect systems, systems that provide financial assistance to students, Medicaid Management Information and Medicaid eligibility determination systems, child support information systems, court systems, and education agency systems

Modernizing Obsolete Technology and Inadequate Functionality

The FSFN system is the current technology used by DCF and its partners to provide DCF clients with the essential and often lifesaving services they require. FSFN is a transfer system from the state of Wisconsin that is an approximately twenty-five-year-old obsolete technology which was not specifically architected or designed for DCF's (and Child Welfare Practice's, more generally) unique and dynamic needs. Further, updates and augmentation of FSFN over the past twenty-five years has been approached in a fragmented and disjointed way, without an overarching strategy that anticipated and aligned with future technological advancements and increasing functional needs of DCF, its partners and the clients they serve. The following bulleted list provides an overview of

the major concerns and limitations with the current FSFN system.

- The design and architecture of the technologies/platforms/applications supporting FSFN do not meet CCWIS compliance and are not aligned with technologies/platforms/applications available in today's marketplace. This makes enhancing FSFN to meet CCWIS requirements, as well as future needs, impossible in some areas and cost prohibitive in others.
- FSFN is a monolithic application that does not support modularity. This lack of modularity restricts DCF's desire to incorporate best of breed software which can provide enhanced functionality more timely.
- FSFN was developed using an older struts framework of Java and is primarily "spaghetti code" (source code that has a complex and complicated control structure) making it cost-prohibitive and risky to upgrade.
- FSFN has minimal mobile functionality which limits the ability to timely communicate and coordinate critical information for partners providing services, especially when visiting children and families.
- FSFN does not support multi-browser access that is needed and common in today's multi-browser environments and cannot be upgraded beyond Edge in IE 11, which will no longer be supported at the end of support for Windows 10, in 2025.
- FSFN has nominal self-service portal capabilities restricting client access to information and limiting collaboration and communication with service providers.
- FSFN does not have advanced analytics capabilities to support DCF's tactical and strategic decision making and planning.
- Given FSFN's obsolete technology and lack of CCWIS compliance, ongoing operations and maintenance costs as well as risk to the program is expected to increase dramatically in the near term.

1. Business Objectives

The following key business objectives/solutions have been identified by DCF to address the major challenges to align with CWIS requirements and mitigate the obsolete and functionally deficient FSFN system. The objectives/solutions proposed comply with CCWIS requirements that provide important federal funding, while providing innovative technology advances to equip front-line staff with real time information and functionality that helps inform critical child safety decisions. The key project objectives and solutions identified by Department leadership, key project stakeholders and the Chief Information officer are listed in the table Exhibit II-1: DCF Key Business Objectives/Solutions below.

Exhibit II--1: DCF Key Business Objectives/Solutions

Challenges	Description of Objectives/Solutions to Address Challenges
Comply Fully with CCWIS Requirements	<ul style="list-style-type: none"> • Control Costs to be efficient, economical, and effective • Maintain case and case management data to support federal audits, reviews, and other monitoring activity • Remain compliant with state and federal reporting requirements • Implement and maintain an inventory of automated functions • Develop and implement a Data Quality Plan to improve the quality of child welfare data • Conduct biennial data quality reviews • Establish standards-based, scalable bi-directional data exchanges with child welfare contributing agencies • Establish Standards-based, scalable data exchanges with internal and external agencies (Courts, Education, Juvenile Justice, MMIS etc.) • Automate and consolidate eligibility processing, and authorization of services and expenditures under IV-B and IV-E • Eliminate duplicative application system development, software maintenance, and data entry • Maintain availability of agency-owned software developed/installed with FFP • Develop new functionality using a modular design and a Standalone Rules Engine • Incorporate Rules Written in Natural Language
Maximize Federal Funding Participation	<ul style="list-style-type: none"> • Comply fully with CCWIS requirements • Eliminate duplicative application system development, software maintenance, and data entry • Develop new functionality using a modular design and a Standalone Rules Engine • Ensure consistent use of automated functions
Enhance User Support/Experience	<ul style="list-style-type: none"> • Provide Youth and Caregiver online self-service portals to allow access to their, records, statuses, etc. • Incorporate self-service features such as interactive dashboards, appointment reminders, document submission functionality, online help and trainings • Improve real-time data access and information quality • Increase automation to reduce time consuming manual processes • Build browser and device- agnostic user interfaces • Build Persona-based intuitive user interfaces
Enable Mobile Functionality	<ul style="list-style-type: none"> • Incorporate Mobile Device Support (laptop, tablet, or smartphone) • Include Mobile Assessment (Wi-Fi and Cellular) functionality • Accommodate Offline Work Capabilities and subsequent Data Synchronization • Incorporate Route Management (automated GPS route planning and directions)
Enhance Workflow/Workforce Management	<ul style="list-style-type: none"> • Create Dynamic workflow processes and updates • Manage human and machine tasks performed internal and external to DCF • Monitor Resource utilization • Incorporate Task assignment & Work Prioritization notification tools • Conduct quality checks via alerts • Support performance evaluations • Link Alerts/Notifications to Actions
Improve Analytics, Reporting & Alerts	<ul style="list-style-type: none"> • Provide Real-Time Operational Reporting • Provide Dashboards and Data Visualizations • Provide Alerts/notifications • Integrate Predictive Analytics for strategic planning

Challenges	Description of Objectives/Solutions to Address Challenges
Enable Interoperability	<ul style="list-style-type: none"> • Develop new functionality using 1) Service Oriented Architecture Representational State Transfer (REST) - , 2) open standards-based Secure application program interface (API) - , and 3) Extensible Markup Language (XML) - , - based system components • Establish standards-based, scalable bi-directional data exchanges with child welfare contributing agencies • Use asynchronous, event-based and real-time messaging (i.e., via Enterprise Service Bus (ESB)) • Build browser- and device- agnostic user interfaces • Maintain Master Data Management
Enhance Data Quality and Management	<ul style="list-style-type: none"> • Implement and align system functions to the CCWIS Data Quality Plan • Integrate with MDM and Data Quality Assurance Tools
Enhance Batch Processing	<ul style="list-style-type: none"> • Provide for On-Demand Report Processing that can be run any time • Incorporate asynchronous Updates
Reduce Cost of Ownership	<ul style="list-style-type: none"> • Select Cost Efficient Options for CCWIS Architecture and Supporting Technology • Employ “Best of Breed” COTS or component products • Employ Software as a Service (SaaS), when cost-effective • Allow for Standards based Application changes
Customize Solution	<ul style="list-style-type: none"> • Align Business Rules to Match Application Capabilities • Design functionality in Modular components
Managed Infrastructure	<ul style="list-style-type: none"> • Employ a Cloud-based Model • Employ SaaS or Infrastructure as a Service (IaaS), where cost-efficient • Ensure Scalability • Align with DCF Disaster Recovery (DR) and Continuity of Operations Plan (COOP)

B. Baseline Analysis

1. Current Business Process(es)

To identify current functionality gaps a CCWIS project planning team conducted Joint Application Requirements (JAR) sessions in 2019 with key DCF and child welfare partner stakeholders. The stakeholders were asked to identify and evaluate current business processes across functional areas to document as-is business process flows. This effort drove and informed the documentation of the business requirement gaps necessary to align the State’s child welfare system to CCWIS requirements and accommodate innovative technology advances and supports needed by the child welfare community. The outcome of this effort resulted in the development of a Business Requirements Document (*Section VIII Appendices: Appendix 1 - Business Requirements Document*) that includes high-level as-is process flows. DCF and its child welfare partners’ current business processes are summarized in narrative form in the sections below as well as detailed in the BRD.

Child Welfare Service Delivery

Services for children and families are coordinated through an administrative structure of six geographic regions, aligned with Florida's 20 judicial circuits, serving all 67 counties. The Department remains responsible for program oversight, operating the Abuse Hotline, conducting child protective investigations, and providing legal representation in court proceedings. The child welfare system, as a whole, is administered and coordinated through highly collaborative relationships with other state and local agencies, Tribal representatives, foster/kinship caregivers, foster youth, community-based lead agencies, the judiciary, researchers, child advocates, Guardians ad Litem, the Legislature, and private foundations to maximize child safety, permanency, well-being, and families'

opportunities for success. Child protective investigation duties are performed either by Department staff or, under appropriations grants pursuant to s. 39.3065 F.S., by county sheriffs' offices in six counties (Pasco, Pinellas, Hillsborough, Manatee, Seminole, Walton, and Broward). Children's Legal Services operates as an internal "firm" for child-focused advocacy in all areas; in some areas of the state, this includes coordination with attorneys under contract with the State Attorney's Office or the Office of the Attorney General. Coordination with other program areas (particularly Substance Abuse, Mental Health, and Domestic Violence) within the Department is also critical.

CBC Lead Agencies

Within Florida's six regions, CBC lead agencies manage the delivery of community-based services as codified in law (409.988, F.S.):

- Serving children referred as a result of a report of abuse, neglect, or abandonment to the Department's central abuse hotline including children who are subjects of verified reports and those with not verified reports who are at moderate to extremely high risk of abuse, neglect, or abandonment regardless of funding allocated.
- Serving children who are at risk of abuse, neglect, or abandonment to prevent entry into child protective services or the child welfare system.
- Providing accurate and timely information necessary for oversight by the Department as established in the child welfare results-oriented accountability system.
- Following the financial guidelines developed by the department and providing for regular independent auditing of financial activities.
- Ensuring all individuals providing care for dependent children receive appropriate training and meet the minimum employment standards established by the Department.

The Department determines allocations of state and federal funds to CBC lead agencies by geographical areas to support delivery of local, community-based services. These allocations fund initiatives for improvement, expansion, development, planning, evaluation, implementation, annual needs assessments, and direct consumer services to meet the requirements of the various federal grant programs. The Department also contracts with other statewide agencies and programs for additional services and program development, evaluation, implementation, and direct consumer services. This effort complements and supports the local community-based service delivery systems.

Most CBCs contract with subcontractors for case management and direct care services to children and their families. This arrangement allows local agencies to engage community partners in designing their local system of care that maximizes resources to meet local needs. The CBC providers have created, designed, and implemented intervention strategies for the various components of the service array within their areas of responsibility. The freedom and flexibility to develop unique plans and share them with others is the hallmark of this system.

How do Child Welfare Professionals use FSFN?

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

FSFN facilitates child welfare best practice and service provision under federal and state requirements. FSFN consolidates critical data and supports reporting capacities. This automated system reduces communication gaps, which can jeopardize child safety, placement permanency, and well-being. If staff statewide follow FSFN reporting

and documentation requirements, the staff and key stakeholders will have access to information required to make informed decisions on behalf of children and their families. Immediate electronic access to complete case information supports a rapid and effective response to the needs of families and children.

2. Assumptions and Constraints

This Schedule IV-B considers and notes several assumptions and constraints for the CCWIS initiative. These assumptions and constraints include:

Assumptions

- A. The project is the top technology initiative for DCF and has support from the DCF Executive Project Sponsor, Business Sponsor, and Chief Information Officer.
- B. Procurement of vendor services to implement the CCWIS solution is timely executed.
- C. The AFCARS rule changes are implemented, enabling federal reporting compliance as stated in CCWIS requirements, 45 CFR Part 1355.
- D. The requested funding (state & federal) for the project will be available in line with project expectations. (note: Federal matching funds are only available after approval is provided by ACF).
- E. DCF will employ Organizational Change Management (OCM) activities required to implement the transformational effort required for the *Modernizing Florida's Comprehensive Child Welfare Information System* initiative.
- F. The project team will be adequately staffed to produce the project's deliverables, meet milestones, provide infrastructure, manage user involvement, ensure adequate system testing, produce necessary project planning documents and status reports, and complete other project management tasks as required for successful execution and delivery of the project.
- G. DCF and CBC business, functional, and technical subject matter experts will be made available timely for project activities requiring their input.
- H. Interfaces between FSFN and external systems that require changes will be appropriately scheduled and coordinated in-line with project requirements.
- I. Efforts to enhance FSFN's current technical infrastructure to align with CCWIS Requirements are not risky and are cost-effective or efficient for the goals and objectives of Florida's child welfare community.

Constraints

- A. Stakeholder involvement with and understanding of the project will be time-consuming. The majority of staff will not be available full-time for project activities resulting in a matrixed project where staff availability for project work will compete with their work-related duties and will therefore be limited.
- B. Federal matching funds are not guaranteed but are considered critical for the implementation of this initiative.
- C. State project funding is appropriated annually and may be subject to periodic releases throughout the year, depending upon acceptable schedule, cost, performance, and scope control.
- D. Approval by either the Florida Executive Office of the Governor (EOG) (in consultation with the Legislature) or the Legislative Budget Commission (LBC) will be required before any appropriated funds are made available to the Department.
- E. Funding for the project is subject to approval by the Florida Legislature and Administration for Children and Families.
- F. All schedules depend on the continued availability of appropriated funds.
- G. Information requests from external oversight agencies and partners can be time-consuming to produce and

can affect the project's timeline.

- H. State and/or federal statutory changes, changes in administrative rules, and DCF policy changes could affect the project.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

As stated above, a CCWIS project planning team conducted Joint Application Requirements (JAR) sessions in 2019 with key DCF and child welfare stakeholders to identify high-level current business processes. Representatives from each functional area were encouraged to think about the high-level steps necessary to enhance business processes and fill functionality gaps in areas such as adoption, licensing, or investigations. All the requirements developed and documented from this effort can be found in *Section VIII Appendixes: Appendix 1 - Business Requirements Document*. While it was necessary to detail critical activities sufficient to ensure business needs could be achieved, affording flexibility and maximizing available options was also a priority. These requirements will inform the solution selection process and serve as a foundation to extrapolate more detailed requirements and processes as the state proceeds with the CCWIS transition.

2. Business Solution Alternatives

The search for a CCWIS solution for Florida has been an ongoing exercise since the Department and Legislature chose to declare the intent to transition FSFN to a CCWIS system in 2018. In 2017, an assessment of development costs was conducted for 1) changes needed for DCF to maximize federal fund claiming and 2) building on FSFN incrementally until the application had transitioned to CCWIS compliance. At that time, the estimate for both activities was determined to be \$14,695,030 across three years. A subsequent effort in 2019 projected a four-year timeframe to implement a CCWIS solution incrementally at a cost of \$199,623,143.

Since that time, possible solutions have emerged that were not available in 2019. Much has been learned from other states who are also transitioning an existing system to CCWIS compliance. Three states are reporting they have implemented their CCWIS solution; one of those achieved this by developing their requirements on a COTS solution. As a result, there are now three viable alternatives for transitioning to CCWIS, two of which were not previously available:

Alternative 1: Replace FSFN with a full “CCWIS-compliant” system from another state

Alternative 2: Purchase/subscribe to a COTS solution that can be evaluated based on the extent to which it can achieve the objectives show in Exhibit II-1

Alternative 3: Build a custom system on a Service Oriented Architecture, providing considerable user interface and future enhancement flexibility

3. Rationale for Selection

As previously alluded, alternatives 1 and 2 have only recently become viable and a thorough analysis of their ability to achieve the objectives in Exhibit II-1 has not been completed. In addition, the current market costs for all three, considering the ability of each to fulfill the Department’s objectives is pending. A consulting firm is currently being solicited to provide a thorough evaluation of the actual realized benefits and costs.

A high-level discussion of the advantages and disadvantages of each, as well as high-level cost estimates, based on other states’ experiences, is provided here.

Alternative 1

One option currently available is to transfer a fully operational CCWIS system from another state, assuming minimal customization is required to support Florida’s practice model. This option could provide the advantage of

requiring a shorter time to implementation. A 2- to 3-year implementation window is still anticipated. The extent to which customization is required will influence the time to implementation, as well as the cost.

In order to project the potential cost to Florida of executing a state transfer, the project implementation costs of other states were considered. States that have completed their system implementation for which costs have been obtained, include Idaho and Arizona, both of which have smaller customer populations than Florida. Those implementation costs ranged from \$36 million to \$86 million. This includes high-level estimates for customization, data conversion and licensing. However, assuming there could be a cost-savings of about 25% from transferring a total solution, the actual cost that Florida would realize is projected at \$27,000,000 to \$64,500,000. The need to serve a larger customer base or customize the system may minimize or negate savings that could be possible by transferring a complete system.

Maintenance and operations (M&O) costs are projected to be an additional \$8 to \$15 million per year. The actual M & O costs would be determined by the extent to which in-house as opposed to contracted vendor resources would be required.

Other states that should be considered, in this regard, include Colorado, Delaware and Maryland as they indicate they have fully operationalized their CCWIS but their implementation costs have not been obtained. Indiana and Maine may also be considered as their implementation is in progress. However, none of these states have been identified by OCW staff as having similar current information systems or similar systems of care as Florida.

To date, no other state has attempted such a transfer, as there have not previously been any state systems completed and ready for use by another state. In addition, a more thorough analysis is needed to better estimate the ultimate development, implementation and operational costs and determine the extent that OCW's business needs will be met with minimal customization. The 2019 gap analysis would need to be updated, validated or conducted from scratch, based upon all evaluative factors identified by the Department, in conjunction with the procured consultant. This approach will also likely result in minimal flexibility since a complete system is being transferred.

Alternative 2

Purchasing/subscribing to a COTS solution could also be implemented in a relatively short time (shorter than alternative 3) by providing a ready-made, canned solution. This option would also offer the advantage of being cloud-based, using software as a service.

There are only one or two COTS solutions that claim to have a total end-to-end solution, and one of those is still in the development stage. Cost estimates for implementing this option are projected at \$50 to \$70 million. However, this alternative would require recurring licenses and operational costs and a long-term relationship with the vendor. In addition, the need for customization could be substantial. This option could also require greater cost outlay, up-front, and there may be hidden costs that may not be realized in the short-term. This alternative may also not afford the flexibility the CBC lead agencies desire.

In order to accommodate any customization that may be required and hidden costs, actual total costs for this alternative could range from \$60,000,000 to \$100,000,000. In addition, Maintenance and Operations costs are expected to be between \$8 and \$15 million per year.

Alternative 3

A custom modular Service-Oriented Architecture with User Interface flexibility provides the maximum flexibility in the immediate and long-term and would also be adaptable and extensible. In addition, this alternative can be developed using Software as a Service, employing technology that can meet needs not anticipated in the two prior alternatives.

However, this alternative would likely be the most expensive and require a longer timeframe to implementation. In addition, no other state has been identified that has done this, and the only cost estimate available is based upon

costs the current system integrator has provided in the past. This is expected to be \$60,000,000 to \$130,000,000. Maintenance and Operations costs are expected to be an additional \$10 to \$18 million per year.

4. Recommended Business Solution

This section is reserved, in part, for additional input from the consultant being retained to conduct a more in-depth review. As previously alluded, further analysis is needed to fully vet these available options and determine how best to meet DCF's needs in a CCWIS solution and more thoroughly account for all potential costs, evident or hypothetically possible. This will afford the state the opportunity to fully evaluate all the advantages and disadvantages of each to identify the best path forward.

At this time, the technical solution and approach that DCF has selected is the **Alternative 2 solution to implement a COTS CCWIS**. It is expected that no COTS solution will provide 100% of Florida's requirements for a replacement CCWIS, so it is anticipated that there will be some additional components integrated or custom solutions integrated. In other words, the final solution may end up being a COTS solution with integrated enterprise and custom components.

This approach provides the most flexible option and the best fit for Modern System Characteristics. This approach also aligns the CCWIS guidance to use best-of-breed solution components in an interoperable solution as opposed to using single vendor big-bang solution strategies. With this solution, technical components can be implemented more quickly, achieve value and return on investment more quickly, provide for reusability within the Human Service Enterprise, and be shareable with other states.

D. Functional and Technical Requirements

1. Functional Requirements

The 2019 CCWIS planning initiative included conducting Joint Application Requirements (JAR) sessions to define functional priorities for users that will facilitate CCWIS compliance (see *Section VIII Appendixes: Appendix 1 – Business Requirements Document*). Through various requirements elicitation approaches, key stakeholders were asked what they would consider the highest priorities for a solution that aligned with CCWIS requirements. This led to the identification of priorities considered critical to developing a solution that will support frontline workers as well as improve the timeliness, accuracy, and completeness of data collected.

The high priority requirements elicited included:

- Enhanced Mobile Functionality: users want a system that can be accessed from any device;
- Enhanced Document Management: users want enhanced technology in maintaining documentation and securing signatures;
- Enhanced Data Access, Quality and Management: users want access to real time data, automated data quality assurance tools, and improved data reporting functions; and
- Remediated Deficiencies in System Functionality.

Requirements that address deficiencies in system functionality are detailed in user stories found in the Functional Requirements Traceability Matrix that was included in the Business Requirements Document (BRD) (see *Section VIII Appendixes: Appendix 1 – Business Requirements Document*).

2. Technical Requirements

Compliance with CCWIS will also entail certain technical architecture requirements necessary to comply with CCWIS design requirements and meet the needs of the users. Technical requirements that will help meet the needs of users include:

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- Browser and device agnostic access design;
- Real-time data synchronization;
- Event-driven notifications and alerts;
- Bi-directional data exchanges that enable CBC flexibility and improved access to external child welfare supporting data; and
- External customer portals that provide support to caregivers, providers, youth and young adults formerly in foster care, and community partners.

In addition, 45 CFR Section 1355.53 specifies technical requirements that must be met to comply with CCWIS requirements. Automated functions contained in a CCWIS must:

- 1) Follow a modular design that includes the separation of business rules from core programming;
- 2) Be documented using plain language;
- 3) Adhere to a state, tribal, or industry defined standards that promote efficient, economical, and effective development of automated functions and produce reliable systems; and
- 4) Be capable of being shared, leveraged, and reused as a separate component within and among states and tribes.

III. Success Criteria

A critical step in the strategic modernization of DCF's systems/platforms is the development of clear goals and success criteria which align with the overall mission and vision for Florida's CCWIS. The success of the *Modernizing Florida's Comprehensive Child Welfare Information System* project will be assessed using quantitative and qualitative criteria. Each of the success goals aligns with the business objectives and proposed business process requirements outlined in the Strategic Needs Assessment section of this document.

Success Criteria Table			
#	Description of Success Criteria	How will the criteria be measured/assessed?	Who benefits?
1	Full CCWIS Compliance	<ul style="list-style-type: none"> Measured and assessed by ACF through the ACF prescribed compliance review process IV & V Documentation 	<ul style="list-style-type: none"> State of Florida DCF Florida Taxpayers
2	Maximized Federal Funding	<ul style="list-style-type: none"> Assessed by comparing the federal funding claims filed for each year during the implementation of the solution to ensure increases in federal funding participation 	<ul style="list-style-type: none"> State of Florida DCF Florida Taxpayers
3	Enhanced User Support/ Experience	IV&V Documentation of: <ul style="list-style-type: none"> Creation of Youth and Caregiver Self-Service Portals Creation of Self-Service Vehicles (Interactive Dashboards, Appointment Reminders, Document Submission Functionality, On-Line Help and Trainings) Provision of Real-Time Data Automation of Previously Manual Processes Browser and Device Agnostic User Interfaces Built Persona-Based Intuitive User Interfaces 	<ul style="list-style-type: none"> Child Protective Investigators and Case Managers Children and Families Served by DCF
4	Mobile Functionality	IV&V Documentation of: <ul style="list-style-type: none"> Availability of Mobile Device Support Availability of Mobile Assessment Functionality Availability of Offline Work Capability and Subsequent Data Synchronization Availability of Route Management Tools 	<ul style="list-style-type: none"> DCF Staff Children & Families Served by DCF
5	Enhanced Workflow/Workforce Management	IV&V Documentation of: <ul style="list-style-type: none"> Availability of Automated Dynamic Workflow Processes and Updates Availability of Automated Resource Utilization Monitoring Availability of Automated Task Assignment and Prioritization with Alerts Availability of Automated Performance Evaluation and Monitoring Tools 	<ul style="list-style-type: none"> Child Protective Investigators and Case Managers DCF Children & Families Served by DCF

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Success Criteria Table			
#	Description of Success Criteria	How will the criteria be measured/assessed?	Who benefits?
6	Improved Analytics, Reporting and Alerts	IV&V Documentation of: <ul style="list-style-type: none"> • Availability of Real-Time Operational Reporting • Availability of Dashboards and Data Visualization Tools • Availability of Automated Alerts/Notification of Tasks Due • Incorporation of Predictive Analytics Tools 	<ul style="list-style-type: none"> • State of Florida • DCF • Children & Families Served by DCF
7	Interoperability Enabled	IV&V Documentation of: <ul style="list-style-type: none"> • Functionality Built on a Service Oriented Architecture Representational State Transfer (REST) - , Application Program Interfaces (API) - , and Extensible Markup Language (XML) -Based System Components Built • Open Standards-Based Secure APIs Built • Availability of Event-Based and Real-Time Messaging 	<ul style="list-style-type: none"> • DCF Staff • DCF Leadership • Children & Families Served by DCF
8	Enhanced Data Quality and Data Management Tools	IV&V Documentation of: <ul style="list-style-type: none"> • Availability of Data Quality Assurance Tools • Integration with MDM and Data Quality Assurance Tools 	<ul style="list-style-type: none"> • Child Protective Investigators and Case Managers • DCF Leadership • Children & Families Served by DCF
9	Enhanced Batch Processing	IV&V Documentation of: <ul style="list-style-type: none"> • Availability of On-Demand Report Processing • Availability of Asynchronous Data Updates 	<ul style="list-style-type: none"> • Child Protective Investigators and Case Managers • DCF Leadership
10	Reduced Cost of Ownership	Documentation of: <ul style="list-style-type: none"> • Operations and Maintenance Costs Each Year During Implementation • Incorporation of “Best of Breed” COTS Components • Use of SaaS, When Cost-Efficient 	<ul style="list-style-type: none"> • State of Florida • DCF • Florida Taxpayers
11	Customized Solution	IV&V Documentation of: <ul style="list-style-type: none"> • Alignment of Business Rules with Application Functionality • Modularly Built Functionality 	<ul style="list-style-type: none"> • Child Protective Investigators and Case Managers • DCF Leadership • Children & Families Served by DCF
12	Managed Infrastructure	<ul style="list-style-type: none"> • Cloud-Based Model Used • SaaS or IaaS Employed, When Cost-Efficient • Scalability is Provided • Alignment with DCF’s Disaster Recovery (DR) and Continuity of Operations Plans (COOP) 	<ul style="list-style-type: none"> • State of Florida • Florida Taxpayers • DCF • Child Protective Investigators and Case Managers • Children & Families Served by DCF

Successful Procurement

DCF has a deep understanding of implementation processes in the Florida procurement environment. To successfully support the development and execution of procurements to support this project, DCF will utilize the appropriate procurement mechanism to provide open and fair competition while providing options to negotiate the best value for DCF and the state. The following objectives will govern the procurement:

Mitigate the risk of protest: Adhere to the defined processes, procedures, and legal requirements as defined in Florida's state procurement requirements, and by applying discipline and rigor to the process, to ensure the procurement moves forward in a technically correct and transparent manner.

Be precise but flexible enough to allow for innovation: Present the requirements in such a way to allow vendors to propose, innovative technologies or solutions to the procurement process for consideration, while also clearly and appropriately defining DCF's needs and requirements.

Use Subject Matter Experts: Identify DCF subject matter experts early in the process when developing the Invitation to Negotiate (ITN) and implementing the procurement process.

Use Experienced Evaluators and Negotiators: Select knowledgeable and experienced evaluators and negotiators with the appropriate training to ensure outcomes aligned with DCF objectives and vision.

Establish a realistic and achievable procurement plan (schedule): Delineate a realistic and achievable schedule for the procurement that leaves ample room for schedule adjustments without sacrificing critical elements and allowing the process to focus on best value outcomes and not timelines.

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

A. Benefits Realization Table

Benefits for the *Modernization of Florida's Comprehensive Child Welfare Information System* initiative support DCF's goal to transition to a CCWIS compliant system. Consideration of the tangible benefits most likely to be realized focus on the state's eligibility for federal fund claiming that should increase and the costs of system ownership that should decrease.

Exhibit IV-1 identifies the recipient of the benefit, how and when it is realized, how the realization will be measured, and estimates of tangible benefit amounts.

Exhibit IV--1: Benefits Realization Table

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Maximized Federal Funding Participation	DCF State of Florida	By an 8.3% increase in federal fund claiming/ reimbursement	By tracking federal fund claiming and reimbursement to document the % change	FY 24/25
2	Reduced Cost of Ownership of the Child Welfare Information System	DCF State of Florida	By a 10% reduction in maintenance and operations costs	By tracking changes to the maintenance and operations costs for the CCWIS system	FY 24/25

It is important to note that the Exhibit IV-1 above presents the opportunities for DCF to see tangible benefits in funding and ownership costs. However, there will also be significant benefits to the Department, the State of Florida and the child welfare system. These benefits will derive from improved worker productivity (resulting from increased ease of system use for end-users and more modern tools for managing caseloads) as well as overall enhancements to the child welfare system of care that will result from improved flexibility for local service providers and increased retention and morale of child welfare professionals,

In addition, enhancements that are associated with CCWIS compliance, including bi-directional interfaces with external partners, data quality, and improved data monitoring, will result in numerous time efficiencies and improved use for current DCF and CBC resources.

B. Cost Benefit Analysis (CBA)

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

Under the CCWIS final rule, states are eligible for a federal match of up to fifty percent (50%) for development costs as they relate to the approved activity and appropriate program categories. Approved activity defined by ACF

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includes a project task that supports planning, designing, developing, installing, operating, or maintaining a CCWIS.

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

DCF has computed the following values, for Alternative 2, for the *Modernization of Florida's Comprehensive Child Welfare Information System* project using a 4-year cost benefit analysis.

Exhibit IV--2: Cost Benefit Analysis (CBA Form 2A)

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 (*)	\$25,000,000	\$20,000,000	\$20,000,000	\$0	\$0	\$65,000,000
CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related Costs)</i>	\$25,000,000	\$45,000,000	\$65,000,000	\$65,000,000	\$65,000,000	
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	\$12,500,000	\$10,000,000	\$10,000,000	\$0	\$0	\$32,500,000
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input checked="" type="checkbox"/>	\$12,500,000	\$10,000,000	\$10,000,000	\$0	\$0	\$32,500,000
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$25,000,000	\$20,000,000	\$20,000,000	\$0	\$0	\$65,000,000
CUMULATIVE INVESTMENT	\$25,000,000	\$45,000,000	\$65,000,000	\$65,000,000	\$65,000,000	

Characterization of Project Cost Estimate - CBAForm 2C		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	Confidence Level	
Order of Magnitude	Confidence Level	25 - 40%
Placeholder	Confidence Level	

V. Schedule IV-B Major Project Risk Assessment

A risk assessment of the Modernization of Florida's Comprehensive Child Welfare Information System was performed using the risk assessment tool provided in the Information Technology Guidelines and Forms located on the Florida Fiscal Portal. The risk assessment tool collects a snapshot of the current risk characteristics of the project based on DCF responses to 89 questions; classified into eight assessment categories, the results are summarized below.

Based on answers provided by DCF at the time the risk snapshot was taken, the overall risk assessment for the Modernization of Florida's Comprehensive Child Welfare Information System was rated as "High." The primary drivers for a high-risk rating are outlined by the defined risk categories below.

- **Strategic Assessment:** The project will have multiple agency visibility, statewide enterprise visibility, public visibility, and will likely take multiple years to implement. Additionally, some of the project milestones and completion dates are dependent upon state or federal actions.
- **Technology Assessment:** External technical resources will be used to implement the technology solution. Technology alternatives are being considered that will be complex to implement. The proposed solution will require extensive infrastructure and platform changes to complete the work successfully.
- **Organization Change Management Assessment:** This project will require extensive organizational change management as users transition to using more advanced technology to complete their job responsibilities. DCF will need additional resources to support the organizational transformation.
- **Communication:** The primary driver for the risk rating in this category is because a formal communication plan has not been developed.
- **Fiscal Assessment:** The size and estimated duration of the project are significant drivers in the overall risk classification for this category. Likewise, uncertainty around benefit amounts, matching funds, and timing are also contributors. Any statewide reengineering project would have a similar fiscal risk level.
- **Project Organization:** The primary driver for the risk rating in this category is because a formal organizational structure and project plan has not yet been agreed upon nor finalized.
- **Project Management:** The primary driver for the risk rating in this category is because a formal project management plan has not been finalized.
- **Project Complexity:** The proposed project involves more than three (3) stakeholders and more than four (4) external entities. For a project of this size, scope, and complexity, a high-risk level is expected.

The overall risk assessment rating aligns with expectations for a project of this scope, size, and complexity regardless of solution or approach. However, the categories in which risk is classified as "High" are manageable and identified risks can be mitigated through stringent project management. It is anticipated that several categories with high-risk classifications will see reduced risks when formal project management plans are completed, executive stakeholder approval secured, and detailed requirements are finalized. Until the project and funding are approved, it is not prudent to expend additional effort and costs to address identified risk areas in advance. However, an overview of specific elements of Project Management, consistent with the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK) framework, that must be followed is outlined to acknowledge the need for this rigid approach to ensure risks are mitigated.

Exhibit V-1 below is a graphical representation of the summary results calculated by the risk assessment tool as well as the individual risk assessment categories and the risk exposure assessed in each category. When answering the questions in the risk assessment tool, the current state snapshot did not take into consideration the project planning and program activities (described at a high level in Section VII) that will be undertaken to prepare DCF for the next phases of the project. These more detailed planning activities will reduce the overall risks to the project.

Exhibit V-1: Major Project Risk Assessment

Project	<i>DCF Modernizing CCWIS - FSN Replacement</i>					
Agency	<i>Department of Children and Families</i>					
FY 2022-23 LBR Issue Code:	FY 2022-23 LBR Issue Title:					
<i>Issue Code</i>	<i>Issue Title</i>					
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):						
<i>Timothy Lawson, Timothy.Lawson@myflfamilies.com</i>						
Executive Sponsor						
Project Manager	<i>TBD</i>					
Prepared By	<i>Timothy Lawson</i>	<i>8/12/2021</i>				
Risk Assessment Summary						
Business Strategy	<table border="1" style="width: 100%; height: 100%;"> <tr> <td style="width: 50%; height: 50%;"></td> <td style="width: 50%; height: 50%;"></td> </tr> <tr> <td style="width: 50%; height: 50%;"></td> <td style="width: 50%; height: 50%;"></td> </tr> </table>					
Level of Project Risk	Least Risk	Most Risk				
Most Aligned		Least Aligned				
Project Risk Area Breakdown						
Risk Assessment Areas		Risk Exposure				
Strategic Assessment		HIGH				
Technology Exposure Assessment		HIGH				
Organizational Change Management Assessment		HIGH				
Communication Assessment		HIGH				
Fiscal Assessment		HIGH				
Project Organization Assessment		HIGH				
Project Management Assessment		HIGH				
Project Complexity Assessment		HIGH				
Overall Project Risk		HIGH				

VI. Technology Planning

A. Current Information Technology Environment

1. Current System

The Florida Safe Families Network (FSFN) is an enterprise application that supports Florida's child welfare system. FSFN currently supports the previous federal Statewide Automated Child Welfare Information System (SACWIS) requirements, however it does not support the current federal Comprehensive Child Welfare Information System (CCWIS) requirements.

a. Description of Current System

i. Current FSFN Architecture

FSFN was migrated to the Amazon Web Services (AWS) cloud platform in December 2017. A modular hardware and system software approach was used to build the FSFN technical architecture within AWS.

The FSFN technical architecture contains five key component areas, as outlined below:

- Application Web Servers – WebLogic;
- Reporting Servers - SAP Business Objects and File Servers;
- Data Extract, Transform, and Load (ETL) Servers - SAP Data Services;
- Batch Processing - Java, and FTP; and
- Databases - IBM DB2 LUW, Oracle DB.

Described in Exhibit VI-1 (on the next page) is the current FSFN Architecture. Described in the following sections are the FSFN technical architecture components.

ii. Application Web Servers

Amazon Web Services (AWS) hosts the FSFN Web Application for the State of Florida. The Web Application is an enterprise application, accessed by users across the State of Florida. The FSFN Web Application consists of five WAR/EAR deployments in WebLogic, all written in Java.

The diagram presented in Exhibit VI-1 (on the next page) provides a high-level overview of how the WebLogic servers integrate into other components of the system. There are three network boundaries: Outside of the State Network, Inside the DCF Network, and Inside the AWS Network. The Outside of the State Network boundary represents users of the FSFN system that do not access FSFN through a State Office (e.g., Community Based Care) network. The DCF Network boundary represents users and systems that are within the Department of Children and Families networks, and DCF owns the management of the resources. The AWS Network boundary represents the data center hosting services managed by AWS.

iii. Reporting Services

SAP Business Objects operates as the reporting component for FSFN. Business Objects contains over 1,000 reports that are both system reports and user-created reports, including required federal reports.

Exhibit VI-1: Current FSN Architecture

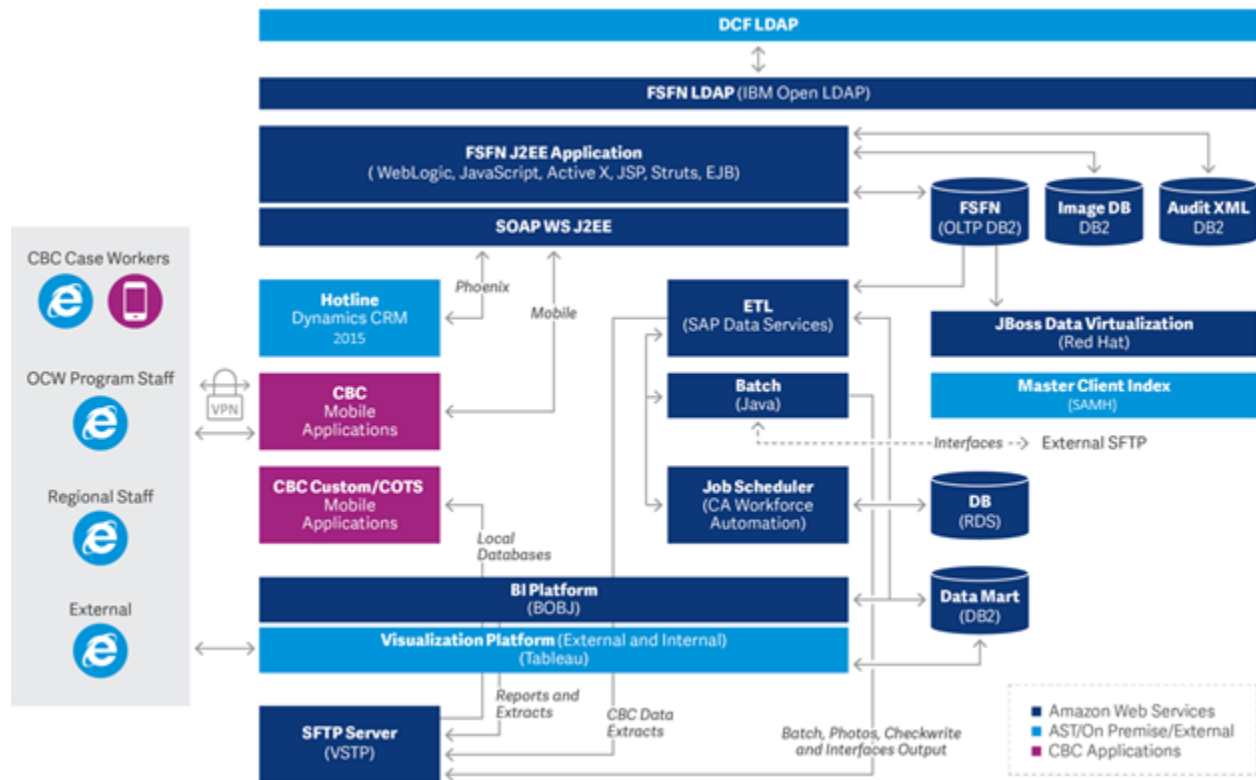
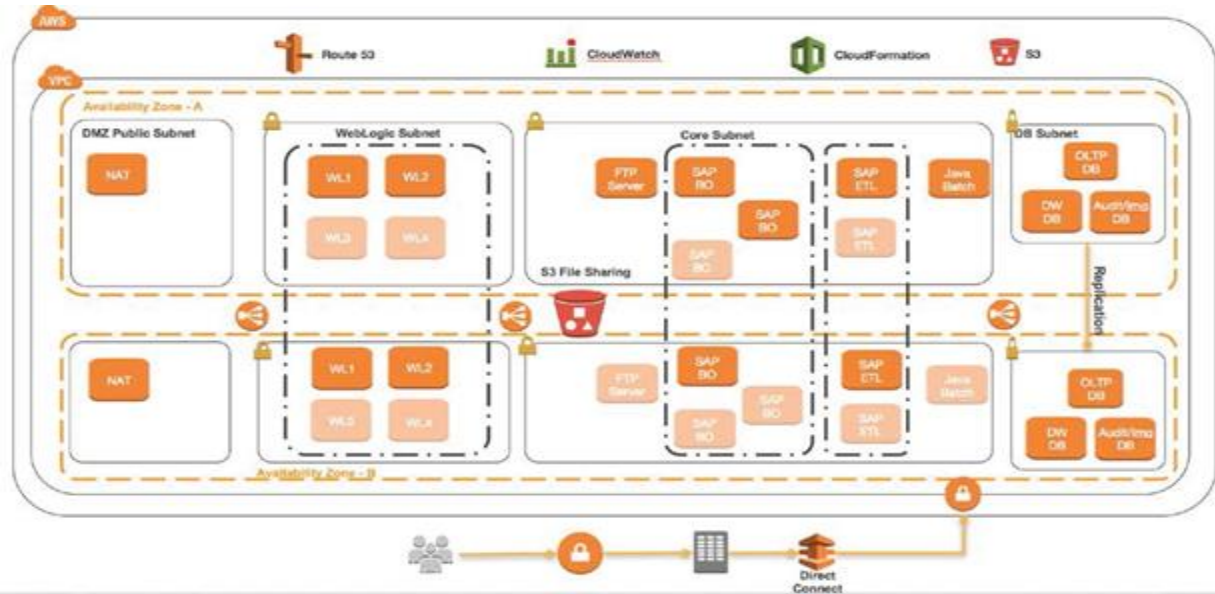


Exhibit VI-2: Current FSN Production Servers



iv. Data Extract, Transform, and Load (ETL)

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

v. *Batch*

Batch jobs are used in FSFN to update data, create shared files, and to interface or share data with other systems (internal or external).

vi. *Databases*

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

1. **OLTP:** The OLTP database contains transactional data and is the system of record for Child Welfare in the State of Florida.
2. **Data Warehouse:** The Data Warehouse contains transactional data which has been reorganized to simplify reporting.
3. **Data Mart:** The Data Mart contains transactional data for client reporting.
4. **Image:** The Image database stores documents uploaded through the Web Application.
5. **Audit:** The Audit database stores entries for user interactions with the Web Application.

b. *Current System Resource Requirements*

The production environment in AWS is designed to maintain high availability for servers needed to support the workforce 24 hours a day, seven (7) days a week, 365 days a year. The environment has the option of scaling the specific instance groups up and down depending on peak hours or increased performance needs, although this has not been needed as the baseline resources have easily met current peak resource requirements.

c. *Current System Performance*

FSFN currently has several issues that impact its ability to meet DCF’s program and business objectives and support users, children, and their families effectively. Exhibit VI-3 describe the key FSFN issues.

Exhibit VI-3: Current FSFN Issues

Issue	Description
20-Year Old Transfer System	FSFN is a 20+ year-old SACWIS system transferred from Wisconsin (WiSACWIS). The original application is based on currently outdated technologies but is critical to day-to-day operation. As a result, over the years, needed modifications have created an extremely convoluted system magnifying the drawbacks of an already antiquated architecture and infrastructure which are not open and flexible enough to support today’s requirements of the dynamic field of child welfare practice. Further, it is not reasonable to assume that FSFN, in its current state, can continue to be supported for much longer.
Difficult to Enhance / Maintain	FSFN’s older, dated technology and infrastructure is challenging and costly to modify. This makes it difficult for DCF to quickly implement new Federal and State mandates or take advantage of state-of-the-art innovations.
Limited Modularity	FSFN is a monolithic, complex, and tightly coupled application that is not designed to allow FSFN functional components to be managed as separate, independent, stand-alone modules, as required by CCWIS. The lack of modularity makes it difficult to make system changes quickly and effectively, which also increases maintenance and support cost and time consumption.
Obsolete User Interface	FSFN’s user interface is more than twelve (12) years old and does not meet

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Issue	Description
(UI)	expectations for usability and enhanced user experience.
Not Meeting CCWIS Requirements	FSFN application design and architecture do not meet the design requirements stated in the CCWIS Rules (45 CFR§ 1355.53). Gaps for CCWIS compliance include, but are not limited to data quality, data exchanges, reporting, and security.
Data Quality	FSFN currently has data quality issues, with duplicate records – individuals, providers, and cases – creating a major CCWIS deficiency. Another critical issue is the unavailability of real time accurate case data. These issues adversely impact the productivity and decision-making capability of the workers as well as potential federal fund claiming.
Limited Support for Mobility	FSFN currently offers limited support for user mobility and prevents field access to data and documents in real-time or near real-time. This reduces the amount of time that workers can spend out of the office working substantively and directly with clients.
Limited Document Management	FSFN currently provides limited document management support to users. The existing File Cabinet structure allows file storage but lacks indexing capability for easy file retrieval; it also limits the types of media that can be stored, managed, and retrieved.
Limited Interoperability	FSFN does not support interoperability required for bi-directional data exchanges required by CCWIS. Critical external systems not yet integrated include Education, Courts, Juvenile Justice, and others.
Limited Browser Capability	FSFN currently supports a limited number of browsers: Edge in IE 11. This limits user access to FSFN functionality via the Web.

2. Information Technology Standards

Exhibit VI-4 identifies the Information Technology Standards used for FSFN.

Exhibit VI-4: Information Technology Standards for FSFN

FSFN Information Technology Component	Information Technology Standard
Framework	Java Enterprise Edition
Web Page Development language	Java Server Pages with Struts framework build HTML pages
Web Services	W3C
Cascading Style Sheets	W3C
HTML	W3C
JavaScript	W3C (legacy components utilize Microsoft proprietary extensions)

Database Queries	SQL (ANSI standard with IBM proprietary extensions)
Business Logic	Java
Application Protocol I Distributed Directory Information Services over IP	Lightweight Directory Access Protocol (LDAP)

B. Current Hardware and/or Software Inventory

1. Server Inventory

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

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

The diagram above, in Exhibit VI-2: FSFN Production Servers, provides a high-level architecture of the production environment's primary Virtual Private Cloud (VPC).

2. Software Inventory

Exhibit VI-5 contains a specific list of licensed software and quantities needed for the FSFN system at a Cloud Service Provider. It is the assumption that all other software licenses are under a General Public License (GPU).

Exhibit VI-5: Software License Requirements

Software	License Requirements
IBM DB2	4220 PVUs
Oracle BEA WebLogic	40 (80 Virt Cores) 9 UN Web Intelligence CPU 3 UN BOE Enterprise Premium CPU
SAP BOE and Data Services	UN BOBJ Data Integrator Premium per 4-CPU 80 Named User Dev/Test 20 Crystal Developer 1 SAP Xcelsius 25 Agents
CA Workload Center (AutoSys)	1 Prod server 1 Test server iDash license

C. Proposed Technical Solution

The proposed CCWIS technology solution should provide for case worker self-service functionality via mobile devices and dashboards, while continuing to meet needs for security, privacy, and confidentiality. This solution’s elements, summarized below in Exhibit VI-6, also align with ACF CCWIS requirements.

Exhibit VI-6: Technical Requirements

CCWIS Requirement	Description of Technical Requirements
Enhanced Modularity	Use of a modular, flexible, agile approach including the use of open interfaces to provide design flexibility, Reduced development costs, Phased development, and Increased product integration options.
Enhanced Data Exchanges	Enable efficient data exchanges with State/Federal agencies, Courts, Education, National Electronic Interstate Compact Enterprise (NIECE) information sharing.
Compliance with Industry Standards	Alignment with, and incorporation of, industry standards: The Health Insurance Portability and Accountability Act of 1996 (HIPAA) security, privacy, and transaction standards.
Reusability / Portability	State agencies must own the application & data along with the reuse of enterprise assets.
Business Results	Supports accurate and timely processing of eligibility and other financial objectives
Data Quality / Reporting	Capability to produce reports supporting program evaluation, Federal and state outcome measurement, continuous improvement in business operations, and transparency and accountability.
Interoperability	Supports integration with the appropriate entities providing Finance, eligibility, and outreach functions

1. Technical Solution Alternatives

Three approaches for incorporating the above technical elements were considered for this Schedule IV-B.

a. State Transfer

Transfer a fully operational CCWIS system from another state, pending confirmation that minimal customization would be required to align with Florida’s practice model and include the technical elements identified above.

b. Commercial-off-the-Shelf (COTS)

Purchase commercial off the shelf software (COTS), pending confirmation that minimal customization would be required to align with Florida’s practice model and include the technical elements identified above.

c. Custom Solution

Build a system using Service-Oriented Architecture that provides User Interface Flexibility and maximizes adaptability and extensibility.

2. Rationale for Selection

Exhibit VI-7 provides a list of the criteria used in evaluating the technology capabilities for the proposed CCWIS

implementation alternatives.

Exhibit VI--7: Solution Alternatives Evaluation Criteria - Technology

Evaluation Criteria	System Characteristics
User Support	<ul style="list-style-type: none"> • Self-service online tools • Supports internal and external caseworkers and program staff • Providers and Citizens • Self-service features provide access to interactive dashboards, appointments, document submissions, online help, and training
User Authentication and Access & Security	<ul style="list-style-type: none"> • Federated authentication extending to external Organizations • Multi-factor authentication • Security Hardening in every system component • Encryption of Data at Rest and In Motion • Highly restricted data access
User Experience	<ul style="list-style-type: none"> • Browser and Device agnostic user interface • Persona-based intuitive user interface • Mobile functionality
Interoperability	<ul style="list-style-type: none"> • Service-Oriented Architecture (REST API, XML API) based system components • Open standards-based Secure APIs • Asynchronous and Real-time Event-Based messaging (often via an ESB)
Data Exchanges	<ul style="list-style-type: none"> • Standards-based scalable data exchanges with internal and external agencies (Courts, Education, Juvenile Justice, and MMIS, etc.) • Schedule based bi-directional data exchanges
Reuse of Existing Technology Assets	<ul style="list-style-type: none"> • Reuse and integrate with existing IT assets • Maximize the use of DCF Enterprise IT roadmap assets
Analytics and Reporting	<ul style="list-style-type: none"> • Real-Time Operational Reporting • Dashboards and Data Visualization • Predictive Analytics
Business Rules	<ul style="list-style-type: none"> • Use of Rules Engine • Written in Natural Language
Data Management and Data Quality	<ul style="list-style-type: none"> • Implement and align with CCWIS Data Quality plan • Integrate with MDM and Data Quality tools
Batch Processing	<ul style="list-style-type: none"> • Processing can be run at any time • Asynchronous Updates
Workflow	<ul style="list-style-type: none"> • Manages human and machine tasks performed internally and external to the traditional organization • Processing Status transparency with internal and external stakeholders • Dynamic workflow definition and updating
Enterprise Architecture Alignment	<ul style="list-style-type: none"> • Service-Oriented Architecture • Use of Best of Breed COTS components or Software Services • Alignment with DCF Enterprise Architecture Roadmap
Cost of Ownership	<ul style="list-style-type: none"> • COTS • SaaS

Evaluation Criteria	System Characteristics
Application Development Strategy, Methodology, and Approach	<ul style="list-style-type: none"> • Alignment with DCF SDLC Methodology • Use of automated tools for release and testing
Solution Customization	<ul style="list-style-type: none"> • Align Business Rules with Business Process Requirements • Modular Design
Application Maintenance	<ul style="list-style-type: none"> • COTS product • Standards based Application changes • Application Maintenance
Infrastructure	<ul style="list-style-type: none"> • Cloud based • SaaS or IaaS • Scalable • Alignment with DCF DR and COOP
Alignment with Federal Requirements	<ul style="list-style-type: none"> • Alignment with ACF CCWIS Standards

3. Recommended Technical Solution

The technical solution and approach that DCF has selected is the **Alternative 2 solution to implement a COTS CCWIS**. It is expected that no COTS solution will provide 100% of Florida’s requirements for a replacement CCWIS, so it is anticipated that there will be some additional components integrated or custom solutions integrated. In other words, the final solution may end up being a COTS solution with integrated enterprise and custom components.

This approach provides the most flexible option and provides the best fit for Modern System Characteristics. This approach also aligns the CCWIS guidance to use best-of-breed solution components in an interoperable solution as opposed to using single vendor big-bang solution strategies. With this solution, technical components can be implemented more quickly, achieve value and return on investment more quickly, provide for reusability within the Human Service Enterprise, and be shareable with other states.

E. Proposed Solution Description

1. Summary Description of Proposed System

Alternative 2 – Replace FSFN with Best of breed COTS Products

This alternative involves replacing the current FSFN components with modern, “best-of-breed” solution components that offer greater flexibility, interoperability, performance, and data quality – while providing alignment with DCF’s overall enterprise strategy. Exhibit VI-9 depicts the proposed FSFN “To-Be” representative architecture. The proposed solution will result in a strategic completion of Modernization in 2-3 years depending on the procured COTS solutions. The resulting application will meet DCF business objectives for a more integrated service delivery model that is worker-centered, outcome-driven, and less costly to maintain. It will also build on a modern architecture foundation, greatly reducing the risk of technical obsolescence that exists in the legacy FSFN system today. It will maximize technical and business process benefits and provide the flexibility and scalability needed for future enhancements.

The solution is designed with integration practices that are based on secure and open standards that allow for easier integration with other agencies and business partners.

SCHEDULE IV-B FOR MODERNIZING FLORIDA’S COMPREHENSIVE CHILD WELFARE INFORMATION SYSTEM

Even though there will be no specific CCWIS functionality initially to support the needs of Adult Protective Services (APS), we anticipate that APS will be able to perform their required functions using CCWIS in a manner similar to their approach today using FSFN.

For the main APS functions:

- **Intake** – The CCWIS Intake processes are very similar to those for APS; in fact, they are so similar that APS should be able to use the CCWIS Intake function with little or no customization.
- **Investigation** – APS should be able to use the CCWIS Investigation function; however, this process could require a little more customization to meet the needs of APS.
- **Case Management** – The Case Management needs of APS will not be met by the CCWIS Case Management function. It is anticipated that an APS-specific case management solution will be part of a DCF enterprise case management solution.

Currently, there are no funds included in the CCWIS cost estimates to cover the costs of implementing APS functions.

Exhibits VI-8 and VI-9 depict the system architecture conceptualized for the implementation of Alternative 2 (the State of Idaho was used to create a visual of an architecture they implemented a COTS solution for their CCWIS system). These include both a representation of the service oriented architecture as well as the overall system architecture. Note that the actual COTS products selected through a competitive procurement may be different than those illustrated.

Exhibit VI--8: CCWIS Conceptual Service Oriented Architecture

Modular and Loosely Coupled Service Oriented Architecture

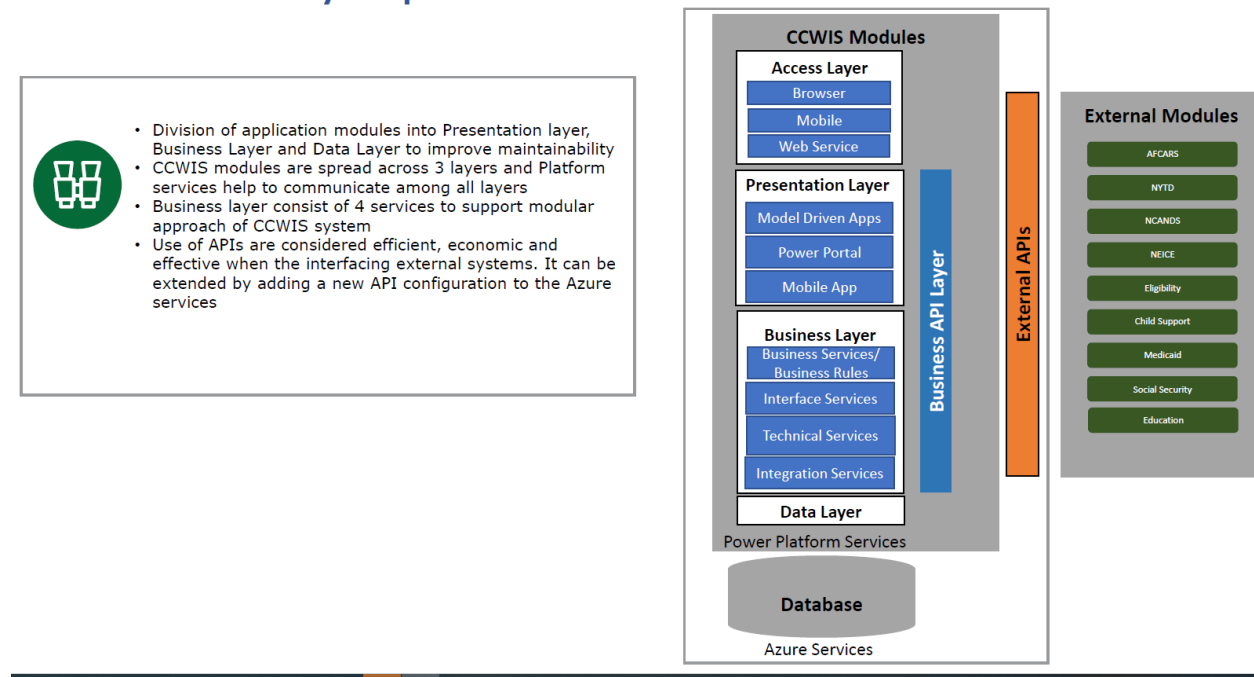
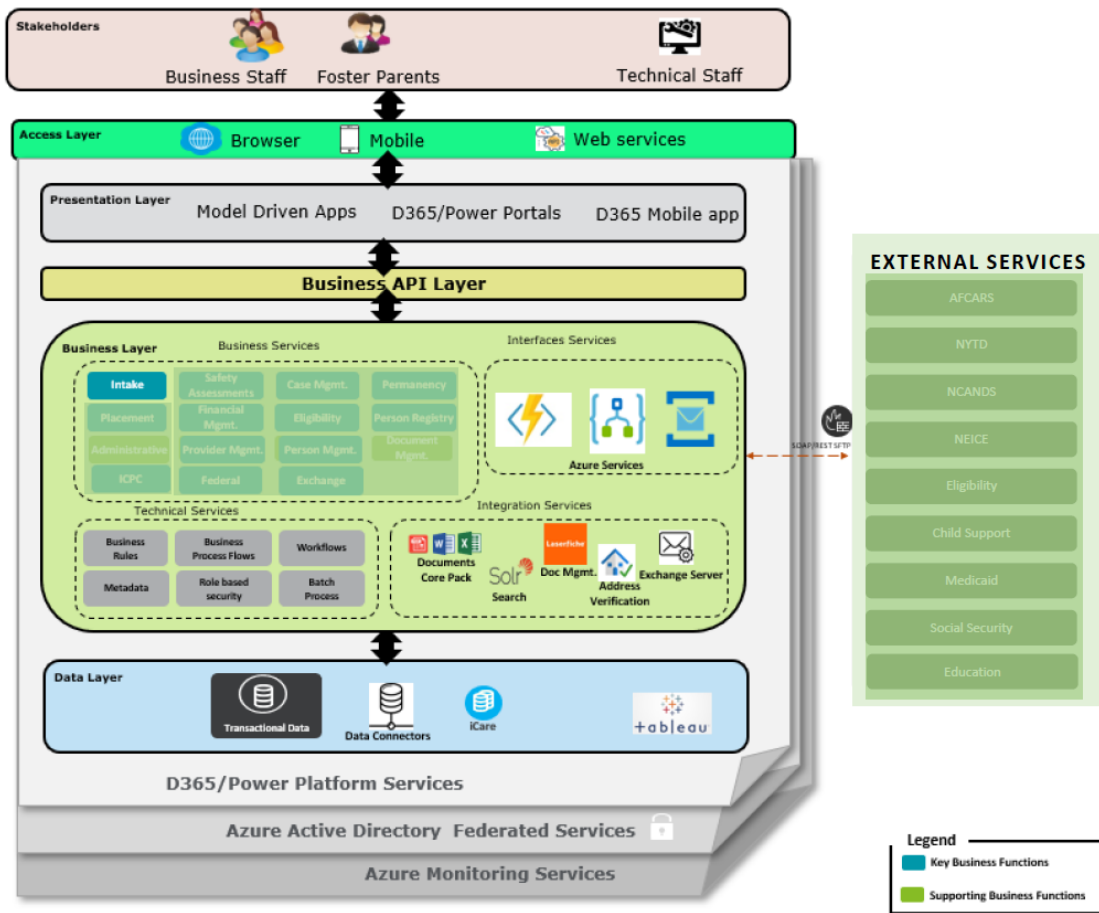


Exhibit VI--9: CCWIS Conceptual Architecture



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

The resource and summary funding level requirements for the proposed solution are currently unknown. It is anticipated that the consultant hired to fully analyze the available solution alternatives will be able to better define those variables. The impact of specific projects on resources and funding levels will be documented during the project definition, selection, and approval process.

E. Capacity Planning

The FSFN system is currently operating on Amazon Web Services as the Cloud Platform to host this system. Storage capacity is paid on a usage basis and exponential growth is available.

The solution employing COTS, would be on a Software as a Service (SaaS) platform which would similarly have the benefit of not being limited by capacity. One of the benefits of that model is that the vendor can easily/quickly increase capacity, at cost, as needed.

VII. Schedule IV-B Project Management Planning

A detailed Project Management Plan will be developed following the selection of the solution and procurement of a system integrator vendor. This plan will include identifying project deliverables and milestones. This section describes the project elements and management artifacts that will be used to manage the multiple project components, collectively referred to as the project, which will enhance the current FSFN system. These are based on the Project Management Institute’s (PMI) Project Management Body of Knowledge (PMBOK) framework. All project customers, stakeholders and participants are expected to be familiar with the outlines of this framework.

Project Name

Modernizing Florida’s Comprehensive Child Welfare Information System

Project Charter

A project charter will be drafted to establish the foundation for the project and ensures that all participants share a clear understanding of the project purpose, objectives, scope, approach, deliverables, and timeline. It will be agreed to and signed by the key stakeholders and will serve as a reference of authority for the management of the project. It will, at a minimum, include the following:

Purpose

The purpose of the Modernizing Florida’s Comprehensive Child Welfare Information System project is to enhance the current child welfare system through an implementation model that achieves the goal to meet the Comprehensive Child Welfare Information System (CCWIS) requirements in a manner that aligns with Florida’s Child Welfare Practice Model.

Roles and Responsibilities

A Project Management Team led by a DCF PMP and a System Integrator PM will be responsible for the day-to-day execution of the project and will report to the DCF Project Director who will be responsible for the overall successful delivery of the project. The project director will report to the Steering Committee, which is chaired by the project sponsor.

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

The business stakeholders include experienced DCF staff, CBC staff, and other state and federal partners from the program’s core business areas. These stakeholders will provide specific subject matter expertise (SME) and will be instrumental in assisting the project team throughout the system development project lifecycle for the new business system. They will also assist in the review of project deliverables.

Exhibit VII-1, proposes roles in the project organization and a summary of corresponding responsibilities. These roles and responsibilities will be more fully defined and agreed to during the project planning phase.

Exhibit VII-1: Project Organization Members - Roles & Descriptions

Role Name	Description	Assign to
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SCHEDULE IV-B FOR MODERNIZING FLORIDA'S COMPREHENSIVE CHILD WELFARE INFORMATION SYSTEM

DCF Executive Sponsor	<ul style="list-style-type: none"> • Provides executive oversight and support to the project • Acts as final escalation for all issue resolution • Chairs the Executive Steering Committee and directs governance 	DCF Secretary or Designee
DCF Project Business Sponsor	<ul style="list-style-type: none"> • Provides programmatic decision-making authority • Champions the project within DCF • Provides guidance on overall strategic direction • Provides business resources for project success • Ensures Programmatic responsibility for successful development and implementation of the project 	DCF OCW
DCF Project IT Sponsor	<ul style="list-style-type: none"> • Provides IT decision-making authority • Provides input in the development of strategy and vision • Champions the project within DCF IT • Provides guidance on overall strategic direction • Provides IT resources for project success • Provides subject matter expertise for system development lifecycle phases of the project • Facilitates communication with the Executive Management Team 	DCF CIO
DCF Project Budget Officer	<ul style="list-style-type: none"> • Controls project budget • Provides budget-related input into project scope, project change control, and contractual financial impacts 	TBD
DCF Project Director	<ul style="list-style-type: none"> • Has overall responsibility for the successful development and implementation of the project • Oversees the development and implementation of the project • Oversees the Project Management Office for the project • Liaisons with IT Sponsor for resources • Liaisons with Project Business Sponsor for business resources and day-to-day activities 	DCF Designee
DCF Project Manager	<ul style="list-style-type: none"> • Responsible for day-to-day project oversight • Provides overall guidance and direction to the System Integrator • Coordinates with the Project Director for resources • Works with System Integrator Project Manager to ensure stakeholder needs are met • Has daily decision-making authority • Oversees and manages the project plan • Facilitates the Business Stakeholders Committee • Coordinates project resources, budgets, and contract management • Reviews and provides feedback on project deliverables • Responsible for project management, including scope, risk, communication, quality and change control • Liaisons with external agencies as needed 	TBD

<p>Project Business Stakeholders Committee <i>(Group of internal and external stakeholders from DCF and other agencies.)</i></p>	<ul style="list-style-type: none"> • Provides input on functional requirements • Participates in project user group meetings and sessions • Provides input on project activities • Reviews and comments on project documents and deliverables • Disseminates project information and updates to local internal/external stakeholders 	<p>TBD</p>
<p>Systems Integrator (SI) Project Manager</p>	<ul style="list-style-type: none"> • Reports to the Project Director • Works with the Project Management Office to seek guidance and direction • Responsible for systems integrator and project management activities • Leads the planning and development of project deliverables • Develops and manages the project schedule and associated tasks • Maintains all project documentation including detailed project plan • Ensures adherence to the process and project management standards and guidelines • Responsible for project management areas including scope, risk, quality and change control • Prepares formal project reports and presentations • Ensures deliverables conform to DCF standards • Facilitates project related meetings as required 	<p>Vendor System Integrator</p>

Project Scope

The scope of this project will require a detailed requirements definition effort and identification of business process re-engineering needs. The need for design, development, testing, and implementation activities will be fully defined following the selection of a CCWIS solution to support DCF functional and technical areas across the child welfare system.

Project Objectives

The project objectives are to:

- Evolve the current FSFN to a new modular solution that aligns with new federal CCWIS requirements;
- Support and maximize continuation of federal matching funding for implementing CCWIS;
- Increase data quality;
- Enhance worker efficiency, accuracy, and accountability; and
- Provide leadership with the analytical tools required to support achievement of the DCF OCW goals and objectives.

Project Management

The primary project management methodology used by DCF is based on the Project Management Institute's (PMI's) Project Management Framework. The DCF Project Manager, and the vendor Project Manager will agree upon an appropriate project implementation methodology.

Regardless of the specific implementation methodology employed, standard project control documentation/

mechanisms, agreed to by all stakeholders, will be produced, including:

- Project Charter
- Contract(s) Management Plan
- Project Management Plan
- Project Schedule Management Plan
- Communications Management Plan
- Deliverables Management Plan
- RAIDL (Risk Action Item, Issue, Decision, and Lessons learned) Management Plan
- Project Change Management Plan
- Organizational Change Management Plan
- Quality Management Plan
- Financial Management Plan
- Procurement Management Plan
- Monitoring and Reporting
- Training Plan

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

- Monitoring and reporting project progress, as well as identifying, documenting, evaluating, and resolving project-related challenges that arise;
- Reviewing, evaluating, and making decisions regarding proposed changes to the project scope will follow the defined change management processes outlined in the Project Change Management Plan;
- Identifying risks, developing timely risks mitigation strategies, monitoring, and managing to minimize the impact on the project as required by the RAIDL plan;
- Identifying issues, developing timely issue resolution strategies, monitoring, and managing to minimize impact on the project as required by the RAIDL plan;
- Monitoring the quality of project deliverables and managing deficiencies as defined in the Quality Management Plan and the Contract; and
- Monitoring the contracts to ensure the terms of the contract and statement of work are being met.

External Project Oversight

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

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

The DCF Project Management Team will work closely with FDS to ensure that sufficient external project oversight is established and maintained throughout the project.

Approach

This project is expected to take 36 to 48 months to fully implement the CCWIS solution.

The support services of PMO, OCM, IV&V, and Training will span the entire lifecycle of the solution implementation work.

A tentative schedule is provided here:

Project Initiation (September 2021 – March 2022)

1. Review all CCWIS planning artifacts produced during the last three years of requirements gathering and solution evaluation to compile a lessons learned reference to guide the project efforts.
2. Prepare/draft the artifacts needed to initiate system integrator procurement activities on July 1, 2022.
3. Confirm availability of funding from the Legislature and Federal Funding Partner
4. Draft a Project Charter (to be finalized following selection of the solution vendor)

Project Planning (April – June 2022)

1. Define Scope and Budget
2. Execute Procurements
3. Develop Project Management Schedule, including the Work Breakdown Schedule and Gantt Chart
4. Hire Project Management and IV&V Resources

Project Execution (July 2022 – September 2022)

1. Select Solution System Integrator/Vendor
2. Draft Project Control Documentation (including defining all project activities, based upon the solution selected)
3. Establish Project Organizational Structure

Project Execution (October 2022 – June 2025)

1. Define all Project Deliverables and Schedule
2. Finalize Project Management Plan and all Project Control Documents:
 - a. Scope Management Plan
 - b. Requirements Management Plan
 - c. Scope Baseline
 - d. Project Organization and Governance Structure
 - e. Work Breakdown Structure
 - f. Schedule Management Plan
 - g. Schedule Baseline, Resource Loaded
 - h. Cost Management Plan
 - i. Cost Baseline (from determined budget)
 - j. Project Spending Plan
 - k. Quality Management Plan
 - l. Human Resource Plan
 - m. Communication Management Plan
 - n. Risk Management Plan
 - o. Procurement Management Plan
 - p. Process Improvement Plan
 - q. Change Management Plan
 - r. Deliverable Acceptance Plan
 - s. Issue Management Plan

- t. System Security Plan
 - u. Requirement Traceability Matrix
 - v. Organizational Change Management Plan
 - w. Configuration Management Plan
3. Perform according to the Project Management Plan

Project Monitoring and Control (October 2022-June 2025)

1. Implement a Risk Management Plan, as follows:

Risk Identification

Any project team member may identify potential project risks resulting from normal activity on the project. Risk identification defines future events that could have an undesirable impact on project cost, schedule, business, or technical performance. Upon identification, a statement is developed that establishes a concise definition of the risk. The description articulates a clear cause and effect relationship that supports effective risk mitigation actions. The definition of the risk should be well defined and bounded. Failure to do so can complicate the analysis activity and may result in the implementation of incorrect preventative action.

Ordinarily when a project team member identifies a potential risk, this risk is entered directly into the risk tracking tool. In some cases, the potential risk is provided to a designated individual(s) for review and concurrence prior to entry into the Risk database. The Risk Coordinator is notified. Potential risks are presented to and evaluated by a Risk Management Working Group established for the project. When a potential risk originates from a task, the Risk Originator should be prepared to present the risk.

Once the risk is confirmed, it shall be assigned a unique designation and logged into the risk tracking tool. Analysis is required to verify the risk is specific and fully defined before it becomes a formal risk with a managed risk mitigation strategy. Risks are reviewed either weekly or biweekly.

Risk Analysis

Risk analysis is the process of estimating the probability of occurrence and the magnitude of impact for each risk event. After the risk has been identified risk analysis is conducted. The Risk Originator or the Risk Coordinator conducts the initial analyses. The risk is reviewed in relation to probability of occurrence, impact assessment, and timing. The information resulting from the risk analysis is captured and maintained in the Risk database. The result of the risk analysis is a characterization of the magnitude of the risk.

The probability of occurrence estimates the likelihood that the risk will become a reality. The probability rating is used in establishing priorities and is based on experience and insights, and often reflects an expert's (or a team's) best judgment coupled with a high, medium, or low evaluation. The scale for probability of occurrence of the risk is characterized as follows:

- HIGH** **Better than 70 percent chance for occurrence of the risk**
- MEDIUM** **Between 30 and 70 percent chance of occurrence**
- LOW** **Less than 30 percent chance of occurrence.**

Impact Assessment is defined as the magnitude of any resulting deviation from the desired outcome. Impacts may be assessed quantitatively but are generally stated in qualitative terms. For example, the real dollar cost of an outcome might be estimated as part of the assessment; but the impact is stated as severe, high, medium, or low based on a standard scale.

Timing identifies when, if the risk occurs, it will affect the project. Timing is characterized as short (30 days), medium (30 – 60 days), and long (beyond the next 60 days).

There are several tools and sources of data to understand how probability and impact affect the project's cost, schedule or objectives, such as PERT, GANTT, simulations, historical data and expert judgment (internal or external). The project shall use the baseline project schedule as the primary tool to assist in understanding impact to schedule and resources. Cost impact is derived from analyzing impact to resources and associated expenditures for hardware, software, telecom and personnel. Risk analysis also helps determine the prioritization of all risks and what resources to apply to address each risk.

Mitigation Planning

The project team shall define response strategies to be performed to minimize the probability or impact of identified risks to the project. These strategies will occur throughout the life cycle and will encompass the full range of project management initiatives including:

- Resource allocation and management
- Hardware/Software design or configuration
- Schedule management
- Elevation of risks within executive chain-of-command
- Early and ongoing communications throughout the project team

Mitigation strategies are noted and tracked within the risk tracking tool and the Executive/Project Status Report.

Risk Documentation and Tracking

All open risks associated with the project are discussed, and details associated with those risks are updated at a regularly scheduled meeting of the Risk Management Working Group. In addition, specific information such as Risk Name, Owner, Business Owner, History, Contingencies, Mitigations and Closure data are maintained in the risk tracking tool. A summary of all risks is provided in the Executive/Project Status Report. The risk tracking tool is designed as a centralized repository to record, manage, and track project information, including risks, at an individual project level. The higher the level of impact and probability of the risk, the more detailed the information. The project Risk Coordinator is responsible for entering a project's risks and amplifying information.

Responsibility for risk control must be defined clearly to effectively implement a risk response. The Risk Management Working Group will utilize an action item list or responsibility assignment matrix to accomplish this activity. The Project Manager and Risk Owner will maintain regular communication channels with all parties to assess, evaluate, and monitor risks. Consensus among the team members or direction from the Project Manager and/or Risk Coordinator is required before risk information is officially changed. The Risk Management Working Group is the established project management organization for risk control activities.

Risk Closure

A risk may be closed by the Risk Management Working Group if it is determined all action items associated with the risk have been complete, or the risk will no longer impact the project. The risk may also be closed if the Risk Management Working Group determines that the risk should be elevated to the status of an issue. In this circumstance, the Risk Management Working Group has concluded that the proposed mitigation strategy associated with the risk cannot control the impact or probability of occurrence and other resources are required. All closed risks will indicate the date the risk was closed, who initiated the action and any comments appropriate to the clarification of the action. This data is maintained in the risk tracking tool and reviewed regularly.

2. Implement a Project Communication Plan

Project communication is the exchange of project-specific information with the emphasis on creating understanding between the sender and the receiver. Effective communication is one of the most important factors contributing to the success of a project.

Three clear communication channels will be established. They include:

- Upward channel with senior executives and steering committee to highlight issues, risks and scope exceptions
- Lateral channel with sponsor(s), stakeholders, and other agency management involving requirements, resources, budgets and time allocations
- Downward channel with the project team highlighting processes, activities, dates, status and general team briefings

A communication plan describes how project communication events will occur across the channels described above. The events themselves may be periodic or one-time in nature.

VIII. Appendices

A. Appendix I – Business Requirements Document

The BRD (attached below) provides DCF and the reader with an understanding of the high-level business requirements necessary to align the State's child welfare system to CCWIS requirements.



BRD.docx

The Functional Requirements Traceability Matrix, in the Business Requirements Document, provide user stories gathered to address functional gaps within FSFN that will need to be addressed to achieve CCWIS compliance.



Requirements
Traceability Matrix.xls

B. Appendix II – Cost/Benefit Analysis



CBA MODERNIZING FLORIDA'S CCWIS Final (1).xlsx

C. Appendix III – Risk Assessment



Risk Assessment - Modernizing CCWIS.xlsx

SCHEDULE IV-B FOR CHILDREN'S LEGAL SERVICES LEGAL CASE MANAGEMENT SYSTEM

For Fiscal Year 2022-23




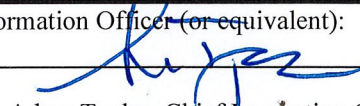
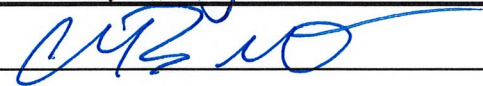
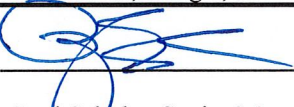

September 15, 2021

DEPARTMENT OF CHILDREN AND FAMILIES

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Children and Families	Schedule IV-B Submission Date: August 30, 2021
Project Name: Children's Legal Services (CLS) Legal Case Management System	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2022-23 LBR Issue Code: 36338C0	FY 2022-23 LBR Issue Title: Children's Legal Services (CLS) Legal Case Management System
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Stephanie Zimmerman, 850-443-6273, stephanie.zimmerman@myflfamilies.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: 	Date: 9/15/2021
Printed Name: Shevaun L. Harris, Secretary	
Agency Chief Information Officer (or equivalent): 	Date: 9/15/21
Printed Name: Adam Taylor, Chief Innovation Officer	
Budget Officer: 	Date: 9/15/2021
Printed Name: Chad Barrett, Budget, Finance & Accounting Director	
Planning Officer: 	Date: 9-15-2021
Printed Name: Lori Schultz, Senior Management Analyst	
Project Sponsor: 	Date: 9/15/2021
Printed Name: Stephanie Zimmerman, Deputy Director & Statewide Director of Appeals	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Stephanie Zimmerman, 850-443-6273, stephanie.zimmerman@myflfamilies.com
Cost Benefit Analysis:	Deborah Stevens, 850-320-9305, Deborah.stevens@myflfamilies.com
Risk Analysis:	Lori Schultz, (850) 528-2574, lori.schultz@myflfamilies.com

Technology Planning:	Deborah Stevens, 850-320-9305, Deborah.stevens@myflfamilies.com
Project Planning:	Lori Schultz, (850) 528-2574, lori.schultz@myflfamilies.com

General Guidelines

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

Schedule IV-B is not required for requests to:

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

Documentation Requirements

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

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

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

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

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

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

SCHEDULE IV-B FOR CHILDREN'S LEGAL SERVICES LEGAL CASE MANAGEMENT SYSTEM

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

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

A. Background and Strategic Needs Assessment

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

1. Business Need

Children's Legal Services (CLS) requests funding to create a legal case management system for 650 legal users (590 CLS, 60 OGC) that provides statewide access to Department of Children and Families (Department) legal cases, provides a legal compliance dashboard, automates documents, enables a document submission portal, keeps confidential notes and court dates, automatically notifies caregivers of court dates, and integrates with Microsoft products and the Florida Safe Families Network (FSFN) system (and its successor). The proposed system will be expected to eliminate dependency on outdated or non-existent software, introduce modern software and industry standard practices and procedures, leverage out-of-the-box functionality, greatly reduce manual processes, and increase reporting accuracy and efficiency.

Currently, CLS does not have a universal legal case management system to manage the thousands of judicial cases that enter the system every year. CLS uses a myriad of different locally developed solutions to fill the void: Windows share drives, paper files, paper court note sheets, and FSFN. None of the current solutions interface with each other, causing staff to enter data multiple times and enter data manually that should easily be completed through an automated process.

Because no system exists, there is a lack of immediate access to documents across the state and a lack of conformity in how documents are created and maintained, crippling the Department's ability to have immediate access to documents in the courtroom, in response to Critical Incident Rapid Response Teams, in response to media inquiries, and in response to public records requests. Further, even though CLS has some statewide templates, because there is no content management system available to the firm, CLS leadership lacks the immediate ability to push updated templates to the field as Florida law, case law, administrative code, or Department policy is modified. Instead, it must depend upon each member of its 590-member firm deleting the old version on their personal computer and using the new version.

If this project is not funded, CLS will have to continue to rely upon a complex web of local solutions to manage the thousands of cases that it must have immediate access to, resulting in disparate case records, lack of universal access, and a loss of hours in duplicating information in multiple environments.

2. Business Objectives

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.

CLS requests the creation of a case management system for its legal team that would provide document and content management. The overall objectives of the system include:

- **Enhanced Accessibility**
 - A single access point to obtain documents for legal proceedings, Department projects, and public records requests.
- **Uniformity of Business Records**
 - A structured system tailored to the evolution of a legal case, instead of reliant upon individual worker preferences.
- **Data Quality/Reporting**
 - Capable of tracking statutory compliance and producing reports to supervisors regarding performance.
- **Interoperability**
 - Supports integration with current Department databases, including FSFN, and Department software such as Microsoft Office 365 and Microsoft Dynamics.

In addition to having a document system that provides immediate, statewide access to case files, the system should have at least two functions: A Legal Compliance Dashboard and a Document Automation module.

The Legal Compliance Dashboard would have the following objectives:

- **Statutory Timeframe Case Analysis**
 - The case dashboard can analyze and report the documents that must be filed or the hearings that must be held in each case based upon statutory, rule, code and CFOP requirements, with the ability to modify the timeframes as statutory timeframes are changed.
 - This analysis will enable coverage workers to immediately identify case priorities.
 - This analysis will ensure the Department can track its compliance with deadlines, while maintaining our great reputation in the courtroom.
- **Worker Workflow Integration**
 - The worker dashboard will combine outstanding statutory requirements on all cases to which the worker is assigned with expected tasks to be completed prior to pending hearings to identify daily priorities for CLS workers.
 - The worker dashboard will also integrate with the worker's Outlook calendar to identify opportunities to address outstanding tasks efficiently.
- **Supervisory Oversight**
 - The supervisor dashboard will permit an overview of the team's outstanding tasks and case needs to evaluate coverage needs and workers' performance.

The Document Automation module would have the following objectives:

- **Maintain Uniformity**
 - The Automation would use statewide templates to create all petitions, motions, and orders that the Department generates to move away from disparate, locally-created templates.
- **Data Importation**
 - The Automation would import data from existing databases, such as FSFN, to increase accuracy and eliminate current inefficiencies from manually entering case information.
- **Title IV-E Compliance**
 - The Automation would restrict modification of particular document modules to ensure Title IV-E findings are made in every case to meet funding requirements.
- **Immediate Modification**
 - The Automation would grant CLS leadership the authority to modify all templates used by all Department attorneys any time a statute, rule, or policy is amended, empowering each attorney to focus on their courtroom advocacy instead of devoting time to update each local template.

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.

CLS is one of the legal arms of the Department. CLS's mission is to advocate for the safety, well-being, and permanency of Florida's children. CLS accomplishes this mission by providing services consistent with Chapter 39, Florida Statutes, to the following individuals/entities:

- The Department—CLS represented the Department in 17,297 judicial cases on July 31, 2021.
- Florida's children—From July 1, 2020 through June 30, 2021, CLS provided services to 57,936 children in the State of Florida. The total includes 9,671 children documented as having received the benefit of legal services in child protection cases closed without court intervention and 48,265 children documented as having received the benefit of legal services with court intervention.
- Child Protective Investigators (CPIs)—CLS provides legal support and training to CPIs in all 67 counties, including those areas where child protective investigation is performed by county sheriffs' offices under

grants administered through the Department.

- Case Management—CLS provides legal support and training to Community Based Care Agencies, Case Management Organizations/Agencies, and individual case managers to monitor and safely close cases.
- The judiciary—CLS appears before dependency, unified family court, and delinquency judges in 19 judicial circuits while representing the Department.

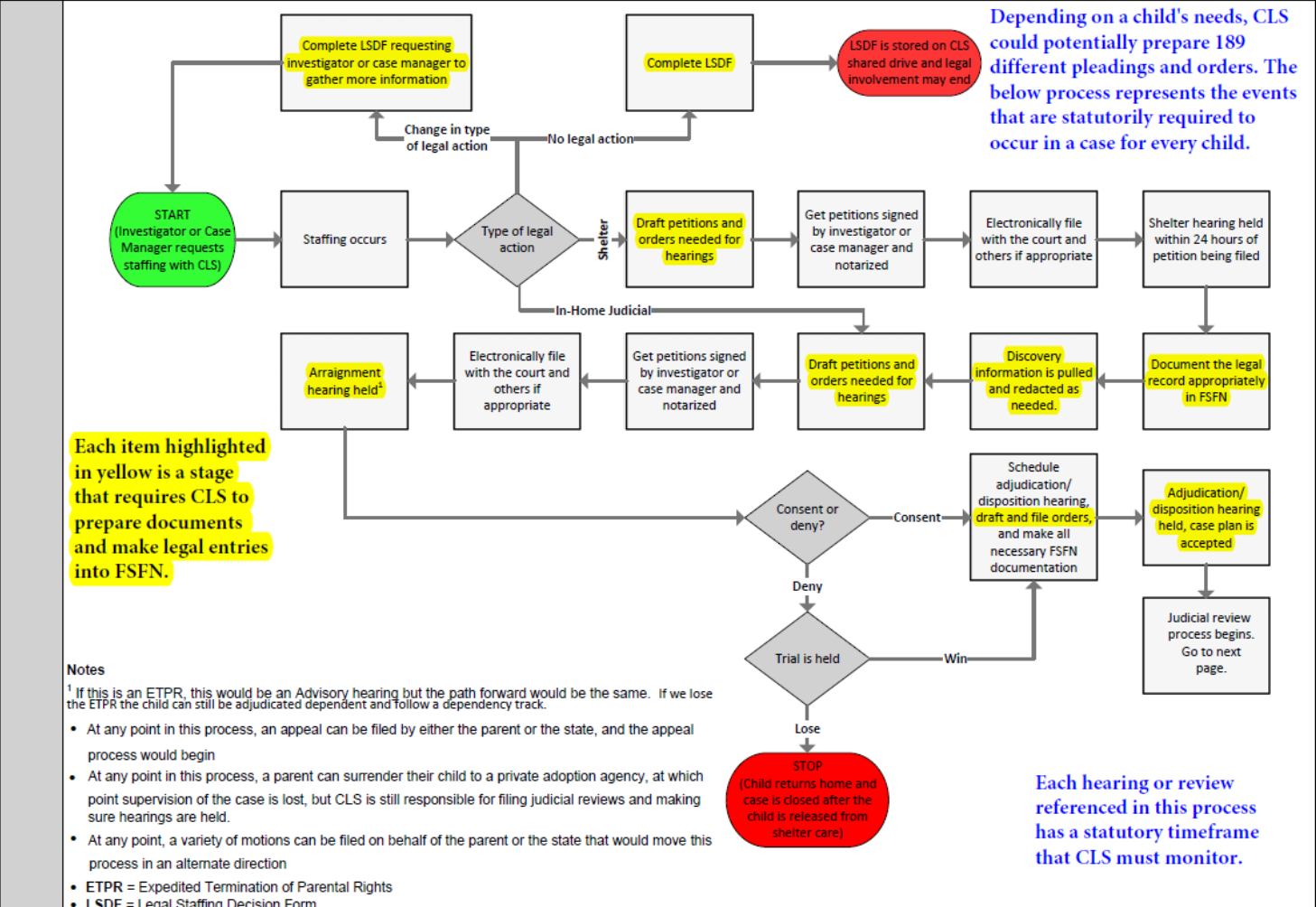
CLS currently prepares petitions, motions, and draft orders for the above stakeholders for each milestone identified on the charts incorporated below in the Current Business Process(es) section. CLS completes this work using locally-developed templates and forms, both in electronic and in paper form. After creation, documents are saved in local share drives or on workers' individual computers.

Although the stakeholders with whom CLS collaborates do not have or need access to CLS's document repositories throughout the state, all stakeholders currently use FSFN as the case management system to input data about each case. While case information can be found in FSFN, FSFN's functionality is inadequate/non-existent as a legal module, and CLS presently cannot extract the case data that is entered into FSFN into its local solutions for drafting documents and managing cases.

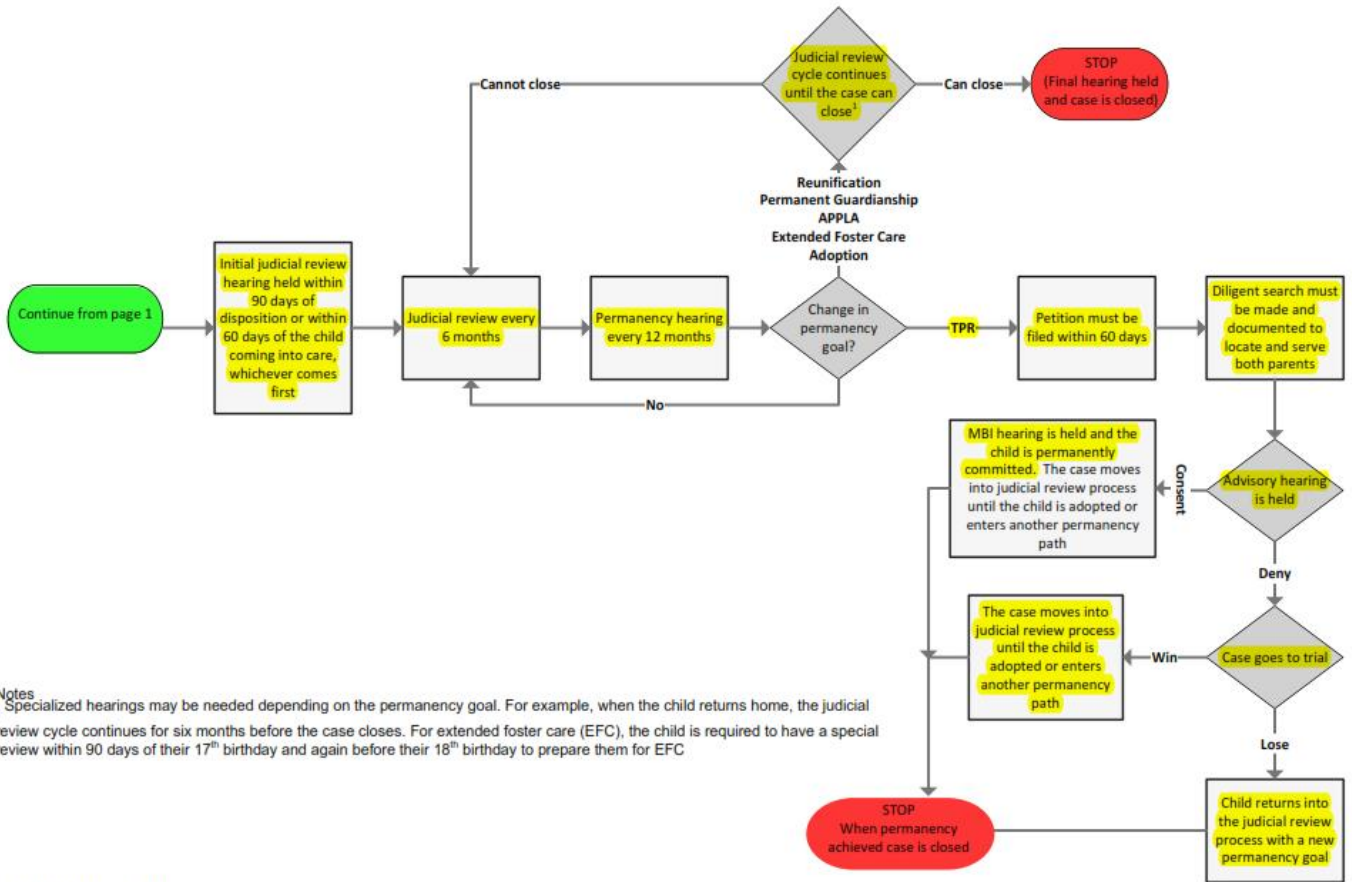
The following flowcharts examine what the general flow that each dependency case takes once it comes to CLS. The flowcharts are meant as a general guide. Each case is unique with unique set of circumstances. Each case also may require many additional hearings that are not included on the flowchart. Each type of hearing/motion may require additional documentation entered into FSFN and pulling information out of FSFN.

1. Current Business Process(es)

Children's Legal Services (CLS) – Initial



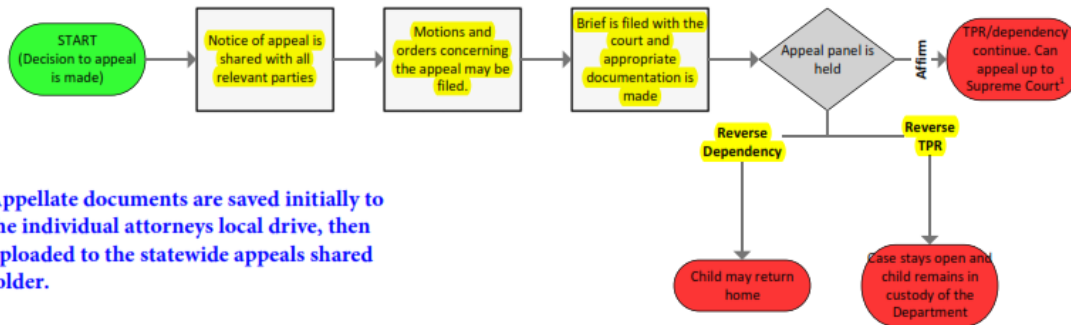
Children's Legal Services (CLS) – Judicial Reviews



Notes
 1. Specialized hearings may be needed depending on the permanency goal. For example, when the child returns home, the judicial review cycle continues for six months before the case closes. For extended foster care (EFC), the child is required to have a special review within 90 days of their 17th birthday and again before their 18th birthday to prepare them for EFC

- MBI = Manifest Best Interests
- TPR = Termination of Parental Rights

Children's Legal Services (CLS) – Appeals



Appellate documents are saved initially to the individual attorneys local drive, then uploaded to the statewide appeals shared folder.

Notes
 1 Many orders/hearings can be appealed. Those appeals can lead to many different results. Appeals are related to more than dependency and TPR as the current process flow depicts.

2. Assumptions and Constraints

a. Assumptions

- 1) This project has the support from the Department’s Executive Leadership and Chief Information Officer.
- 2) The Department desires to increase process efficiency and reduce the use of ad-hoc local tools and solutions.
- 3) Any gains in operational efficiency that the Department realizes through these efforts will be used to allocate additional resources to value-added activities, including managing the persistently sustained caseload and improving the number of children who safely exit the dependency system.
- 4) The project team will be adequately staffed to accomplish the project's deliverables, milestones, and infrastructure, manage user involvement, ensure proper testing, produce necessary project planning documents, project status reporting, and complete other project management tasks as required for successful execution and delivery of the project.
- 5) The Department will employ Organizational Change Management (OCM) activities required to implement the recommended solution in the most successful fashion.
- 6) Department and CLS business functional and technical subject matter experts will be made available timely for project activities requiring their input.
- 7) The Department will continue to use a single database, such as FSFN, to organize information for the child welfare community, including investigators, case managers, and lawyers, to meet state and federal reporting requirements.
- 8) Interfaces between FSFN and external systems that require changes will be appropriately scheduled and coordinated in-line with project requirements.

b. Constraints

- 1) Approval by either the Florida Executive Office of the Governor (EOG) (in consultation with the Legislature) or the Legislative Budget Commission (LBC) will be required before any appropriated funds are made available to the Department.
- 2) All schedules depend on the continual availability of appropriated funds.
- 3) State and/or federal statutory changes, changes in administrative rule, and Department policy changes could affect the project.
- 4) Department will be required to maintain legacy systems in parallel during system rollout for a limited time.
- 5) The new system must interface with FSFN because federal requirements prohibit information from being entered twice or stored in two separate repositories.

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

Generally, the proposed case management system must be able to integrate with FSFN through an API or other manner to enable CLS to maximize the data that is currently being entered into FSFN by Department employees and external stakeholders and to ensure that federal requirements that prohibit entries into duplicative systems are satisfied. Specifically, the system must be able to extract data concerning each participant in a case and the case legal record from FSFN.

Each person that is the subject of a CLS judicial case has a unique Person ID in FSFN that contains data elements such as age, date of birth, address, and relationship to other persons in the system. These demographics are used in CLS documents and may trigger certain statutory requirements. The new case management system must be able to “read” and import this information into the system so that CLS workers will not create duplicate entries of data to generate standard petitions, motions, and orders using the Document Automation module described below.

Each CLS judicial case also has a legal record in FSFN that contains a unique legal action for each event that occurs in a case. For example, there is a legal action when CLS files a shelter, dependency, or termination of parental right petition that details the date of the filing and the court in which the petition was filed. There is also a legal action for each hearing that is held, which details the result of the hearing, the child’s legal case status, the child’s legal

custody status, the primary permanency goal, whether CLS is responsible for drafting an order, and when the CLS draft order has been submitted. FSFN will need to integrate this information with the new system to enable the Legal Compliance Dashboard to determine the actions that must be performed next in the case.

Each case in FSFN also has an assignments module that informs users of the lead attorney and lead legal staff member assigned to the case, as well as the primary CPI and case manager assigned to the family. This assignment information, as well as the contact information for those assigned, will be needed to generate reminders in the Legal Compliance Dashboard.

More specifically, the business requirements of the system fit into two categories: Legal Compliance Dashboard and Document Automation.

- A. The Legal Compliance Dashboard would function as a dashboard that would:
 - i. Serve as an entry point to a case file that would contain all legal documents prepared, filed, or received by CLS, which would be available statewide to CLS lawyers.
 - ii. Serve as an entry point to a document submission portal for CPIs and case managers to submit documents electronically to CLS.
 - iii. Display critical milestones that have occurred in the case, such as the date of shelter, adjudication, and permanent commitment.
 - iv. Automate workflows and assignments based on certain triggering events. For example, the filing of a dependency petition would prompt a task list to include scheduling an arraignment hearing and issuing summons to the parties and participants.
 - v. Create automatic reminders for upcoming due dates for motions, petitions, and orders based upon the statutory deadlines in Chapter 39, Florida Statutes, or the deadlines established by the Rules of Juvenile Procedure. For example, when a court changes a goal to adoption, the system would generate a task reminder for the assigned attorney that a termination of parental rights petition is due within 60 days.
 - vi. Enable the automated workflows and reminders to feed into a unique dashboard for each attorney/paralegal based on that individual's case assignments.
 - vii. Enable the automated workflows and reminders to also feed into a dashboard for each case, which can be assessed by any CLS user to determine the status of the case and the outstanding tasks.
 - viii. Have the capability of entering and organizing attorneys' work-product privileged notes, which could subsequently be searched.
 - ix. Automate notifications to our partners (CPIs and case managers) of their upcoming due dates. Chapter 39, Florida Statutes, requires that reports be filed at least 72 hours in advance of judicial review hearings. The system should generate a reminder to the case manager prior to the deadline when the system does not reflect that the report has been received.
 - x. Automate notifications of upcoming court hearings to caregivers, attaching a caregiver input form for completion.
 - xi. Allow supervisors to have an overview of all the staff's current assignments, the distribution of work among their team members, and the upcoming hearings and trials for their team.
 - xii. Be able to be easily updated to implement new requirements from statutes, case law, administrative code, Rules of Juvenile Procedure, and CFOPs.
 - xiii. Be customizable to modify deadlines and reminders sooner than statutory or rule deadlines to meet the needs of the local office or judiciary.
 - xiv. Integrate with existing Microsoft products including the Microsoft Office Suite and push calendar reminders and tasks to the assigned worker's Microsoft Outlook Calendar and Task Function.
- B. The Document Automation Module would:
 - i. Create case-specific documents using leadership approved templates for petitions, motions, memoranda, and orders.
 - ii. Use a search function to identify the appropriate template
 - iii. Eliminate manual entry of case-specific demographic and party information by importing case information from FSFN.
 - iv. Modify the grammatical components of the template from singular to plural when there is more than one child in a case.

- v. Create conditional text areas, which will be included when particular conditions are met.
- vi. Import attorney-specific details, such as that attorney's signature block.
- vii. Export the template documents into Microsoft Word format for supplementation with facts not contained in FSFN, while restricting portions of the documents (Title IV-E language) from modification.
- viii. Facilitate the generation of new templates within the module.
- ix. Build a glossary of commonly-used clauses that can be used to create new templates.
- x. Provide CLS leadership with the capability of modifying existing templates as there are developments in the law or to meet the requests of the judiciary.

2. Business Solution Alternatives

The first solution is for the Department to build a new legal case management system for CLS by leveraging the work the Office of Attorney General (OAG) has already undertaken to build a legal case management system for its agency. The OAG has now entered Year 3 of its three-year Information Technology Modernization Project. The OAG system includes an Enterprise Content Management (ECM) component, a Case Management System (CMS) component, and a Customer Relationship Management (CRM) component, which will integrate with Microsoft Outlook and Microsoft Dynamics. The OAG is using Hyland's ECM product, OnBase, which is an industry leading and mainstream supported product.

Based on multiple demonstrations of the legal case management system developed at this time, the OAG system can meet many of the CLS business requirements outlined above. As a government law firm, the OAG has many units whose litigation processes are similar to CLS. Consequently, the Department would be able to leverage the work being done by the OAG to dramatically reduce the costs of building a CLS legal case management system from scratch. The costs instead would be directed toward designing and implementing customizations specific to the child welfare dependency process. Because the OAG has already absorbed the costs of integrating the case management system with the content and document management system, the Department would not have to incur those costs.

An alternative to building a new system is to purchase commercial legal case management software, which is offered by many companies. This software is available for either installation or provides access to a cloud-based platform. However, the products available in the marketplace are tailored to civil or criminal practitioners. There is no commercially available "off-the-shelf" legal case management system for child welfare.

Nevertheless, for the past year, CLS has explored the software available in the marketplace, including Clio, MyCase, Legal Files, and ProLaw. Clio advised that its software was not compatible with a firm as large as CLS. MyCase, Legal Files, and ProLaw's primary tools would not be able to be used by CLS, specifically client management and time tracking for billing purposes. As government lawyers, the Department's attorneys do not bill their time; thus, the time tracking tool would be inapplicable. The Department would also not be able to use the client management system, which is used to input and store client demographics, because any Department entries into that system would be duplicative of the entries that must be made in FSFN, the Department's Comprehensive Child Welfare Information System. Duplicative entries are prohibited by 45 CFR § 1355.52 and jeopardize the Department's federal funding of FSFN. These products confirmed that they do not have the ability to fully integrate with FSFN, therefore the data could not be imported from FSFN to make the client management system usable.

The remaining functions of MyCase, Legal Files, and ProLaw that the Department could use, primarily document management and case notes, would have to be significantly customized to track the process flow of dependency cases. The companies have indicated that minor customizations could be made to their system, but the format could not be changed to meet the business requirements needed by the Department. Moreover, these companies do not offer a document automation function that the user can modify. To the extent that they have any document automation function, the purchaser must work with the vendor to develop each template and must incur costs to modify the templates. This would be a costly alternative as the Departments' templates must be modified every year in response to statutory updates. Additionally, because these products cannot integrate with FSFN, workers would have to continue to manually enter information into any documents that they system could generate, eliminating the efficiency that the system is intended to create.

The Department also explored the document automation function that Diona Services offers to health and human services programs. An advantage of this service is that the platform is user friendly. Some of the information can be imported from FSFN, but each template would require the user to make multiple data entries to generate the

document. A significant disadvantage is that the Diona system generates documents in pdf format. CLS workers, however, must have documents available in Word format to add case-specific facts that can’t be found in FSFN, to allow supervisors the capability to revise their team’s documents, and to provide draft orders to the judiciary for further revision. Another disadvantage is that the Department would not have the capability of independently modifying the templates for statutory changes or building new templates.

Thomson Reuters HighQ is another legal case management system the Department evaluated. The advantages of HighQ are that it is capable of integrating with FSFN and grants users the ability to create new templates independently. The disadvantage of the system is that many of the business requirements stated in the section above will not be able to be fulfilled, resulting in a less efficient and effective solution. For example, while the system enables the user to build dashboards, each dashboard must be built separately. Therefore, CLS would have to build a separate dashboard for each case, for each attorney, and for each supervisor. CLS does not have the resources to devote to the building of these dashboards. And, if there would be a statutory change that would alter the timeframe for any one legal action, every dashboard would have to manually updated. Similarly, the document automation function would require that CLS build each template separately and modify them separately when there are annual law changes. The HighQ system also does not have the capacity to notify external partners of upcoming report deadlines or notify caregivers of upcoming hearings. Finally, because HighQ is a cloud-based platform, the Department would have monthly storage expenses to accommodate the volume of CLS’s workload, in addition to the annual costs of the program.

The final alternative is to maintain the current business practice of employing local solutions. This alternative, however, creates fragmentation in the organization by hindering statewide access to documents and by depending upon more than 600 users to modify their individual work product each time there is a change in statutory law, rule, code, or policy. Maintaining current practices also requires that CLS continue to spend time on tasks that could be automated, such as the generation of documents, partner notifications, or prioritizing deadlines, instead of staffing cases with CPIs and case managers, preparing witnesses for hearings, and developing litigation strategies for trials.

3. Rationale for Selection

The alternatives above were evaluated in light of the following goals:

Project Goal 1: Modernize CLS’s Business Process- Leverage case information in a single platform to automate workflows and tasks.

Project Goal 2: Produce Consistent High-Quality Work Product- Provide workers the tools to generate petitions, motions, memoranda, and draft orders that incorporate already-existing case data in FSFN and the most current legal resources.

Project Goal 3: Enable Leadership to Respond to Agency and Team Needs- Create statewide leadership access to case information to manage workloads, identify performance trends, and to respond to agency requests.

4. Recommended Business Solution

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.

Based upon the analysis of the alternatives and the needs of the Department, creating a customized legal case management system by leveraging the work already completed by the OAG during its Information Technology Modernization Project is in the best interests of the Department, CLS, and the State. The chief benefit of this solution is that Department will have a case management system that is uniquely customized to the needs of the CLS program at a reduced cost because of the building and integration costs that the OAG has already absorbed.

This solution will enable the Department to move from its outdated local systems to present-day technology for managing a law firm. By streamlining and prioritizing tasks, the establishment of a single legal case management system tailored to the child welfare process will allow CLS workers to shift their work from data entry to advocating for the safety, well-being, and permanency of Florida’s children. A customized solution will also ensure that the Department’s legal work product complies with Florida and Federal laws, most importantly Title IV-E requirements that impact the Department’s eligibility for federal funding.

This solution will be able to integrate with FSFN to more effectively and efficiently incorporate case information currently being generated by CPIs and case manager into CLS’s work product. The capacity to integrate will ensure that the most accurate and up-to-date case information is available to CLS workers to advocate for the best results for the children in their cases, which ultimately advances the Department’s goals.

D. Functional and Technical Requirements

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

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

Functional Requirements	
<i>The baseline functional requirements are those developed by the Office of the Attorney General for their components related to civil legal practices areas (e.g. General Legal). It is estimated that these requirements will meet approximately 75% of the CLS functional requirements. If funded, a gap-fit analysis will be conducted to identify gaps, document additions and changes to requirements, and design/develop additional functionality needed by CLS.</i>	
Non-functional Requirements	
1	Must accommodate a minimum of 650 concurrent users.
2	Must provide 99.9% system availability for the web services and dashboard availability Monday through Friday, 6am EST to 6pm EST. <ul style="list-style-type: none"> Scheduled maintenance must occur on nights or weekends
3	Must provide technical and user support Monday through Friday, 8am EST to 6pm EST.
4	Must conduct on-site training on use of the production system and provide all required course materials and user manuals.
5	Must allow credentialed DCF staff to perform the following system maintenance functions: <ul style="list-style-type: none"> Add, modify or delete users, select their access level and notify them by email of their username and password Add/change/delete workflow rules (e.g., users may change timing of notifications) Add/change/delete user-defined fields and common business rules
6	Must use compatible, industry standard Secure File Transfer Protocol software, using data encryption or a Virtual Private Network (VPN) connection to ensure a secure file transfer.
7	Must host all functions in a secure HIPAA-compliant facility.
8	Must be compliant with the following security requirements and standards: <ul style="list-style-type: none"> Section 282.318, F.S., “Security of Data and Information Technology Resources” Chapter 74-2, Florida Administrative Code (FAC), “Florida Cybersecurity Standards” DHHS CMS MARS E 2.0 security requirements IRS Publication 1075, Rev. 11-2016, security requirements SSA Information Security Safeguards Requirements document; Electronic Information Exchange Security Requirements and Procedures for State and Local Agencies Exchanging Electronic Information With The Social Security Administration, the SSA standards based on Federal Information Security Management Act (FISMA), Public Law (P.L.) 107-347, the Privacy Act of 1974 FedRAMP security control requirements as described in the NIST 800-53, Rev. 4 security control baseline for moderate or high impact levels as defined by the Federal Information Processing Standard (FIPS), Federal Information Security Management Act (FISMA), and in accordance with National Institute of Standards and Technology (NIST) standards.

III. Success Criteria

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

considered a success.

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	CLS dependency petitions will be drafted and timely filed.	CLS will measure the percentage of dependency petitions filed within 21 days of initial shelter hearing as calculated by Florida Rule of Judicial Administration 2.514.	Dependent children, by ensuring that their legal case is timely prosecuted.	06/23
2	CLS draft orders will be prepared and submitted to the court timely.	CLS will measure the percentage of orders that the court directs CLS to draft that are submitted within 15 calendar days of the hearing or 20 calendar days for termination of parental rights judgments.	Dependent children, parents, and case management agencies, by ensuring that relief ordered is executed upon timely and that permanency determinations are effective promptly after a hearing. Members of the judiciary, by promoting timely processing of judicial cases.	06/23
3	Judicial permanency reviews will be completed timely.	CLS will measure the percentage of permanency reviews that were completed within 12 months of the most recent shelter hearing or permanency review.	Dependent children, parents, and case management by ensuring timely judicial assessment of the reasonable efforts provided to the family and the appropriate permanency goal to meet the child's needs. The Department, by ensuring that Title IV-E federal funding eligibility requirements are annually satisfied.	06/23

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

A. Benefits Realization Table

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

For each tangible benefit, identify the recipient of the benefit, how and when it is realized, how the realization will be measured, and how the benefit will be measured to include estimates of tangible benefit amounts.

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Consolidated Worker Dashboard	DCF Staff Dependent Families Florida Taxpayers	Reduced case processing times as a result of a simplified and prioritized view of tasks and their statuses.	<ul style="list-style-type: none"> Number of cases processed Percentage of cases processed within time standards. 	06/23
2	Consolidated Case Dashboard	DCF Staff Dependent Families Florida Taxpayers	Reduced case processing times as a result of a simplified and prioritized view of tasks and their statuses.	<ul style="list-style-type: none"> Number of cases processed Percentage of cases processed within time standards. 	06/23
3	Automated Document Generation	DCF Staff Dependent Families Florida Taxpayers	Reduced time preparing petitions, motions, and draft orders.	<ul style="list-style-type: none"> Timely filed petitions. Timely submitted draft orders. 	06/23
4	Electronic Document Management	DCF Staff Dependent Families Florida Taxpayers	Efficient access to case documents	<ul style="list-style-type: none"> Random file review demonstrates legal cases are complete and accurate. 	06/23
5	Enhanced Work Management	DCF Supervisors DCF Staff	Improved work balance across CLS program to	<ul style="list-style-type: none"> Number of cases processed 	06/23

BENEFITS REALIZATION TABLE					
		Dependent Families Florida Taxpayers	ensure cases are actively litigated.	<ul style="list-style-type: none"> Percentage of cases processed within time standards. 	

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.

Estimated Cost:

Currently, the Office of Attorney General (the OAG) is completing its project to build a legal case management system. The department would leverage the work being done by that agency when building its platform to dramatically reduce the costs of the system, but would design and implement some customizations, including those specific to the Children’s Legal Services practice area. Because the OAG has already absorbed the costs of integrating the case management system with the content and document management system, the department would not have to incur those costs. Based upon the OAG contract rates, if the department could secure the same contract rates and use the platform built for the OAG, with necessary Enterprise Content Management (ECM) and Case Management System (CMS)/Customer Relationship Management (CRM) modifications, the department would need to incur the following costs:

Year 1:

- Cost of the ECM core software =\$668,000
- Cost of the ECM seat licenses for 650 users at the current contract rate of \$1,083/license (\$548,110 for 506 licenses) =\$703,950
- Cost of Dynamics CMS/CRM licenses = \$300,000
- Cost of development for customization, integration, implementation = \$2,504,000

Total Year 1 = \$4,175,950

Recurring (after year 1):

- ECM licensing annual renewal (core and seat licenses) =\$307,143
- Dynamics CMS/CRM licensing annual renewal = \$300,000
- Recurring Costs of technical support and future customizations, integration, modifications and enhancements = \$160,000

Total Recurring: \$767,143

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

details.

Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 1 - Net Tangible Benefits	<p>Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p>
CBA Form 2 - Project Cost Analysis	<p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p>Characterization of Project Cost Estimate.</p>
CBA Form 3 - Project Investment Summary	<p>Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:</p> <ul style="list-style-type: none"> • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

V. Schedule IV-B Major Project Risk Assessment

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

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

The Risk Assessment Tool and Risk Assessment Summary are included in Appendix B on the Florida Fiscal Portal and must be completed and submitted with the agency’s Schedule IV-B. After answering the questions on the Risk Assessment Tool, the Risk Assessment Summary is automatically populated.

VI. Schedule IV-B Technology Planning

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

A. Current Information Technology Environment

1. Current System

a. Description of Current System

There is no “current system” available for CLS to use for legal case management, to manage the thousands of judicial cases that enter the system every year. CLS uses a myriad of different locally developed solutions to fill the void: Windows share drives, Excel spreadsheets, Word templates, paper files, paper court note sheets, and FSFN. The FSFN system “legal” module maintains key case information but is insufficient to support the functionality needed for managing the heavy caseload and meeting legal and court requirements. The current solutions do not interface with each other causing staff to enter data multiple times.

b. Current System Resource Requirements

There is no “current system” available for CLS to use for legal case management.

The proposed solution would be cloud based, sufficient to support the CLS user base (approximately 650 users), and able to be scaled as needed for storage growth and any future expansion of user base.

c. Current System Performance

There is no “current system” available for CLS to use for legal case management.

The proposed solution would be tested and implemented to support the CLS user base (approximately 650 users), and able to be scaled as needed for storage growth and any future expansion of user base.

2. Information Technology Standards

The proposed solution, based on Microsoft Dynamics / Power Platform, will be compliant with the applicable Information Technology Standards outlined within the DCF Information Technology Services Standard Operating Procedures (SOPs), e.g.,:

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

B. Current Hardware and/or Software Inventory

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

There is no “current system” available for CLS to use for legal case management.

C. Proposed Technical Solution

1. Technical Solution Alternatives

Alternative 1 – Software as a Service (SaaS)

A Software as a Service (SaaS) is a software licensing and delivery model in which software is licensed on a subscription basis and is centrally hosted. SaaS is typically accessed by users using a web browser. SaaS provides several advantages including dynamic scalability and the ability to add new data sources, prediction models, alerts and other system features over time. It does not require onsite hardware, software, maintenance or technical training.

Alternative 2 - Commercial Off the Shelf Software (COTS)

COTS is a term that describes a packaged software solution that is adapted to satisfy the needs of the purchasing organization. COTS provide increased reliability and quality because they are developed by specialists for a specific industry or function and are validated by other user organizations, often over an extended period of time. COTS products and services can be purchased, leased or even licensed, and are built and delivered usually from a third-party vendor. Although COTS products can be used out of the box, in practice these products must be configured to integrate into existing organizational systems and meet business needs. Some level of configuration is generally inherent within the product and is vendor-supported with future upgrades. However, if functionality of a COTS product needs to be modified via custom development that is outside the “out-of-the-box” capabilities, this customized functionality usually is not supported by the COTS vendor, so brings its own sets of issues when upgrading the COTS product. Such an approach may result in costly and long-term support and maintenance implications.

Alternative 3 - Custom Development

Custom development provides the greatest flexibility and granularity of requirements. However, work effort and duration are generally much greater. Additionally, as seen with current legacy applications, it is difficult to take advantage of modernized functionality as technology changes.

Alternative 4 – Hybrid

One approach is to take advantage of SaaS and/or COTS solutions where possible, but extending functionality through supported integration with customized development where warranted. This approach is being used by the Office of the Attorney General (OAG) in their enterprise modernization initiative. A “back-end” commercial document/content management solution is integrated with custom-built Dynamics / Power Platform applications, to provide the optimal solution in the most efficient manner. Additionally, since the OAG is developing several modules for legal case management, DCF can utilize portions of the OAG solution as a starting point, customizing only as needed to meet requirements specific to CLS, including integration with FSFN. This will reduce time to completion and risk, by adopting an implemented proven solution having customizable components integrated with a commercial document/content management back-end.

2. Rationale for Selection

Approaches were analyzed and researched:

- a. Proposed/Recommended: The proposed solution is based upon the Dynamics / Power Platform legal case management solution being developed by the Office of the Attorney General (OAG). It includes integration with a back-end content/document management system. This solution would provide a comprehensive baseline of functionality that could easily be modified to fit the specific needs of CLS. (Originally, OAG planned to develop a CLS module, but due to CLS functions being shifted from OAG to DCF, this functionality was removed from scope in lieu of other OAG needs.) The Department has already developed and deployed several applications on this platform and is working to expand expertise and licensing.

- b. COTS and SaaS legal case management systems – The Department has researched several COTS solutions, which would provide basic legal case management functionality. Some solutions researched were eliminated due to inability to scale for 650+ attorneys, or inability to integrate with FSFN. Also, even for those solutions that could meet these basic requirements, the necessary CLS customizations, including the FSFN integration, increase the cost and complexity of these solutions, and reduces flexibility for future modifications necessary to meet changing business needs.
- c. In-house custom build – In-house development would provide maximum flexibility but would be much slower to develop and implement.

Selection of technical solution was based on highest likelihood of success, future maintainability and flexibility, and alignment with the department's technical strategy to expand use of the Microsoft Dynamics / Power Platform.

Additionally, this solution aligns with the Department's development strategy of expansion of the Dynamics / Power Platform presence agencywide. There is already some related knowledge and experience, along with successful development and implementation of multiple applications using that platform and assisted by consulting services.

2. Recommended Technical Solution

The recommended technical solution is to adopt the baseline functionality being developed in Dynamics / Power Platform by the OAG, including the integration of a backend content/document management system, and use a combination of contracted services alongside internal development staff to complete the necessary modifications to meet the needs of CLS, including integration with FSFN.

D. Proposed Solution Description

1. Summary Description of Proposed System

Currently, the Office of Attorney General (the OAG) is completing its project to build a legal case management system. The Department would leverage the work being done by that agency when building its platform to dramatically reduce the costs of the system but would design and implement customizations specific to the Children's Legal Services practice area.

Several legal modules are being developed by the OAG, all of which are integrated with the back-end document/content management system. A gap-fit analysis will be conducted to identify which component(s) of the OAG solution would be most applicable for CLS, and what additional modifications/customizations are needed to meet CLS requirements. Contracted services would be used to make the necessary modifications to the OAG code base, including integration with FSFN. Initial FSFN integration would be unidirectional, updating data in the CLS system from FSFN nightly. Future enhancements for bi-directional FSFN integration would be completed as part of upgrades in subsequent years, using contracted services to make modifications to FSFN if needed. Because the Department has already begun developing in-house Dynamics / Power Platform expertise, technical involvement of internal resources will provide needed oversight and reduce long-term support dependency on contracted services.

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

The Department would leverage the work being done by the Office of Attorney General (the OAG) when building its platform to dramatically reduce the costs of the system but would design and implement customizations specific to the Children's Legal Services practice area. Initial integration with FSFN would be unidirectional, updating the CLS

system with FSFN data nightly, with additional bidirectional integration planned for upgrades in subsequent years. Because the OAG has already absorbed the costs of integrating the case management system with the content and document management system, the department would not have to incur those costs. Based upon the OAG contract rates, if the department could secure the same contract rates and use the platform built for the OAG, with necessary Enterprise Content Management (ECM) and Case Management System (CMS)/Customer Relationship Management (CRM) modifications, the department would need to incur the following costs:

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Total Year 1 = \$4,175,950

Recurring (after year 1):

- ECM licensing annual renewal (core and seat licenses) =\$307,143
- Dynamics CMS/CRM licensing annual renewal = \$300,000
- Recurring Costs of technical support and future customizations, integration, modifications and enhancements = \$160,000

Total Recurring: \$767,143

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

Not applicable.

VII. Schedule IV-B Project Management Planning

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

Include through file insertion or attachment the agency's project management plan and any associated planning tools/documents.

NOTE: For IT projects with total cost in excess of \$10 million, the project scope, business objectives, and timelines described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4)(a)10, F.S.

Project Charter

Project Overview

Children's Legal Services (CLS) requests funding to create a legal case management system for 650 legal users (590 CLS, 60 OGC) that provides statewide access to Department legal cases, provides a legal compliance dashboard, automates documents, enables a document submission portal, keeps confidential notes and court dates, automatically notifies caregivers of court dates, and integrates with Microsoft products and FSFN (and its successor). The system will be expected to eliminate dependency on outdated software, introduce modern software and industry standard practices and procedures, leverage out-of-the-box functionality, greatly reduce manual processes, and increase reporting efficiency.

Project Scope

This project will involve obtaining a copy of the case management application that is currently being created by the Office of the Attorney General. Once installed into the Department development environment, the application code will be modified to meet the requirements defined by CLS.

In Scope:

At a minimum, in addition to having a document system that provides immediate, statewide access to case files, the system should have at least two functions: A Legal Compliance Dashboard and a Document Automation function.

Integration with the backend "document/content management system" will be developed and implemented.

Nightly, unidirectional data feeds from FSFN will be implemented to avoid duplicate data entry and maintain data integrity between the two systems.

Out of Scope:

Real-time, bi-directional FSFN integration is out of scope for Year 1 but may be considered for future enhancements/upgrades.

Organizations Affected or Impacted:

The impact of this project on affected organizations, both internal and external, needs to be determined to ensure that the right people and functional areas are involved and communication is directed appropriately.

Organization	How Are They Affected, or How Are They Participating?
DCF Children’s Legal Services	Primary users of the new system
DCF Office of Child Welfare	An interface will be required between the CLS Case Management System and the Florida Safe Family Network (FSFN) System
DCF Office of Information Technology Services (OITS)	OITS is responsible for implementing the technical solution for the CLS Project. This will include a combination of DCF FTEs and Staff Aug employees.

Project Estimated Effort / Cost / Milestones

Estimated Cost:

Currently, the Office of Attorney General (the OAG) is completing its project to build a legal case management system. The department would leverage the work being done by that agency when building its platform to dramatically reduce the costs of the system, but would design and implement some customizations, including those specific to the Children’s Legal Services practice area. Initial integration with FSFN would be unidirectional, updating the CLS system with FSFN data nightly, with additional bidirectional integration planned for upgrades in subsequent years. Because the OAG has already absorbed the costs of integrating the case management system with the content and document management system, the department would not have to incur those costs. Based upon these assumptions, the department would need to incur the following costs:

Year 1:

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- Recurring Costs of technical support and future customizations, integration, modifications and enhancements = \$160,000

Total Recurring: \$767,143

Estimated Milestone Dates:

Note: though the Milestone Plan is being presented in the traditional waterfall approach, it is our intent to manage this project in an Agile approach.

#	Milestone	Start Date	End Date	Deliverable(s)
1	Initiation	07/02/2021	08/25/2021	Approved Project Charter
2	Planning	07/02/2021	08/25/2021	Project Schedule Project Kick-off Meeting Preliminary budget request
3	Research and Review of Top Products	07/06/2021	09/10/2021	High-Level Requirements Document Request for Information Document Legislative Budget Request documentation Project Status Report
4	Go/No-Go Decision	09/10/2021	09/15/2021	Executive Sponsor Approval Legislative Budget Request submission
5	Develop Presentation	09/20/2021	09/30/2021	Presentation for meetings with OPB, House and Senate Appropriations Staff
6	Product Acquisition	11/01/2021	03/31/2022	Case Management System from OAG GAP Identification Document Established Technical Infrastructure System Configured in Test Environment
7	Detailed Requirements/Design	11/10/2021	03/31/2022	Detailed Requirements Document Project Plan
8	Procurement Activities	04/04/2022	06/30/2022	Prepare RFQs for Staff Aug Prepare PO’s for any software purchase
9	Build – Phase I	07/01/2022	03/31/2023	An application that meets the CLS Requirements.
10	User Acceptance Testing	10/01/2022	05/30/2023	Test Plan and Scripts Preliminary Data Migration User Acceptance Testing and Sign-off
11	Implementation	03/31/2023	06/30/2023	End User Training System Configured in Production Environment Final Data Migration Functioning System

Project Assumptions

Certain assumptions and premises need to be made to identify and estimate the required tasks and timing for the project. Based on the current knowledge today, the project assumptions are listed below. If an assumption is invalidated at a later date, then the activities and estimates in the project plan should be adjusted accordingly.

#	Assumptions
1	The Project will be approved and included in the 2022 General Appropriations Act.
2	The Office of Attorney General’s Case Management System will be ready by the planned date and available for use by DCF OITS.
3	DCF will have the requirements defined and the staff aug resources identified and ready-to-work so they are able to start on 7/1/2022.

Project Risks

Project risks are characteristics, circumstances, or features of the project environment that may have an adverse effect on the project or the quality of its deliverables. Known risks identified with this project have been included below. A plan will be put into place to minimize or eliminate the impact of each risk to the project.

	Risk Description	Risk Probability	Risk Impact	Risk Exposure	Mitigation Approach
1	Availability of sufficient funding	High	High	High	Business unit will obtain necessary funding commitment to move forward from Executive Sponsor
2	Organizational Changes	Medium	High	High	Involve sufficient business stakeholders and subject matter experts early and consistently throughout the project. Develop and implement training plan that includes business processes and operational procedures.
3	OITS Project Team’s ability to deliver product on time, on budget, containing the required functionality, customization and integrations.	Medium	Medium	Medium	Well defined project scope and requirements. Strong project management. System testing and UAT should be well planned and coordinated.
4	CLS Staff availability due to competing priorities related to day-to-day contract functions	Medium	Medium	Medium	Identify dedicated staff to the project. Start training as soon as possible. Otherwise, extend implementation schedule.
5	The OAG Case Management System will require code modifications that could increase long term costs and negatively impact future system upgrades and supportability.	High	High	High	Business stakeholders will work closely with the OITS Team to conduct a thorough assessment of potential solutions, including functional gap analysis and process mapping to identify best-fit solution(s) and minimize required code changes to the commercial product.

Project Organization Structure

Project organization structure lists the roles and personnel filling those roles including sponsors, business and external stakeholders, project management and technical team.

Role	Name	Description of Responsibilities
Executive Sponsor	Secretary	Approves funding and Go/No-Go Decisions
Project Sponsor	Stephanie Zimmerman	Provides project direction; approves business decisions; allocates resources; approves work products
Project Manager	TBD	Responsible for the over-all project plan; monitors scope, schedule, costs, quality, and risks; Provides status reports
Program Manager	TBD	Responsible for ensuring business requirements are identified and incorporated into product; UAT approver
Business Analysts	TBD	Assists in the creation of the requirements documents and testing;
Technical Lead	Deborah Stevens	Provides necessary technical support to business office and vendor

Project Communications Plan

The Communication Plan defines how the project will communicate with its key stakeholders by identifying which stakeholder needs to know what, when, and in what format.

Stakeholder	What?	When?	How?
Executive Project Sponsor	Project Status Review	Upon request	Executive Project Status Meeting
Project Sponsor	Project Status	Weekly	Weekly Project Status Team Meetings
CIO & Deputy CIO	Project Status	Weekly	As reported in Smartsheet
Project Team	Project Activity Meetings	Daily	Stand-up Meetings/Team Meetings

VIII. Appendices

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

SCHEDULE IV-B FOR ACCESS

Florida SYSTEM MODERNIZATION

For Fiscal Year 2022-23



September 15, 2021

DEPARTMENT OF CHILDREN AND FAMILIES

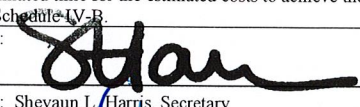
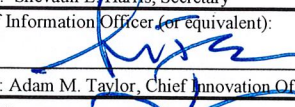
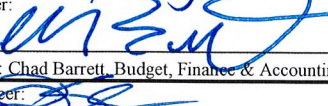
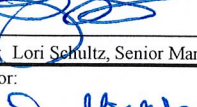
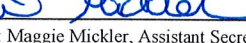
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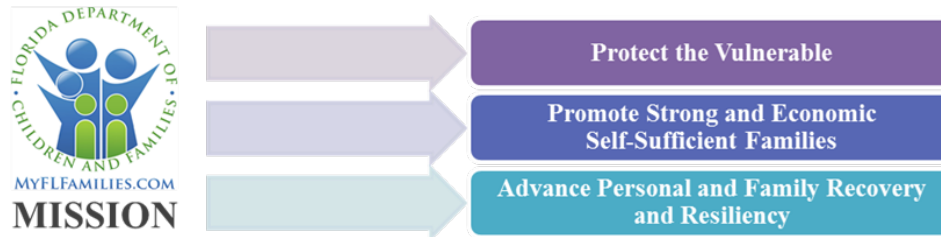
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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Children and Families	Schedule IV-B Submission Date: August 27, 2021
Project Name: Release of Funds for ACCESS Florida Modernization	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2022-23 LBR Issue Code: 36316C0	FY 2022-23 LBR Issue Title: FLORIDA System Modernization
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Kit Goodner, 850-363-2574, kit.goodner@myflfamilies.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: 	Date: 9/15/2021
Printed Name: Shevaun L. Harris, Secretary	
Agency Chief Information Officer (or equivalent): 	Date: 9/15/21
Printed Name: Adam M. Taylor, Chief Innovation Officer	
Budget Officer: 	Date: 9/15/2021
Printed Name: Chad Barrett, Budget, Finance & Accounting Director	
Planning Officer: 	Date: 9-15-2021
Printed Name: Lori Schultz, Senior Management Analyst	
Project Sponsor: 	Date:
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Cost Benefit Analysis:	Placeholder pending roadmap
Risk Analysis:	Placeholder pending roadmap
Technology Planning:	Placeholder pending roadmap
Project Planning:	Placeholder pending roadmap

Executive Summary

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



As part of its mission, DCF is responsible for administering the state’s Economic Self-Sufficiency Services (ESS) programs which include Supplemental Nutritional Assistance Program (SNAP, also known as food assistance or food stamps), Temporary cash Assistance for Needy Families (TANF, also known as cash assistance), and Medicaid.

Customers in Florida use these various forms of assistance to provide the necessities for their families while moving towards self-sufficiency. The current ESS eligibility system, known as the ACCESS (Automated Community Connection to Economic Self- Sufficiency) Florida System is originally based on Ohio’s legacy Integrated Eligibility System, Client Registry Information System (CRIS). CRIS was designed almost 40 years ago, built in four years, and implemented in 1978. A major enhancement to the legacy CRIS system was implemented in 1992, known as CRIS-E. DCF transferred the CRIS-E system from Ohio and implemented the system in Florida in 1992, which became to be known as the FLORIDA (Florida Online Recipient Integrated Data Access) system. In 2004, DCF implemented a web-based front end to the FLORIDA mainframe to begin what is known as the ACCESS modernization initiative. In 2004, DCF knew the FLORIDA system was an already aged mainframe and began initiatives to bring efficiencies to the program, while still maintaining the original aging infrastructure.

The core processing in the FLORIDA mainframe was developed using COBOL, a relic programming language primarily used on mainframe computer systems and last taught in public colleges over ten years ago. FLORIDA also includes IMS, a hierarchical database technology, and even proceeded relational database technology (such as DB/2). Relational database technology is more widely used and is generally considered superior to hierarchical databases for ease of change, integration, and data sharing and reporting. IMS is widely considered fragile and difficult to maintain, increasing the cost and time to implement changes.

In 2011, the Department completed a Schedule IV-B for modernization of the ACCESS Florida System. The estimated total cost at the time was \$249.3 million. With the federal enhanced match in effect, the state share estimate was \$55.9 million. The Department moved forward with planning for the full of the public assistance system and subsystems. DCF oversaw the completion of fully developed requirements for the full completion and procured vendors to support the project management functions. Finally, the Department developed and released an Invitation to Negotiate (ITN) for a system integrator to design, develop, and implement a modernized ACCESS Florida System. After evaluating three compliant proposals to the ITN, all within the anticipated budget, negotiations began with the three vendors. Due to the compressed schedule to meet minimal compliance with the Affordable Care Act (ACA) dates, the Department collaborated with the Legislature to ultimately narrow the focus to just the Medicaid component of the ACCESS Florida system. During negotiation, the Department reduced the scope of the ITN and the procurement completed without a formal protest.

During the 2012 Legislative Session, the Legislature appropriated funds to update the Department’s Medicaid eligibility system to achieve minimal compliance with the statutory requirements of the ACA. The resulting technology investment, referred to as the Medicaid Eligibility System (MES), provides enhanced processing for Medicaid eligibility determinations, included a new customer self-service portal (SSP), introduced a variety of

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

limited real-time interfaces, and a number of platform and application advancements. This was an example of how the technology of the ACCESS system was a major constraint which inhibited the Department from being able to implement policy changes quickly or efficiently. To meet ACA requirements, the Department had to implement the MES system, a new duplicative eligibility processing system requiring over \$40M to implement. Had the ACCESS system used current technology, the implementation of the ACA requirements would have been a fraction of the costs. Given the ACA changes only impacted one program for which the Department performs eligibility processing, the aging infrastructure is still in use today for the other programs.

While technical advances have been made to the system over the last several years, the changes to support the new requirements for Medicaid eligibility determination did not replace the core mainframe hardware and software components of the ACCESS Florida System, and did not address broader business process improvements in the SNAP and TANF programs. Further, the addition of new components contributed to furthering the complex and inefficient working environment for Department eligibility staff. Over the last ten years, the Department focused on reducing program administration costs and staff reductions due to funding cuts. By obtaining federal processing waivers, increasing self-service, and changing policy, the Department has been able to significantly reduce program administration costs. In 2003, Florida SNAP administrative costs per case were \$30.56 and have steadily decreased with modernization efforts. As of 2014, the cost per case in Florida is \$7.74 in comparison to \$67.23 in California, \$39.84 in New York, and \$20.46 in Texas. As a result, the Department has been nationally recognized as being the most efficient state in the country.

Florida has become a target for increased fraud, trafficking, and identity theft activity. The outdated ACCESS Florida system technology limits opportunities for further innovation, such as the use of data analytics to detect and prevent fraud, as well as potential increase cost avoidance, and curtail waste and abuse of public assistance benefits. For example, current technology is limited in its ability to automatically check whether Florida customers are receiving the same benefits in multiple states. The current system limits the Department to either using manual workarounds which are prone to errors and inefficiencies, or to look to more costly technical solutions due to the FLORIDA mainframe. Furthermore, the Department faces challenges in achieving mandated compliance with state requirements and ever-changing federal policies such as MARS-E privacy and confidentiality standards. To improve program benefit integrity, best practices include real-time data sharing and integration with all relevant programs involved in the support and care of customers receiving benefits. Capabilities like real-time data analytics, forecasting, risk assessment, and a 360 view of customer information will significantly enhance cost avoidance and open more paths to self-sufficiency.

In order to mitigate the risks associated with the ACCESS System's dependency on an aging infrastructure, and complete the architecture reengineering initiated with the MES Project, a strategic completion of the remaining components that rely on the legacy infrastructure is necessary. By taking an agile and modular approach in accordance with CMS recommendations, the Department will be able to address its critical business needs.

In 2016, the Department evaluated two alternatives for analysis for the ACCESS System Completion Schedule IV-B (Feasibility Study):

1. Full completion of the ACCESS System over a three-year period, to maximize the pull down of available federal funds at the enhanced match rate of 90%, with a seven-year cost of \$161.6 million and a return on investment of 45.18% within a payback period of 5.33 years.
2. Full completion of the ACCESS System over a five-year period, with a seven-year cost of \$161.6 million and a return on investment of (28.82)% within a payback period of 5.90 years.

The results of the analysis revealed the first alternative scoring as the best option from a uniform set of evaluation criteria measured against baseline expectations.

The issue was funded for \$27 million, but the funds were not released and the work did not proceed. In SFY 2019-2020, DCF submitted a request for an agency enterprise system that would leverage ACCESS Florida and other existing systems, while modernizing the business models and technologies used to serve common customers. This issue was not funded, but the needs remained. In SFY 2020-2021 and FFY 2020-2021, due to the pandemic, federal funds became available through the American Rescue Plan. Roughly \$130 million will be available to the state of Florida through FFY 2023-2024. These monies, with prior federal funding and procurement approvals, could be used to address the Supplemental Nutrition Assistance Program (SNAP) portion of the system. The match is 100% federal funds participation/0% state funds participation and SNAP activity is 40% of ACCESS Florida. Medicaid, which is 60% of system activity, has a standing federal funds participation of 90% (10% state funding) for development. Together, they provide an opportunity for DCF to modernize and replace the existing ACCESS

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Florida system, using federal funds participation that is exceptionally advantageous to the state. To support this request, DCF has developed a statement of work and issued a Request for Quote (RFQ) for ACCESS Florida modernization roadmap and Schedule IV-B. Since these items will not be finalized before the September 15, 2021 deadline, DCF is submitting the previous IV-B for systems completion with any already known updates as a placeholder until the new IV-B is completed.

A. Business Need

The aging technology of the current ACCESS system is not efficient and drives insufficient and less than optimal effectiveness for operations, confidentiality, and fraud controls. As a result, the business and performance outcomes the Department must accomplish are diminished. There is a business need to infuse and leverage technology to achieve a higher state of operational efficiency, fraud, trafficking, and identity theft detection and prevention. The gains in operational efficiency and fraud prevention from the infusion of state-of-the-art, interoperable, modular, and maintainable technology will allow the Department to re-value current staffing levels to focus on improved outcomes, customer self-sufficiency, and current day challenges and threats.

The American Rescue Plan (ARP) funding is limited to three years, although it is possible that allotments not spent this year may be rolled to next year. To optimize federal funding that can be used for technology to improved SNAP service delivery and operations, DCF must act now to develop plans and procurements, submit federal Planning and Implementation Advance Planning Documents (PAPDs or IAPDs), requests for procurement approvals, and requests for state appropriations and expenditure authority.

Specifically, this opportunity will allow the Department to maintain the progress it has made, invest in new technology, support optimal system, program, and departmental integrations, more effectively improve family outcomes and customer self-sufficiency, and combat an emerging fraud and identity theft crisis by addressing the following critical business needs:

- Create flexibility to improve customer service and ever-increasing expectations regarding service levels.
- Improve privacy and confidentiality controls.
- Implement technology-and data-based prevention and detection tools while remaining agile to reduce incidents of fraud, trafficking, and identity theft.
- Utilize 90/10 federal funding for Medicaid and 100% SNAP funding via the American Rescue Plan (while the latter is still available).
- Maintain benchmarks by leveraging a modular approach for flexibility and innovation.

B. Options Considered

To address increasing program integrity demands, aging technologies, and changing policy requirements, the Department assessed and scored two alternatives for ACCESS System Completion:

- **Alternative 1** –ACCESS System Completion through a strategic update of remaining legacy system functionality and infrastructure that would replace the high priority system initiatives over a **three-year period**.
- **Alternative 2** –ACCESS System Completion through a strategic update of remaining legacy system functionality and infrastructure that would replace the high priority system initiatives over a **five-year period**.

Both alternatives seek to implement all priority initiatives, resulting in the completion of the systems and architecture reengineering of ACCESS, including full migration off the FLORIDA mainframe, so that the resulting application meets the Department’s business objectives for a more integrated service delivery model that is customer-centered, outcomes-driven, and less costly to maintain. The alternatives build on and extend the modern architecture introduced with the MES project, greatly reducing the risk of technical obsolescence that exists in the legacy system today while maximizing technical and business process benefits, and providing the flexibility and scalability needed for the future.

Both alternatives are aligned with the Department’s goals and objectives, yet, one alternative is more effective in pursuing those goals with a quicker rate of return based on varying risks, tradeoffs, benefits, and drawbacks. The following section will provide a comprehensive analysis and comparison of each option.

The consultants hired to develop the IV-B for modernization will consider these alternatives but will focus on system modernization through a modular approach to design, development, and implementation for replacement.















C. Recommended Approach Based on Business and Financial Criteria






SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

In 2016, based upon the analysis of the alternatives and the needs of the Department, it was recommended that seeking implementation of the ACCESS System Completion as outlined under Alternative 1, completing the full system over a three-year period is in the best interest of DCF, the Department’s customers, and the State. Although many of the previously described business needs still remain to be met, the technology of the existing system has continued to age and even newer available technology makes replacement desirable. For those reasons and because DCF has a strategic vision for enterprise information sharing across programs and agencies, the upcoming roadmap and IV-B will focus on systems replacement rather than completion.

1. Evaluation Results

The assessment of the two alternatives considered in the 2016 feasibility study included a set of uniform evaluation criteria that measured each option against a level base of expectations. The detailed definition of the criteria, along with the rationale for each individual score, is presented within the Feasibility Study. The table below presents a summary view of the results of the evaluation for each of the alternatives. The successful vendor for the 2021 roadmap and IV-B will conduct a similar analysis of current alternatives using comparable criteria defined with DCF for this purpose:

		Alternative 1		Alternative 2	
Criteria	Wt.	Score	Total	Score	Total
1. Alignment with Goals	20%		16.43		16.43
2. Customer Value	10%		7.50		6.88
3. Risk Mitigation	15%		8.75		7.50
4. Technical Architecture	10%		8.00		6.50
5. Business Alignment	20%		13.75		13.75
6. Data Architecture	5%		4.69		4.69
7. Financial	20%		13.00		6.00
Total Weighted Score	100%		72.12		61.74

Score	Explanation	Numeric Value
	The alternative does not address the criteria	0
	The alternative minimally addresses the criteria	25
	The alternative moderately addresses the criteria	50
	The alternative highly addresses the criteria	75
	The alternative fully addresses the criteria	100

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

2. Project Preliminary Financial Estimates

DCF has done some preliminary analysis of product costs for the transformation initiative and they are shown below:

Item #	Item Description	Year 1	Year 2	Year 3	Year 4	Year 5	Total
New Hardware							
1	New Hardware Cloud (On-Demand)	2,312,763.24	2,312,763.24	2,312,763.24	2,312,763.24	2,312,763.24	11,563,816.20
2	New Hardware Cloud (One Year RI)	1,853,969.76	1,853,969.76	1,853,969.76	1,853,969.76	1,853,969.76	9,269,848.80
3	Cloud NonCompute Services	63,978.00	63,978.00	63,978.00	63,978.00	63,978.00	319,890.00
4	Disaster Recover	400,000.00	400,000.00	400,000.00	400,000.00	400,000.00	2,000,000.00
	TOTAL Hardware	4,166,733.00	4,166,733.00	4,166,733.00	4,166,733.00	4,166,733.00	20,833,665.00
New Software							
1	Worker Portal and Tools	14,200,295.44	4,486,105.10	4,687,323.38	4,916,706.92	5,157,559.64	33,447,990.48
2	Customer Portal	2,500,000.00	2,625,000.00	2,756,250.00	2,894,062.50	3,038,765.63	13,814,078.13
	TOTAL Software	16,700,295.44	7,111,105.10	7,443,573.38	7,810,769.42	8,196,325.27	47,262,068.61
TOTAL NEW SW/HW Cost		20,867,028.44	11,277,838.10	11,610,306.38	11,977,502.42	12,363,058.27	68,095,733.61

The vendor for the 2021 analysis is expected to provide pertinent financial analysis of alternatives considered.

D. Benefits of Recommended Solution

Implementing ACCESS Florida Modernization is expected to provide many benefits and a number of them are the same as those identified in the 2016 ACCESS System Completion IV-B, including preparing DCF for the next phase of public assistance innovation by building the foundation for an agile environment which can be adjusted readily to meet future needs.

Some of the anticipated benefits include:

- Fully realizing business, technical, and data architecture goals
- Fully maximizing the proposed enhanced federal matching funds
- Allowing the Department to keep pace with the changing public assistance environment and remain a leader in the nation in performance
- Improving public assistance program integrity by implementing available fraud detection and prevention mechanisms on the front-end
- Supporting increased worker productivity through increased levels of process automation, and improved ability to meet timeliness and quality standards by:
 - Triaging error and fraud prone applications for further review
 - Streamlining case intake processes through systems consolidation
 - Implementing a consolidated Worker Dashboard with up-to-date, prioritized work items
 - Expanding No Touch functionality and implementing Robotic Processing Automation
 - Enhancing the Notice generation system to make configurable, on-demand updates
 - Providing near real-time information
- Eliminating the compounding risks associated with the legacy technology architecture
- Significantly reducing ongoing support costs
- Improving workforce management and balancing
- Promoting the Department’s business goals of promoting personal and economic self-sufficiency
- Improving customer service
- Increasing benefit accuracy
- Utilizing resources effectively

E. Risks and Issues of Maintaining the Status Quo

While the business-related benefits derived from functional and technical enhancements provide sound justification for transforming ACCESS Florida, consideration must also be given to the risks associated with remaining on the existing mainframe system. ACCESS Florida is the state's sole mechanism for determining eligibility for the SNAP, TANF, and Medicaid programs

Other states and agencies have already taken advantage of enhanced federal funding to move ahead with their reengineering efforts and have replaced outdated mainframe technology to a more flexible and interoperable enterprise cloud-based environment. Ohio has already fully replaced the CRIS-E system FLORIDA was built on and recently went live with a new COTS-based Medicaid system with a Service Oriented Architecture (SOA) designed to provide flexibility, utilizing 90/10 federal funding.

Issues related to DCF remaining on the current mainframe architecture include:

- **Choice** – mainframe technologies are generally proprietary in nature, thus limiting the Department's ability to move the associated workload to other platforms.
- **Risk** – The mainframe FLORIDA system is based on a legacy architectural design, one not based on more modern approaches to software development such as interoperability, modular design, web services interfaces and support for data analytics and data sharing.
- **Cost** – modern multi-layer architecture allows systems to incorporate commodity components, as opposed to specialized mainframe components (CPU, memory, disk, I/O) which provide comparable performance at a fraction of the cost.
- **Scalability** – the scalability and adaptability of mainframe systems is limited by archaic, hierarchical databases
- **Agility** – inherently rigid mainframe architecture and resulting silo applications prevent DCF from responding efficiently to the ever-changing security, legislative and regulatory landscape. There are currently over 300 maintenance and enhancement requests with very limited resources to fund these changes.

Any failure of ACCESS Florida would have a detrimental effect on the Department's customers, as well as the other state agencies that rely on data from the ACCESS system for the performance of their public duties, potentially affecting the funds made available to the State from the Federal Government. Other state programs affected by ACCESS Florida system failure include Medicaid services provided by the Agency for Health Care Administration (AHCA) and Florida Healthy Kids (FHKC), Public Assistance Fraud in the Florida Department of Financial Services (DFS), Workforce Services in the Department of Economic Opportunity (DEO), Free and Reduced Lunch for Students at the Department of Education (DOE) and Child Support Enforcement in the Department of Revenue (DOR). The ACCESS Florida system also has real-time interfaces with the Federally Facilitated Marketplace (FFM) and serves as the gateway for the Minimum Essential Coverage service between the FMM and AHCA.

Though the Department has made great strides to make process improvements and achieve efficiencies by building layer upon layer atop the FLORIDA system, DCF has reached capacity in the ability to continue adapting to customer needs and evolving technology. With an aging and inflexible mainframe system architecture, *eventual system failure is inevitable and unpredictable*. Taken together, these factors represent a clear and legitimate risk to ongoing operations that would be avoided by the recommended solution.

F. Conclusion

The challenges facing Florida are common to public assistance programs nation-wide: more sophisticated clientele with higher expectations, persistent caseloads, rapidly increasing incidents of fraud, trafficking, and identity theft, limited fiscal resources, and aging technology.

The recommended next step will be defined as the result of the upcoming roadmap and IV-B consulting engagement. The resulting deliverable will identify alternatives that meet business requirements and realize benefits must cost-effectively. The selected alternative should optimize the use of federal funds available at 90-10 match from CMS and at 100-0 match from FNS.

Additional state funds would be minimal to support the ACCESS Florida modernization if these parameters are met.

I. 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

Subsection 20.19(4), Florida Statutes created the ESS Program Office (ESS Program, Program Office) within DCF. The responsibilities of this office encompass public assistance benefit eligibility services operated by the Department. These services are administered through the ACCESS Florida System (ACCESS Florida), the Department’s eligibility service delivery system. This program provides public assistance eligibility services for SNAP, TANF, and Medicaid services.

The mission of the Department is to “work in partnership with local communities to protect the vulnerable, promote strong and economically self-sufficient families, and advance personal and family recovery and resiliency.” The mission of the Program Office is to “promote strong and economically self-sufficient communities by providing public assistance to individuals and families on the road to economic recovery through private, community, and interagency partnerships that promote self-sufficiency.” The array of public assistance eligibility services offered by the ESS Program further these objectives on multiple fronts.



ESS is aligned with and has been instrumental in driving the DCF strategic vision since its inception in SFY 2002-2003. Upon the initial rollout of ACCESS Florida, DCF entered a new era in its approach to administering cash assistance, SNAP, and Medicaid. Over time, the system has undergone continual evaluation and improvement in order to adapt to the realities of a changing customer base and persistent caseload with limited financial resources. The model seeks to empower frontline staff in their ability to make eligibility decisions by utilizing streamlined workflows, policy simplification, and technology innovations. The ESS Program engages the community by providing access to services through a combination of state staff and a community partnership network designed to serve as additional portals to services for customers mutually served by the partner agencies and the Department.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Exhibit II-1 DCF Organizational Chart illustrates the high-level organizational structure of DCF:

Department of Children and Families
Organizational Chart
 Updated 07/06/2021

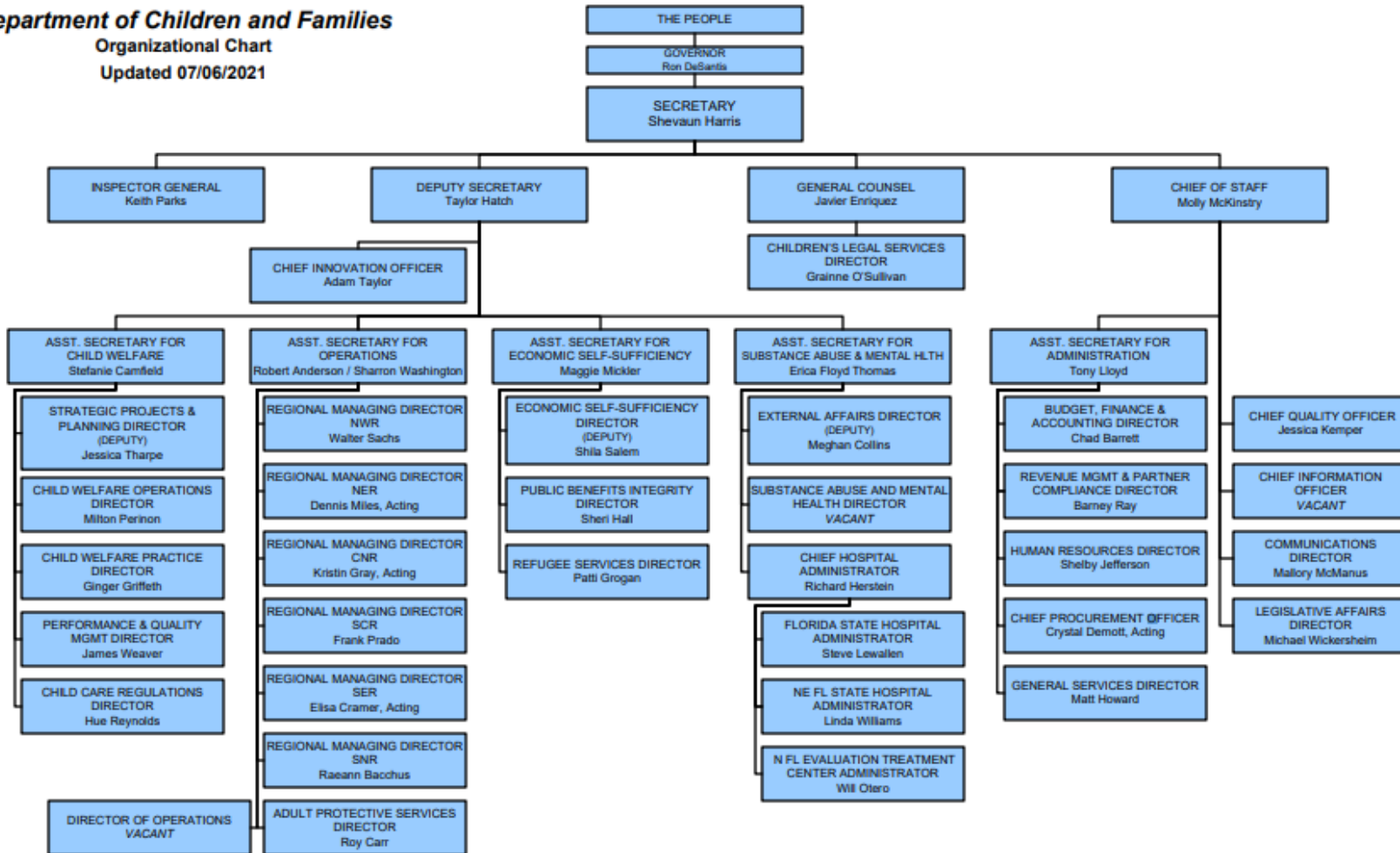


Exhibit II-1 DCF Organizational Chart

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Within the ESS Program, several functional units provide direct or support services. Those areas of operation are presented in Exhibit II-2 ESS Functional Units.

ESS Program Functional Units	
Program/Unit	Function
Processing Centers	The centers process applications and renewals, almost all received electronically.
DCF Lobbies	DCF Customer Service Center Lobbies provide a variety of services to individuals seeking or receiving assistance. Customers can apply for assistance, or complete a paper application that can be mailed, faxed, or returned to a DCF Lobby.
Customer Call Centers (CCC)	The ESS Program maintains one CCC with locations in Jacksonville, Miami, and Tampa, yet through technology, they operate as one. Customer service representatives take customer calls on case status, policy, and general inquiries that cannot be handled through an automated response unit. In addition, agents accept information and process changes in eligibility.
Virtual Intake Units (VIU)	Customers requiring an eligibility interview are connected to VIU staff located in multiple regions. VIUs are used in several regions including Central, Northeast, Southeast, and Southern Regions.
Case Maintenance Units (CMU)	The CMUs process changes for the active caseload; however, due to the need for local coordination, CMUs are situated in the regions. Each month the CMUs handle data exchange alerts from state, federal, and private databases which provide information on changes that affect eligibility (i.e., receipt of new earned income). In addition, CMUs also do bill tracking for Medically Needy with Share of Cost, impose, and lift sanctions as requested by the Department of Economic Opportunity (DEO) CareerSource and Child Support Enforcement programs, and process requests for verification of Medicaid coverage. Additionally, CMUs are responsible for processing changes that come through the web which require customer contact.
Electronic Benefits Transfer (EBT)	Floridians obtain their SNAP or TANF benefits through a deposit each month on their EBT ACCESS Florida card. Cardholders then utilize the account to make purchases at retailers. Additionally, EBT provides behavioral EBT spending and investigative support to ACCESS Integrity, PAF, and United States Department of Agriculture (USDA) Food and Nutrition Service (FNS) through reports, data warehousing, and nightly transmissions of data and system activity files.

ESS Program Functional Units	
Office of Public Benefits Integrity (PBI) / ACCESS Integrity Program (AIP) and Benefit Recovery (BR) Program	The Office of PBI is dedicated to preventing, detecting, and recovering waste, fraud, and abuse within the state’s public benefit programs. The office develops program and policy changes designed to more effectively combat fraud and loss while increasing the recovery of improperly paid benefits. A key component of the office’s work is electronic data sharing with other agencies.

Exhibit II-2 ESS Functional Units

In 2004, DCF began to modernize its approach to administering cash assistance, SNAP, and Medicaid Programs. This new business model drastically changed the way DCF staff processes applications and manages caseloads. It also improved the processes the Department uses to interact with customers.

In order to achieve this dramatic business model change, the Department conducted a complete review of applicable federal and state law. This review resulted in the elimination of outdated, labor-intensive policies and practices that were not required and added little or no value to the process or outcomes. For example, the face-to-face interview requirement was eliminated for Medicaid, and verification requirements were simplified with a greater reliance on electronic verifications. Additionally, Customer Call Centers were established to provide customers greater access to the Department to report changes in their household situation.

The initial Program Office efforts focused on streamlining workflows and simplifying policy with plans for enhanced technology at the foundation. Florida experienced a food assistance caseload increase of 169 percent since initiating the system completion effort in 2004, mainly because of economic factors’ impact on families and individuals as the recession began to affect the caseload in April 2007. The Department realized the tremendous increase in workload without corresponding manpower, and therefore attempted to meet this expanding workload with the implementation of a variety of applications that increase efficiencies and support customer self-sufficiency using technology. Many of these new applications function independently of the others, and some interface with the mainframe. While essential in conducting the business of the Department, the business processes supported by this functionality are extensive and slow.

Due to the passage of the Affordable Care Act (ACA) in March 2013, the Department launched the MES Project to modify the ACCESS System to support the minimum requirements of the federal act. The project included the addition of the following new system components:

- A business rules engine to determine eligibility for medical assistance programs
- An interface to the Federal Data Services Hub (FDSH)
- Real time interface with the CHIP agency, Florida healthy Kids, and a real time interface for providing verification of Minimum Essential Coverage (MEC)
- A web portal with a single streamlined application for insurance affordability programs (IAPs)
- Partial enhancements to the system architecture to support the additional functionality

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

This approach included a plan to implement the new system components in two releases. Release 1 of the solution, which was deployed on December 16, 2013, focused on the business rules for family-based medical assistance programs and system functionality required to support the state's implementation of the ACA by January 1, 2014. With this release, the ACCESS Florida System allowed Floridians to apply for all IAPs and enabled real-time eligibility determinations. Release 2, implemented in November 2014, incorporates the business rules for all other medical assistance programs. Furthermore, the MES was governed by a Steering Committee comprised of representatives from DCF, AHCA, DOH, and Florida Healthy Kids Corporation. The Steering Committee met monthly through Release 1, and at least quarterly for Release 2.

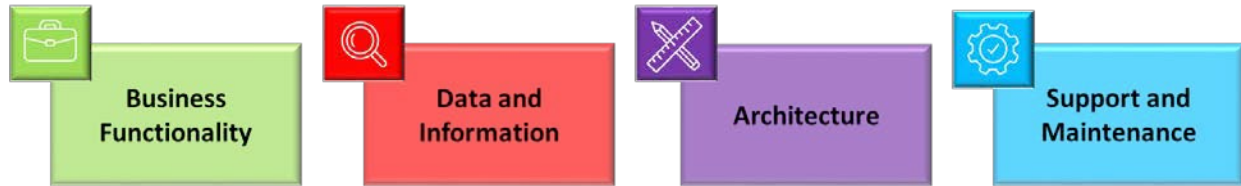
The current technology is still not efficient overall and drives less than optimal effectiveness for operations and insufficient confidentiality and fraud controls. As a result, the business outcomes the Department must accomplish are diminished. There is a business need to infuse and leverage technology to achieve a higher state of operational efficiency as well as fraud, trafficking, and identity theft detection and prevention. The gains in operational efficiency and fraud prevention from the infusion of modern, modular, and maintainable technology will allow the Department to re-value current staffing levels to focus on improved outcomes and customer self-sufficiency.

Specifically, DCF can maintain the progress it has made, support optimal system integration, and more effectively improve family outcomes and customer self-sufficiency by addressing the following critical business needs:

- Create flexibility to improve customer service and ever-increasing expectations regarding service levels:
 - Caseloads have not declined as anticipated with an improving economy. Options such as real-time web services and enabling interactive mobile application and document upload would increase customer self-service.
- Improve privacy and confidentiality controls:
 - Federal mandates require states to establish and implement critical privacy and security standards as outlined in the *Minimum Acceptable Risk Standards for Exchanges (MARS-E), Version 2.0*.
- Engage satisfactory and agile prevention and detection tools to reduce incidents of fraud, trafficking, and identity theft:
 - The ability to identify and prevent incidents of fraud, trafficking, and identity theft is severely limited due to a lack of data integration within and across multiple systems and programs. The system must be able to improve program integrity with enhanced data analytics in order to be fiscally responsible to taxpayers.
- Accommodate future legislative, regulatory, and policy changes in a swift and cost-effective manner:
 - The current system architecture lacks the flexibility to cost effectively accommodate changes. The cost of small, mandated changes are currently astronomical.
- Maintain benchmarks by leveraging a modular approach for flexibility and innovation:
 - Increased worker efficiency will allow the Department to re-value staff to focus on more effectively moving the highest priority cases to self-sufficiency. Workers are faced with a patchwork of technology requiring multiple logins to a variety of system modules to obtain information to conduct their work. Additionally, the Department has been a leader in public assistance administrative and accuracy performance. With every year that passes, it becomes more of a challenge to maintain this status.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Through operational efficiencies and the migration to a consistent architectural platform, the Department will more effectively utilize valuable staff resources. These resources would then be re-valued to focus on increased customer service, moving customers more quickly toward self-sufficiency. The consultant who develops the roadmap and IV-B may use a different conceptual framework but will consider and update the elements discussed below that were part of the 2016 IV-B:



In the spring of 2014, the Department conducted two studies to assess its current and future business needs. The first study gathered ESS field business process owners statewide from the six Region Offices and three CCC locations to collaborate and identify operational efficiency opportunities. The second included business and technology subject matter experts at the ESS Program Office (PO) to develop a strategic plan for the future of the ACCESS Florida System. Through those studies, the Department identified numerous needs and grouped them in four critical categories: Business Functionality, Information and Data, Architecture, and Support and Maintenance. The following paragraphs provide an overview of the Department’s needs in each of these categories

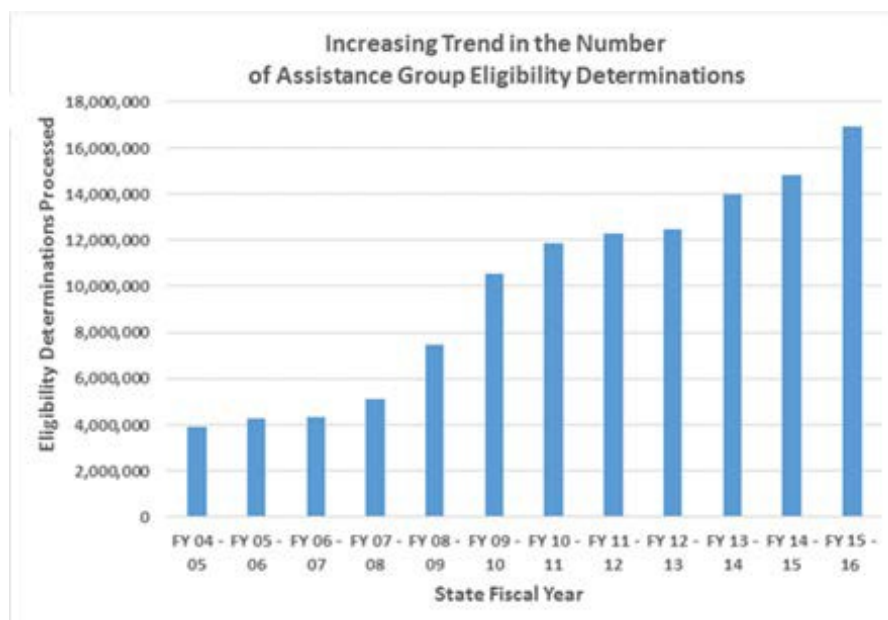
a. Business Functionality



The ESS Program has an immediate need to address issues related to business processes and tools that are used to meet the daily needs of Departmental staff and aid Floridians with their public assistance needs.

As demonstrated in Exhibit II-3, the total number of assistance group eligibility determinations being processed in Florida is increasing despite no additional staff being allocated. Improvements to the system resulting from the “No-Touch” process which reduces processing because applications can be electronically filtered for information that would disqualify them for benefits. However, to address the continual demand, additional functionality is needed to improve upon this performance and expand the scale of applications and programs that can be determined accurately by the No-Touch process to provide customers immediate eligibility determinations. Built into the enhanced scale of No-Touch would be additional necessary real-time interfaces to ensure integrity. The Department can take advantage of technologies being implemented by the MES Project, which are capable of serving as a foundation to support transition of remaining system functions and, for the first time, serve as a foundational platform to support completion of remaining system components.

Exhibit II-3 Number of Assistance Group Eligibility Determinations Year Over Year



System complexity now makes the implementation of modifications a lengthy and expensive process. Federal and state policies continue to evolve resulting in the need for system changes, along with a demand for tighter controls and increased security from increases in fraud and identity theft. Delaying completion due to increased costs or implementation time constraints leaves the Department wide open to the risk of non-compliance, litigation, and increased fraud. The unchanged workforce, along with maximum capacity system enhancements, has achieved a level of excellence unmatched in the nation, but is at risk of stagnancy due to system limitations. Should performance criteria change, the inflexibility and cost of the current system jeopardizes the Department's ability to introduce changes and maintain its benchmarks and national recognition.

The ESS Program's ability to respond quickly to the needs of its customers, staff, state partner agencies, and federal oversight agencies is of critical importance to the mission of the Department. There are near-term opportunities for innovation, customer self-service, and increased worker efficiency by leveraging improvements to the system and changes due to the recent upgrade of the Medicaid Eligibility System (MES Project). Upgrades to the system should increase the available work capacity for staff in a routine day enabling staff to redirect and reinvest additional capacity into stronger coordination with agency partners such as workforce programs, increase customer service, and increase efforts to eradicate fraud. These programs in turn empower Floridians to become more economically self-sufficient. Additional business functions, which could benefit from improved technology, include:

- Customer self-service functionality
- Security authentication for various roles in DCF
- Manual validation by DCF staff of data input by customer
- Necessity to view, or toggle between, multiple applications at one time
- A system meeting Federal Center for Medicaid and Medicare (CMS) conditions and standards for:
 - Modularity – use of a modular, flexible approach including the use of open interfaces
 - MITA standards – aligned and ready for advancement in the Medicaid Information Technology Architecture
 - Industry compliance – alignment with, and incorporation of, industry standards: the Health Insurance Portability and Accountability Act of 1996 (HIPAA) security, privacy and transaction standards
 - Compliance with the Minimum Acceptable Risk Standards for Exchanges (MARS-E)
 - Leverage – promotes sharing, leverage, and reuse
 - Business results – supports accurate and timely processing of eligibility with the public
 - Reporting – has the capability to produce reports supporting program evaluation, continuous improvement in business operations, and transparency and accountability
 - Interoperability – supports integration with the appropriate entities providing eligibility, enrollment, and outreach functions

b. Information and Data



In 2013, DCF rolled out groundbreaking public assistance fraud fighting initiatives, making Florida the first in the nation to implement aggressive front-end fraud prevention technology to ensure benefits only go to Floridians who are in need. Yet the number of potential cases identified as potential fraud outpaces the workload capacity of staff who are forced to prioritize cases and address as many as possible within their time constraints. Currently, the Department estimates it is only able to pursue 50% of fraud cases. If staff were able to spend less time performing other non-automated and time-consuming manual tasks, and more time utilizing automated and agile data analysis tools, they would be able to allocate more energy to preventing fraud, trafficking, and identity theft at the front end by addressing all potential fraud cases, resulting in improved integrity and greater cost avoidance.

Manual processes are persistent throughout the ACCESS Florida System. While system improvements have alleviated some of the manual burden, due to the outdated technology, several persist. This leaves workers more susceptible to engaging in inefficient tasks. Automation of system components and processes should be prioritized to continue benefit accuracy and increase efficiency.

The ESS Program collects data in various areas to determine if the program is meeting predetermined performance measures; however, the staff are lacking tools to assess current performance through customer and process trends over time. Informed strategic decisions could be made through the enhanced ability of executive leadership to look at trends and patterns to predict possible future outcomes or address changing needs. The inability to assess and fully utilize data compromises program integrity and inhibits DCF's knowledge and ability to enact a higher state of vision for the Department regarding customer and program behavior, therefore negatively impacting management capabilities.

c. Architecture



A system that is technically stable and provides interoperability between partners, and the architectural flexibility to adapt to the Department's evolving needs is of utmost importance.

Today, DCF maintains a system consisting of 26 supporting applications and over 110 interfaces operating on multiple architectural platforms. This inherently puts the system at risk and results in extra work for state and contracted staff, further increasing costs. Furthermore, the mainframe is built with a hierarchical database that is outdated, difficult, and costly to update. There are significant issues in trying to keep the existing mainframe system synchronized with other software applications due to the inflexibility and cost of the mainframe architecture. Other states have moved to relational databases that have proven much more agile, easier to adapt to changing rules and needs, and less expensive to change or maintain. For example, the State of Ohio implemented a COTS-based solution to replace their legacy eligibility and case management system. The solution they implemented was architected using a Service-Oriented Architecture (SOA) designed to provide flexibility to add, integrate with, or replace solution components with best-of-breed products in conjunction with the core eligibility and case management system. The solution was implemented to operate on a virtual server infrastructure allowing the solution to run on commodity servers without the need for the legacy mainframe, and to provide data center hosting flexibility.

In addition, the Department's customers increasingly demand convenient access to DCF services from smartphones and other devices that are easily accessible and affordable. In addition, an estimated 20 million individuals nationwide received a free cellular telephone based on receipt of public assistance benefits. While there is no lack of opportunity when it comes to mobile technology, a significant investment is required to bring current applications and portals and take advantage of potential cloud services and technologies to support mobility.

Other Florida agencies have also completed the reengineering of their legacy mainframe systems. DOR moved off the mainframe with CAMS effectively increasing DCF legacy platform costs, and in November 2014 when the Department of Health completed the migration of WIC from the ACCESS Florida mainframe, DCF legacy mainframe costs also increased. FSFN is currently transitioning off the mainframe as well. A gap is widening between DCF and the technology platforms of other agencies.

d. Support and Maintenance



In order to effectively "keep the lights on," the Department incurs annually increasing costs to support the aging mainframe and software components. Costs such as hosting services at Agency for State Technology (AST), which total more than \$14 million annually, would be significantly reduced through reengineering and standardizing the technical architecture. DCF incurs immense expense in trying to update ACCESS Florida to comply with policy changes and increasing customer needs as well as in regular maintenance. Last year, the Department spent \$3 million to attempt to enhance current tools just to comply with federal and state mandates.

Additionally, the current system also contains applications which utilize third-party software that are no longer supported. As a result, DCF is unable to perform upgrades, and the resulting temporary workarounds have become permanently cemented, making needed upgrades very costly.

2. Business Objectives

NOTE: For IT projects with total cost in excess of \$10 million, the business objectives described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4)(a)10, F.S.

The following section describes business objectives which are consistent with the Department's existing policies per s. 216.023(4) (a) 10, F.S. The overarching business objective of ACCESS Florida modernization is to support DCF mission, vision, goals, and objectives in Exhibit II-4, and program office goals and objectives in support of them.

Department Mission:

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

Vision Statement:

Transform the agency from crisis response to person-centered prevention

Department Goals and Objectives

Goal: Reduce the number of families in crisis by 20% by 2021

Objective: Children are safer

Objective: Hardwire Prevention into Organization

Objective: Deliver on Promises to Front Line

Objective: Implement SB 1326

Objective: Improve Financial Health

Exhibit II-4 DCF Mission, Vision, Goals, and Objectives

ACCESS System Completion is in line with the Department's strategic direction, driven by the state's policy and budget priorities based upon legislative mandate and the governor's priorities. The following section outlines the main business objectives of the proposed project and provides an overview of how the objectives directly relate to DCF's goals and the measures utilized to track the success of current and future performance. Project scope, governance structure, and estimated timeframes are discussed in future sections.

a. Departmental Goals and Objectives

Pursuant to Chapter 216 of the Florida Statutes, the Department has documented its goals and strategic objectives in a Long-Range Program Plan (LRPP). In the 2020-2021 LRPP, priorities for Economic Self-Sufficiency were established primarily by federal regulations and state law as well as the agency's goal to reduce the number of families in crisis by 20 percent by June 2021. To achieve this goal, the ESS Program set the following three objectives:

1. Establish a Culture of Innovation, Collaboration, and Gratitude
2. Enhance Program Effectiveness to Improve the Customers' Experience
3. Build a System of Accountability

Specific business objectives and outcomes were defined and aligned with the goals for public assistance services and the ESS Program Office. These goals will be a core driver to the roadmap that will be developed and are depicted in Exhibit II-5.

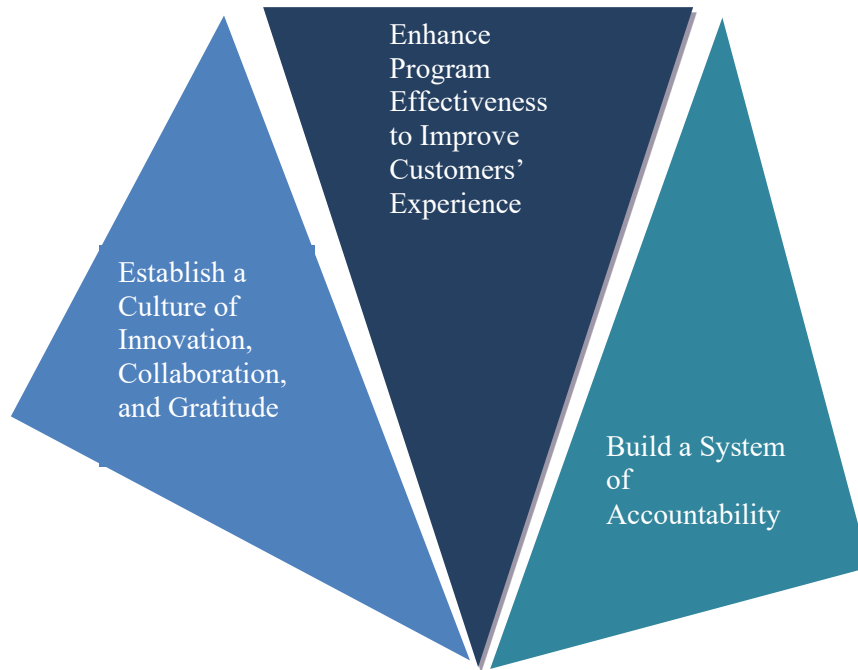


Exhibit II-5 DCF LRPP Goals

Beyond priorities established by requirements provided in federal regulations and state law, the ESS program also prioritizes actions based on Department goals. The business objective of the ACCESS Florida transformation will directly affect and further the Department’s mission, vision, and goals. The Department’s goals are directly promoted by the system completion with both tangible and intangible benefits expected. These benefits are outlined in Section IV of this document. A brief outline of the system replacement objectives that DCF goals is below.

The ACCESS Florida system replacement will help Floridians move from *entitlement to empowerment*. In support of this Departmental goal and with the system changes, the Department will:

- Provide mobile and self-service capabilities to applicants and recipients.
- Reduce opportunities for fraud and abuse by improved privacy and confidentiality controls, enhanced technology, data sharing, and data analytics to improve capability for identifying fraud, trafficking, and identity theft *prior* to disposition.
- Provide access to comprehensive data for complete and accurate trend analysis and statistical reporting, using a data warehouse.
- Consolidate systems to support easy access to information.
- Implement a system that speeds decision-making and maximizes automation.

The ACCESS Florida system replacement will seek partnerships that promote local programs designed to strengthen families. In support of this Departmental goal and with the system changes, the Department will:

- Make it easier for partners to navigate, enabling them to help customers provide all necessary information, thus speeding eligibility decisions and accuracy as well as other assistance.
- Be accessible in community partner locations.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

- Allow for additional DCF personnel hours to be allocated to coordination with workforce programs.
- Maintain a master client index which will improve the enterprise system of care by removing the silo approach to helping customers.
- Enhance ability to interface with welfare to work and child support enforcement programs, linking customers to these critical services.
- Make it easier for applicants and recipients to navigate and understand the system, enabling them to provide all information needed, and speeding eligibility decisions and accuracy.

The ACCESS Florida digital transformation will apply proven best practices and employ state-of-the-art technology to maximize efficiencies and outcomes. In support of this Departmental goal, and with the system changes, the Department will:

- Implement a system that continues to fully comply with state and federal laws, regulations, and be able to adapt to changing policy landscapes quickly with less expense.
- Improve internal and external security via MARS-E 2.0 compliance.
- Fully maximize the proposed enhanced federal matching funds.
- Standardize and maximize business process and tools to achieve efficiencies and leverage capacity to keep pace with the persistent caseload.
- Empower front-line staff by providing immediate access to data to support decision-making processes.
- Provide report customization capabilities.
- Provide automated data population and cascading of data between input screens to improve productivity and benefit accuracy.
- Implement a system that efficiently interfaces with federal databases and partner agencies to obtain and share data needed to determine eligibility, verify need, and reduce attempted fraud.
- Provide simultaneous access to data among various users.
- Implement a case management system to store data on applicants, recipients, and benefits, including data needed for federal reports.
- Automate the resource assignments and re-assignments for required work based on the process flow.
- Prioritize alerts to bring important items to the worker’s attention.
- Allow staff to monitor their assigned work to manage their time efficiently.
- Allow management to monitor the assignments of workers under their supervision.
- Eliminate duplicative data entry between disparate systems or within the same system.
- Support staff training to meet desired skill levels.

b. Performance Measures

The Department uses a robust set of measures to assess the level of performance of its business processes specific to public assistance. These measures are included in Exhibit II-6 Approved Economic Self-Sufficiency Performance Measures, with detailed information on each measure for the ACCESS program included in Appendix

A. The measures below evolve over time and continue to become more rigorous to ensure that customers experience an ever-increasing level of service; however, additional strains are placed upon the system and Department staff through the updating and refinement process. Measures used to determine the effectiveness of the proposed project can be found in Section III: Success Criteria.

ESS Performance Measures		
Number	Program	Performance Measure
ES103	ESS	Percent of refugee assistance cases accurately closed at 8 months or less
ES104	ESS	Number of refugee cases closed

ESS Performance Measures		
Number	Program	Performance Measure
ES105	ESS	Percent of all applications for assistance processed within time standards
ES106	ESS	Total number of applications processed
ES107	ESS	Percent of food stamp benefits determined accurately
ES108	ESS	Percent of cash assistance benefits determined accurately
ES110	ESS	Percent of suspected fraud cases referred that result in front-end fraud prevention savings
ES111	ESS	Dollars collected through BR
ES112	ESS	Number of fraud prevention investigations completed
ES114	ESS	Percent of OSS applications processed within time standards
ES115	ESS	Number of applications processed for OSS payments
ES119	ESS	Number of cash assistance participants referred to the Regional Workforce Development Boards
ES219	ESS	Percentage of food assistance applications processed within 30 days
ES223	ESS	Percent of welfare transition sanctions referred by the regional work force boards executed within 10 days
ES305	ESS	Number of cash assistance applications
ES362	ESS	Number of refugee cases
ES369	ESS	Return on investment from fraud prevention / benefit recovery
ES678	ESS	Percent of 2-Parent TANF customers participating in work or work related activities (2-Parent TANF Participation Rate)
ES733	ESS	Percentage of food assistance applications processed within 7 days (expedited)
ES4040	ESS	Percent of unemployed active caseload placed in employment
ES5087	ESS	Percent receiving a diversion payment / service that remain off cash assistance for 12 months
ES5088	ESS	Percent of All Family TANF customers participating in work or work-related activities
ES5089	ESS	Percent of work able food stamp customers participating in work or work-related activities

Exhibit II-6 Approved FY 2015-2016 Economic Self-Sufficiency Performance Measures

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.

To begin the process of determining eligibility for cash, food, or medical assistance, Floridians in need will apply for benefits via several alternatives offered by DCF. The following Exhibit II-7 Customer Application Process was developed for the SFY 2016-2017 modernization request and updating it will be a necessary component of the final roadmap and Schedule IV-B. The existing graphic provides a high-level overview of the application process through the Department experienced by applicants/recipients applying for assistance. The diagram is intended to provide a snapshot of the beginning of the eligibility determination process and demonstrate systems that are utilized by DCF and workers to determine eligibility.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

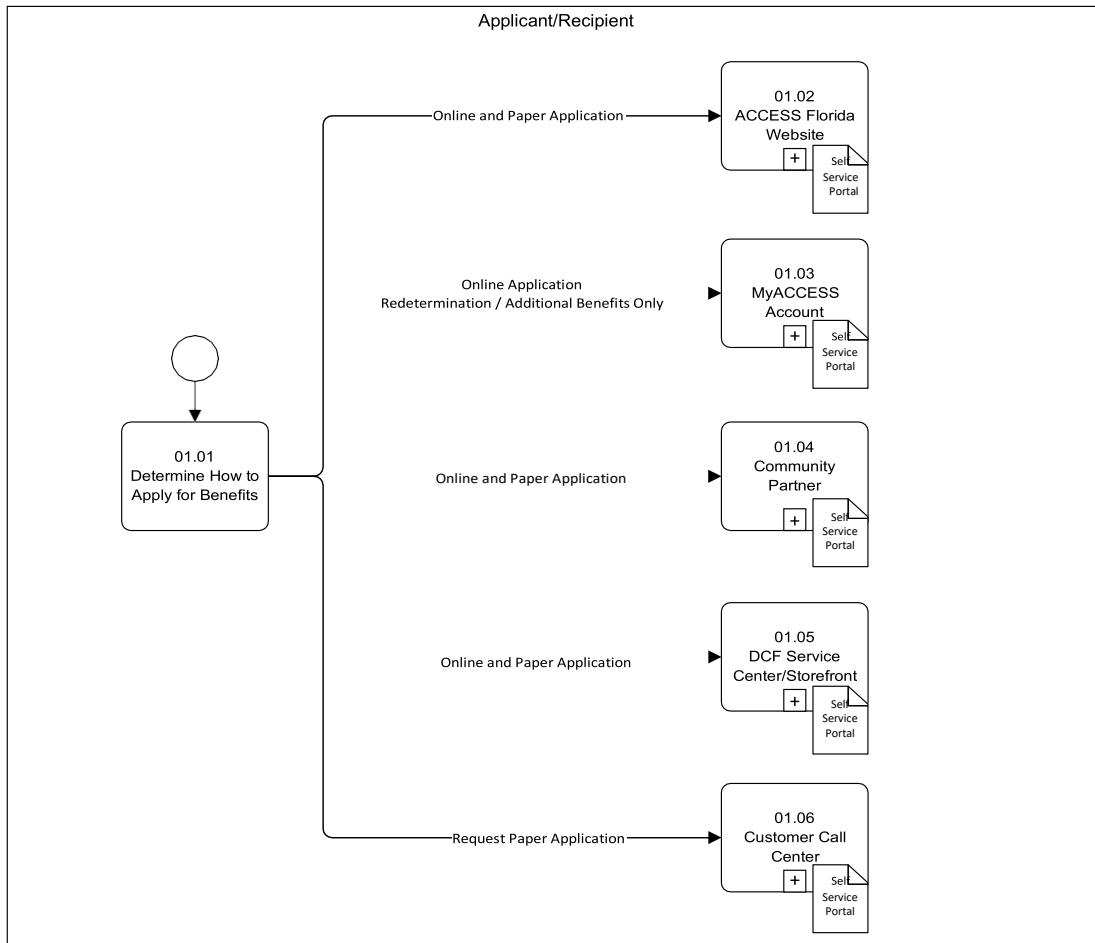


Exhibit II-7 Customer Application Process

The following table describes the columns in the process narrative exhibit that follows:

Index	Activity reference number
Actor	Role of individual(s) with primary responsibility for activity
Activity Label	Short description for activity used in work flow diagram
Activity Description	Full description for activity used in workflow diagram

Exhibit II-8 Customer Application Process Narrative describes, in further detail, the work of each activity by role. Please note that there are sub-processes not discussed in detail that take place within the steps; please also note that this narrative will be updated in the final roadmap and Schedule IV-B as call center efficiencies and changes made to deal with pandemic workloads may affect the existing information.

Customer Application Process Narrative			
Index	Actor	Activity Label	Activity Description
01.01	Applicant/Recipient	Determine How to Apply for Benefits	The applicant/recipient determines how to apply for food, cash, and/or medical assistance. The options available to the applicant/recipient include the ACCESS Florida website, MyACCESS Account, Community Partners, DCF Service Centers/Storefronts, and the CCC.
01.02	Applicant/Recipient	MyACCESS Account Self Service Portal – Apply for Benefits	On the ACCESS Florida website, a new or returning applicant/recipient may access and complete an online application, or the applicant/recipient may download a paper application to complete.
01.03	Applicant/Recipient	MyACCESS Account Self Service Portal	The applicant/recipient may access and complete a pre-populated online application only for redetermination or additional benefits through their MyACCESS Account.
01.04	Applicant/Recipient	Community Partner	The applicant/recipient may access and complete an online application onsite using available Community Partner computer workstations, or the applicant/recipient may request a paper application from a Community Partner.
01.05	Applicant/Recipient	DCF Lobby/Service Center/Storefront	The applicant/recipient may access and complete an online application onsite using available DCF computer workstations, or the applicant/recipient may request a paper application from a DCF Service Center/Storefront.
01.06	Applicant/Recipient	CCC	The applicant/recipient may contact the DCF CCC to request a paper application sent to their address or apply for his/her MAGI determination by phone.

Exhibit II-8 Customer Application Process Narrative

Once submission of an application occurs, a number of processes take place within the Department, some involving multiple external and internal stakeholders. The following list contains an overview of current business processes taking place within the ACCESS program service delivery model, along with additional activities that support these business processes.

Eligibility Processing:

- **Application/Redetermination Processing:** Staff use a combination of the “ACCESS Summary” a copy of the customer’s web application, AMS, the FLORIDA Systems, SAVE, DAVE, SOLQ, ACCESS Document Imaging, ESS On-lines, CISS, NAC, eDRS, PARIS, Vital Statistics database to determine program eligibility and benefit level.
- **Account Transfers and Interfaces:** The module is designed to allow DCF to exchange information with Federal, State, and third party agencies via real-time web services and file transfer protocol (FTP) batch

processes. In addition to the existing batch interfaces, DCF has developed/configured a number of real-time verification services as part of ACA implementation. The verification services include FDSH for verification services, State Wage Information Collection Agency (SWICA) to verify state income, AHCA to receive minimum essential coverage (MEC) enrollment data and initiate medical service delivery, Florida Safe Families Network to verify children within or aged out of foster care, Florida Healthy Kids or Federally Facilitated Marketplace for applications from individuals not determined eligible for Medicaid, Children's Medical Services Network (CMSN) for the determination of clinical eligibility based on applicant/customer input, Florida Department of Health, and Federal Services Data Hub.

Customer Call Center:

- **Customer Call Center:** Call Centers are one of a customer's primary point of contact with ESS staff. Call Center staff provide program information, receive and process reported changes and provide customers with information on their cases. There are several additional tools available to customers with case information without the need to speak with a call agent. The IVR, an automated telephonic triaging tool, is critical to managing customer contacts by providing customers with both general and case level information. This often eliminates the need to speak to an agent. The MyACCESS Account and online case management tool provides customers the ability to obtain information on the status of their application, check for appointments and outstanding documents, report changes, and see copies of notices.

Case Maintenance Units:

- **Case Maintenance:** Case Maintenance staff use the ACCESS Florida System to review, evaluate, and process data exchanges received from a variety of federal and state partners and to determine ongoing eligibility for benefits. They process bills received from providers, such as hospitals and pharmacies for customers on share of cost Medicaid. Case Maintenance staff also completes expected changes such as adding newborns or removing children who have aged out. They too must access several systems to determine the customer's eligibility. Additionally, Case Maintenance staff process web changes.

DCF Lobbies:

- **Customer Service Centers/Storefronts:** Customers are provided the opportunity to self-serve in these centers or storefronts. They can apply for benefits or access their accounts, scan documents to the mail scan center, copy documents, or speak to a representative. Lobbies are generally staffed with clerical staff with professional staff oversight.
- **DCF Lobbies:** Customers can utilize the self-service area at any local ACCESS Service Center location statewide in which they can apply for benefits, register for My Account, and check the status of their case. Self-Sufficiency Representatives are available to assist customers in resolving their issues.
- **Community Partner Management:** Staff engages and works with numerous organizations, state agencies, and local governments that provide alternative, community-based lobbies for those in need of ACCESS services to apply for and receive assistance. Activities include verifying information and recommending customers for services.

Virtual Intake Units (VIU):

- **VIU:** VIU staff located in all six regions answer and conduct incoming eligibility interview calls routed from Interactive Voice Response Unit and generate pending letters when necessary. VIU staff use multiple systems including FLORIDA, ACCESS Summary, and DAVE to assist them in obtaining the most accurate information during the interview.

Supporting Activities:





- **Appeals:** The Office of Appeal Hearings is an impartial arbiter that, upon request, will evaluate the merits of a customer complaint and issue a binding decision on the Department's action.
- **Self-Service Portal:** Customers use the Self-Service Portal MyACCESS Account to submit their request for assistance or changes online. The application or change is routed to intake and processing staff based on zip code and the type of assistance requested.
- **Benefit Issuance:** Food and cash assistance benefits are issued electronically via the EBT System. Medicaid services are provided via a Medicaid Gold Card issued by AHCA using eligibility data received by the ACCESS Florida System in the Agency's Florida Medicaid Management Information System (FMMIS).
- **Benefit Integrity:** The ACCESS Integrity Program is responsible for the detection and prevention of public assistance fraud. PBI staff provides oversight for fraudulent activities in the public assistance

programs by investigating cases prior to approval and monitoring active cases to ensure the proper receipt of benefits. Working in tandem with ESS eligibility staff, PBI scrutinizes areas in which the Department is vulnerable to fraud (internal or external) and establishes overpayments for collection, as well as provides solutions to minimize the Departmental exposure. They work with PAF to identify and prosecute individuals receiving benefits fraudulently and are responsible for recovering benefits paid in error.

- **Data Archiving:** A database for individuals in the system has grown larger over the years. The normal database-partitioning scheme has been outgrown and required the applications group to develop and implement a data archiving process. In this process, data segments associated with an individual that meet a certain set of criteria are offloaded into an archive database. If an online transaction needs to call up data segments that have been archived, a message is returned to the worker onscreen and instructs the worker to request the individual's data segments to be restored from archive. The restore process then makes the data segments recopied back under the individual's online database record overnight. This process is run bybatch on a regular basis.
- **Document Imaging:** The Department went paperless in 2007. The Document Imaging System is the tool used by staff to collect, index and file documents required for eligibility determinations.
- **Notices:** The notice module of the ACCESS Florida system generates notices to customers providing information on action taken by the Department regarding their eligibility. Clients can opt to receive them electronically via their MyACCESS Account, whereby providing rapid information to the customer, and savings to the Department via a reduction in printing, postage, and mailing costs.
- **Quality Management (QM):** Staff review casework to ensure the accuracy of staff processing and decisions, then work with regional staff to identify and errors and correct actions for continual program performance improvement.

Within each of the aforementioned business processes there are varying degrees of performance, operations, and/or fiscal issues that present requirements that must be addressed by DCF. In SFY 2016-2017, the Exhibit II-9 Current Business Process Issues and Category Mapping identified these areas for each process as well as aligned the processes with the four categories outlined within Section II.A.1. With the passage of time and the impact of the pandemic, these processes will be updated as part of the roadmap review but are provided here to demonstrate the approach that will be taken to document business process and technology solution alignment.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Current Business Process	Specific performance, operational and/or fiscal issues that need to be addressed	Impacts:			
					
Interfaces	1. Volume of data exchange hits; workers are not able to take action on this huge volume. 2. Eliminate redundant data exchanges (For example: once a social security number (SSN) has been verified, and there is no demographic change, there is no need to check for SSN again). 3. Some information is automatically updated within a case; however, more of this is required for efficiency and accuracy. 4. Integrated real time data exchanges as part of case process will position the department in a proactive position instead of a reactive approach.	✓	✓	✓	
Appeals	1. Workflow automation at the Division of Public Assistance Fraud, Prosecution, and DCF. DCF needs to get the Disqualification Consent Agreement (DCA) form signed at the time the client pleads and negotiates with State Attorney's Office (Prosecution or SAO). In some instances, DCF only receives "adjusted adjudication withheld" form. This prevents DCF from disqualifying the client from receiving benefits, which the client supposedly agreed to during the plea and negotiations.	✓	✓		
Self-Service Portal	1. Insufficient communication from the system regarding what documents have been received and what is missing results in customer calls to the CCC. 2. Clients submit duplicate verification documents through the document imaging system.	✓	✓	✓	
Application/Redetermination Processing	1. Staff must access and view verification documentation in a separate Document Imaging application and enter data from the verification documents into the appropriate fields of the FLORIDA screens. The staff typically has to write the information down depending on if the information is pay stubs, assets related information, multiple birth certified/identification, or multiple pieces of information related to the case and different AG members. 2. Staff must manually set the system to send courtesy notifications to alert the staff when information is received for the case in Document Imaging application. 3. Interview Clerks perform tasks which can be automated or streamlined. Depending on the decision path, activities include: Checking if an applying client is known to the FLORIDA system; Registering a client and updating AMS; Creating the case on the FLORIDA system; Determining if an interview is required; Assigning the case to a worker for application processing; Determining if the household is eligible for expedited Food Assistance benefits; Generating and sending interview notices.	✓	✓	✓	
Benefit Integrity	1. Need to implement a holistic, simplified, automated approach to fraud reduction; the department needs to see increases in fraud detection and correspondingly in values of cases referred to Administrative Hearings (ADH) and SAO. 2. DCF needs to receive any modification to the summary of benefits and overpayment amount for the case from DPAF so that the recovery can be pursued accurately.	✓	✓	✓	
Benefit Issuance	1. The EBT vendor currently does not validate requests for address at same level of scrutiny as the ACCESS Program does, causing potential fraudulent cases to go unnoticed.	✓	✓		
Customer Call Center	1. The CCC's IVR does not have the ability to provide real-time data to clients. Because of a 24 hour lag, these calls are forwarded by the IVR to CCC agents.	✓	✓		
Case Maintenance	1. Data exchanges received are not all automatically processed. Worker intervention is needed and data could be accumulating over the years that a case has been open if workers have generally not been clearing them.	✓	✓		
Community Partner Management	1. An email facility for Regions, Circuits management, staff, and Community Partner Liaisons for their frequent broadcast to CPs in their region or circuit. 2. The roster of Community Partners needs to be maintained in an integrated system to have the capability to dynamically select or deselect partners for broadcast purposes. 3. There is no integrated email capability, so Community Partner Liaisons (CPLs) maintain their own Community Partners Email group on their email system. Deletions, additions, or status changes done on the current CP database does not get reflected on the CPLs' individual email lists.	✓	✓	✓	✓
Data Archiving	1. Data has been stored since beginning of the FLORIDA system. 2. There is a need to create a comprehensive archive/purge strategy for all systems.		✓	✓	✓
Document Imaging	1. See Issues described in the writup for MyAccount Enhancements - OSE initiative. 2. Do not request clients to submit duplicate permanent record documents (if one is already available in the document imaging system).	✓	✓		
Notices	1. Staff are required to manually generate notices for applications and reviews that require additional information to verify eligibility criteria.	✓		✓	
Quality Management	1. There is a need to provide the ability to maintain staff performance evaluation information and include staff-related statistics or information currently obtained only through data reports. 2. In annual performance reviews, performance evaluators have to manually review reports and look for information pertinent to the staff member being evaluated. 3. Currently QMS is an independent system, data is transferred between systems (AMS to QMS); may need to be integrated in to one system to gain efficiencies.	✓	✓		

 = Business Functionality
  = Information and Data
  = Architecture
  = Support & Maintenance

Exhibit II-9 Current Business Process Issues and Category Mapping

a. Stakeholders

Each process affects individuals and entities inside and outside of DCF in unique ways. It is important to identify these stakeholders to determine a baseline impact on the organization and connected entities. The Project Management Institute (PMI) defines a stakeholder as “anyone who may be positively or negatively impacted by the project.” Exhibit II-10 below listed the project’s stakeholders that have been identified to date, as well as a summarization of how each will be affected by, or will participate in, the ACCESS System Completion. Although stakeholder impacts, even after time, pandemic, and a shift from system completion to system replacement, are not expected to change radically, this information will also be considered in the roadmap and IV-B engagement and revised if/as needed.

Business Process Stakeholder Groups	
Stakeholder	How affected and/or how group will participate
Florida Department of Children and Families (DCF)	<p>DCF operates multiple programs using the services of the ACCESS Florida System. For example, Office of Child Welfare, Family Safety / Child Protective Services use the current system to facilitate child-in-care and Relative Caregiver eligibility determinations. In addition, ACCESS eligibility services employ over 4,400 individuals who use the system on a daily basis. Internal stakeholders include:</p> <ul style="list-style-type: none"> • Executive Leadership • ESS Programs • Legislative Affairs • Office of Appeal Hearings • ACCESS Community Partner Liaisons (CPLs) • Office of Child Welfare (OCW) • Substance Abuse and Mental Health (SAMH) • Homelessness • Child Protective Investigators (CPIs) • Refugee Assistance • Adult Protective Investigators • Helpdesk • Information Technology Services • State Hospitals • DCF Training • DCF Communications
DCF Office of Public Benefits Integrity (PBI)	<p>PBI is responsible for combating fraud before, during, and after the eligibility process. The ACCESS Integrity Section uses data from the current system to pinpoint patterns of abuse and fraud. ACCESS Integrity also acts on referrals from eligibility workers and tips from the public. The Benefit Recovery Section establishes claims for overpayments of public assistance benefits and collects on those claims.</p>
Public Assistance Applicants and/or Recipients	<p>Any individual who uses ACCESS services to apply for benefits or who currently receives benefits.</p>
General Public	<p>A general body of people within the Florida community. The general public can access information regarding Department services, including ACCESS services, via the Department’s internet site.</p>
Florida Agency for Health Care Administration (AHCA)	<p>AHCA, as the State Medicaid Agency, receives Medicaid eligibility information from the current system through an interface with the FMMIS.</p>

Business Process Stakeholder Groups	
Stakeholder	How affected and/or how group will participate
Florida Department of Health (DOH)	<p>DOH, as the state agency responsible for disability determinations, provides information in the public assistance eligibility cases where disability is a factor. The ACCESS Florida system is affected by subject matter experts within DOH from the following areas:</p> <ul style="list-style-type: none"> • Presumptive Eligibility for Pregnant Women • Children’s Medical Services • Inspector General • WIC • Division of Disability Determinations
Florida Department of Financial Services (DFS) - Division of Public Assistance Fraud (DPAF)	<p>DPAF safeguards the public and businesses in Florida against acts of public assistance fraud have by enforcing federal and state criminal laws in relation to customer eligibility and misuse of public assistance. The division investigates cases of benefit overpayments where fraud is thought to have occurred and works with the Attorney General’s Office and Florida State Attorney Offices to prosecute those cases with evidence indicates criminal intent.</p>
Florida Department of Revenue (DOR)	<p>DOR manages the State's Child Support Enforcement Program. Child support is a determining factor in the public assistance eligibility process.</p>
Florida Department of Economic Opportunity (DEO)	<p>The DEO provides mandatory work activities and employment programs for select groups of food and cash assistance recipients. The DEO also functions as a community partner in the ACCESS network; providing both self-serve and full-service ACCESS eligibility services at its CareerSource centers. DEO is also the purveyor of unemployment compensation data through its System for Unified Taxation (SUNTAX) system. DCF uses this data for verification purposes in its eligibility process.</p>
Florida Healthy Kids Corporation (FHKC)	<p>FHKC administers the Title XXI portion of the Children’s Health Insurance Plan (CHIP). FHKC exchanges information on CHIP applicants to ensure that children who are not eligible for Title XXI CHIP are reviewed for Medicaid eligibility by DCF.</p>
Florida Department of Corrections (DOC)	<p>DOC operates in partnership with DCF to automatically close any SNAP or TANF benefit when a person enters the DOC to ensure benefits do not continue to an institutionalized person. The data provided also prevents incarcerated individual identities from being fraudulently used to apply for assistance.</p>

Business Process Stakeholder Groups	
Stakeholder	How affected and/or how group will participate
Other State Agencies	<p>Other agencies within the State of Florida that interact and/or are affected by the ACCESS program include:</p> <ul style="list-style-type: none"> • Florida Department of Elder Affairs (DOEA) • Florida Agency for Persons with Disabilities (APD) • Florida Department of Law Enforcement (FDLE) • Florida Office of the Attorney General (OAG) • Florida Public Service Commission (PSC) • Florida Office of Early Learning (OEL) • Florida Department of Agriculture and Consumer Services (DACS) • Florida Department of Education (DOE) • Florida Lottery • Florida Department of Highway Safety and Motor Vehicles (DHSMV) • Clerk of Courts • Auditor General
Florida Digital Services (FLDS)	<p>The FLDS data center provides utility computing services to the Department. The center maintains a 24x7x365, Tier II data center operation with redundant power, back-up generators, redundant network connections, and managed services for ACCESS Florida, along with providing offsite disaster recovery services for the system.</p>
Community Partner Network (CPN)	<p>The organizations and local governments that provide alternative, community-based sites for those in need of ACCESS services to apply for and receive assistance. A sampling of partners that use the system and perform a variety of functions are:</p> <ul style="list-style-type: none"> • Regional Workforce Development Boards • Community Based Care (CBC) Agencies • CPIs • Food Banks • Medicaid Providers
Contracted Services	<p>Third party vendors contract for various ACCESS related services. Examples of service contractors include:</p> <ul style="list-style-type: none"> • Notice provider • Asset verification provider • Identity verification provider • EBT service provider • Maintenance & Operations (M&O) provider • Benefit recovery collections • Electronic application providers
Other States	<p>Other states share data via interstate data matching services to identify customers receiving public assistance in multiple states in order to prevent fraudulent duplicate participation. Examples of data exchanges include:</p> <ul style="list-style-type: none"> • National Accuracy Clearinghouse (NAC) • Public Assistance Reporting Information System (PARIS)

Business Process Stakeholder Groups	
Stakeholder	How affected and/or how group will participate
Florida Legislature	The governing body responsible for enacting laws. The Legislature has exclusive authority to determine statute and adopt the budget for state government activities.
Executive Office of the Governor (EOG)	As a part of the overall governance team, the EOG communicates with the House and the Senate as well as creates a recommended budget and signs the budget voted on by the legislature.
United States Department of Agriculture (USDA) - Food and Nutrition Services (FNS), USDA Office of Inspector General	The federal grantor agency responsible for administering the SNAP Program.
United States Department of Health and Human Services (HHS) – Center for Medicaid and Medicare (CMS), HHS Administration for Children and Families (ACF)	The federal agency responsible for administering the TANF Program through ACF, and the Medicaid Program through CMS.
Other Federal Agencies	Other Federal Agencies have an impact on the ACCESS Florida System and provide a source of data used in determinations. They include: <ul style="list-style-type: none"> • Social Security Administration (SSA) • Internal Revenue Service (IRS) • Department of Defense (DoD) • Department of Treasury • Department of Justice (DOJ) • Department of Homeland Security (DHS) • Department of Labor (DOL) • Office of Child Support Enforcement (OCSE)

Exhibit II-10 Business Process Stakeholder Groups

b. Services Supported

The Department repeatedly earns accolades in recognition of the efficient and effective administration of the ESS Program, and the federal government has praised the State as being one of the most accurate in the nation. Historically as a national leader in program accuracy, service, and ingenuity the Program Office continually seeks innovative and efficient ways in which to serve Florida’s most vulnerable populations while aligning with modern technology to maintain benchmarks.

The primary assistance categories and the detailed functioning components that assist customers in need are outlined in the narrative of Exhibit II-11 ESS Service Area Descriptions below.

ESS Services	
Category	Description/Programs
Medical Assistance	Provides medical coverage to low-income individuals and families who meet the technical, income and asset requirements of the program. The Department determines Medicaid eligibility, and AHCA administers Medicaid services.
Food Assistance	SNAP supplements low-income individuals and families who meet the technical and income requirements of the program to buy the food they need for good health. The SUNCAP Program is a special food assistance program for individuals who receive Supplemental Security Income (SSI). The Food for Florida (D-SNAP) program offers emergency food benefits to victims of hurricanes or other types of disasters.
Cash Assistance	TANF provides cash assistance to families with children under the age of 18 or under the age of 19 if full time secondary school students, who meet the technical, income, and asset requirements. The program helps families become self-supporting by assisting in the payment of rent, utilities, and other household expenses through the temporary cash assistance grant while allowing children to remain in their own homes. It also provides cash help to nonrelative/relative caregivers who have custody of a non-related/relative child placed with them by the courts as an alternative to foster care. Additionally, Optional State Supplementation (OSS) provides payments to supplement the income of indigent elderly or disabled individuals who reside in community-based alternative living environments.
Refugee Assistance	The Refugee Assistance Program (RAP) provides financial and medical benefits, coordinates, and oversees many of the services provided to refugees and entrants in Florida to help them become economically self-sufficient. Refugee Services assists newly-arrived eligible customers in obtaining employment, learning English, acquiring job skills, and overcoming legal or medical difficulties.

Exhibit II-11 ESS Service Area Descriptions

2. Assumptions and Constraints

The assumptions and constraints that follow were developed in SFY 2016-2017 and have undergone initial review for the SFY 2022-2023 request and appear to maintain face validity, but the successful roadmap/IV-B consultant will include review and update (if needed) in the consulting engagement.

a. Assumptions

The following assumptions are statements about the project or its environment that are taken to be true and, accordingly, are factored into DCF’s plans and analysis for the proposed project.

- DCF desires to increase process effectiveness, reduce manual steps that rely on the use of ad-hoc tools and processes.
- Any gains in operational efficiency that the Department realizes through these efforts will be used to allocate additional resources to value-added activities, including managing the persistently sustained caseload, reducing the occurrence of fraudulent claims, and improving customer service levels.
- A suitable architecture model exists to facilitate rapid and scalable deployment of the technical and functional initiatives outlined in the proposed solution.
- DCF will employ the Organizational Change Management (OCM) activities required to implement the recommended solution in the most successful fashion.
- The project team will be adequately staffed to accomplish the project’s deliverables, milestones, and infrastructure, manage user involvement, ensure proper testing, produce necessary project planning documents, project status reporting and complete other project management tasks.
- The system will invest in building data interfaces with other agencies/departments rather than re-create the storage of duplicate data.
- Data migration from multiple legacy systems will be required.
- Labor rates for contracted staff are assumed to be in accordance with the IT consulting State Term Contract

for staff augmentation and comparable to similar projects recently undertaken by other Florida State Agencies.

b. Constraints

Constraints are identified factors that will limit the project management team’s options and affect the progress or success of the proposed project.

- Project funding is appropriated annually and may be subject to periodic releases throughout the year; depending upon suitable schedule and cost performance.
- Approval by either the EOG (in consultation with the Legislature) or the Legislative Budget Commission (LBC) may be required before any appropriated funds are made available to the Department.
- All schedules depend on the continual availability of appropriated funds.
- Information requests from external oversight agencies and partners can be time consuming to produce and can affect the project’s timeline.
- State and/or federal statutory changes, changes in administrative rules, and DCF policy changes could affect the project.
- The software tools supporting desired capabilities will be determined based on the solution proposed by the system integration vendor.
- MARS-E 2.0 security and privacy control framework must be maintained.
- Stakeholder involvement with and understanding of the project will be time-consuming.

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.

In order to meet the ever-increasing needs of its customers, front line workers, and state and federal partner agencies, the Department must continue to invest in the ACCESS System with new technology and tools that keep current with other agency partners and their systems to effectively connect, provide improved business functionality, prevent fraud and abuse, and address the issue of the system’s core aging infrastructure and its related complexity.

As discussion and decisions on business process requirements is the cornerstone of the roadmap process, the following information from the earlier engagement is included for reference but is likely to see significant changes as the roadmap is built and includes the impacts of new goals and objectives, different customer needs, pandemic impacts, and the opportunities offered by technology advances since the last IV-B was developed. For example, many of the items discussed have been completed and items such as “automated no touch processing,” which became the “time-saving innovation process” (TIP) have been optimized; however, the advances provided by TIP have piqued interest in the possibilities of robotics process automation (RPA) and whether that could expand on work handled by TIP. As the system replacement proceeds, these new technologies may offer advantages that were already addressed, or not feasible, in a systems completion effort.

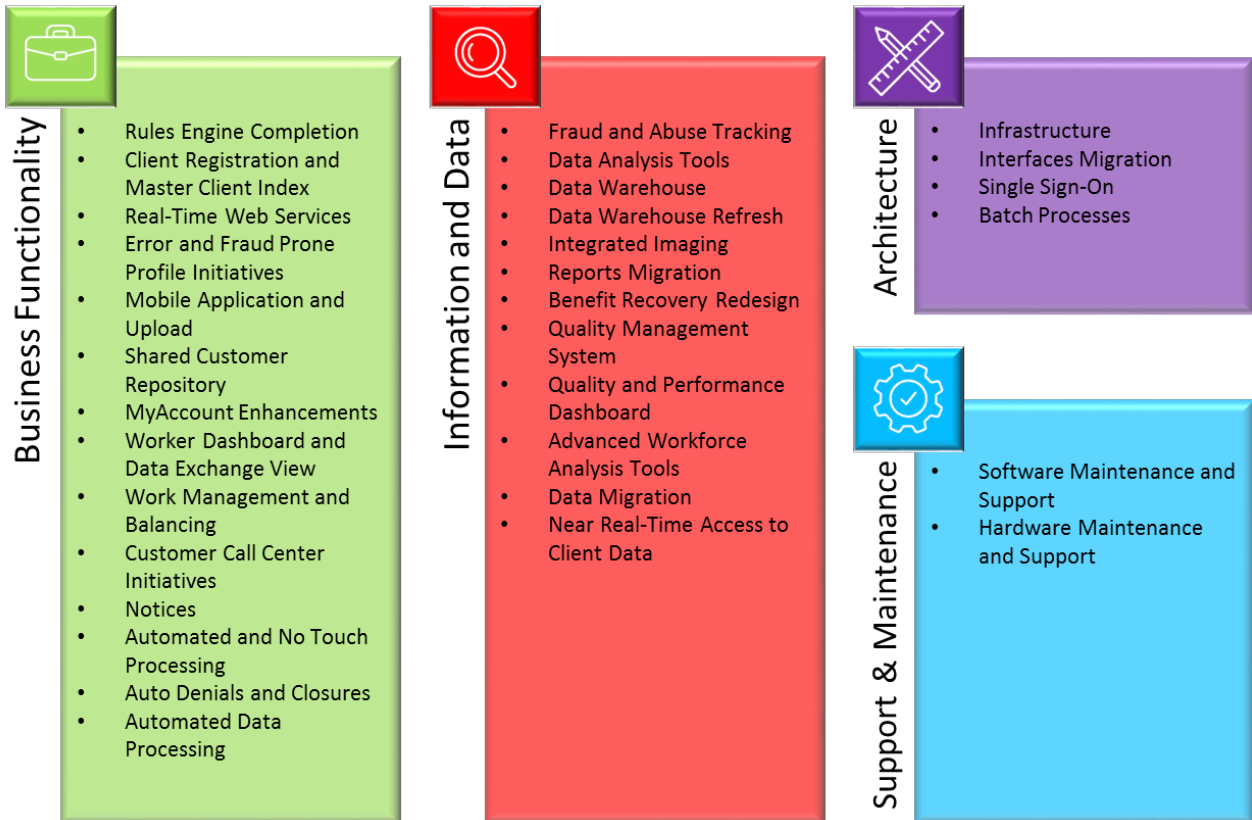


Exhibit II-12 Proposed System Initiatives

1. Proposed Business Process Requirements

The following sections provide an overview of the business processes requirements the system initiatives would support. These high-level requirements are a starting point for a more detailed requirements gathering and elaboration which will be conducted during the Definition Phase of the proposed project.

a. Business Functionality



The proposed initiatives included in this area involve the addition or improvement of system functionality across a number of business areas and related business functions and processes that are critical to the administration of Florida’s ESS program and service delivery. This is including but not limited to intake, eligibility verification and determination, customer communications and relationship management, work management, and fraud and abuse prevention. The business requirements that these 14 business functionality system initiatives would support are described below.

1. **Rules Engine Completion:** The proposed system initiative will migrate the eligibility rules for food and cash assistance programs from Florida to the ACCESS Florida System business rules engine so that all ESS program eligibility rules will reside in and leverage the business rules engine that was implemented with the MES Project. The solution will also migrate Eligibility Determination and Benefit Issuance system functionality into a new worker portal application to support those business processes. The rules engine will also score incoming applications using a set of proven error and fraud prone profiles so that high risk applications can be assigned to specialized investigative skilled staff.
2. **Client Registration:** The proposed system initiative will consolidate and strengthen the front- end client registration and clearance process on an enterprise level, whereby reducing fraud, into one application to streamline the intake function and improve worker application processing productivity.

3. ***Real-time and near real-time Web Services:*** The proposed system initiative will provide workers with instant and automated access to customer verification data tracked by external agencies to increase worker productivity, improve application processing accuracy and timeliness, prevent identity theft and fraud, and speed customer access to services and benefits. Web services would be established with a variety of partners, internal and third party.
4. ***Error and Fraud-Prone Profile Initiatives:*** The proposed system initiative will automatically prescreen and review applications, renewals, and changes prior to benefit authorization based on factors likely to result in error and/or fraud. Per Florida Statute 414.095(15), the Department must create an error-prone or fraud-prone case profile and screen each application for against the profile to identify cases that have a potential for error or fraud. The fraud-prone profile will identify and flag cases that require further review or additional investigation without worker intervention before the application, renewal, or change can be fully processed. The error-prone profile would identify and flag cases that are characteristic of common worker errors so that they can be more carefully reviewed before disposition, resulting in greater accuracy.
5. ***MyAccount Enhancements:*** The proposed system initiative will provide increased customer self-service options, including allowing customers to perform page-by-page indexing of documents by individual and document type, preview submitted documents, view the processing status of each submitted document, and receive direct communication from the worker and/or engage in real-time chat on pending verifications and what specific information is needed from the customer to complete processing, maximizing the use of electronic notifications. In addition, this initiative will allow customers to request an EBT card or enroll in a Medicaid managed care plan without agency assistance, facilitate access to customers' Managed Care accounts, and include enhanced customer security via multi-factor authentication allowing Florida to continue its status as a leader in security initiatives surrounding fraud prevention and increase its current ACCESS Integrity cost avoidance and savings.
6. ***Worker Dashboard and Data Exchange (DE) View:*** The proposed Worker Dashboard system initiative will provide workers with a single summarized view of work items that they are responsible for in order to intelligently track, display, and prioritize work items based on business needs. *Currently, workers must sign into approximately 15 screens to complete assignments.* Work items to be included are assignments, work in progress, appointments, incoming images, and data exchanges and alerts. The Worker Dashboard will also enable supervisors and administrators to access and monitor the same information for their respective areas of responsibility at the worker, unit, or administration level. The proposed Data Exchange View system initiative would automate searches third party systems to verify applicant citizenship status, income, assets, and other relevant information, and it would consolidate the results into one screen that can be easily accessed during application processing and during claim determination to recover overpaid benefits due to error or fraud.

7. **Work Management and Balancing:** The proposed system initiative will automate the balancing and distribution of workload across the State based on pre-defined criteria, including work levels, without requiring supervisor or administrator intervention. This functionality would dynamically throttle and configure the routing of incoming work items to administrative units and balance the load across regions and circuits so that statewide capacity is fully utilized, resources are optimized and virtual, and output is maximized, even and especially in the event of a disaster.
8. **Notices:** The proposed system initiative will allow *detailed* notices to customers and simplify the process of creating and modifying customer notices which will dramatically reduce the associated costs through the implementation of configurable, on demand notices. This initiative will also maximize the use of electronic notifications.
9. **Robotic Process Automation:** The proposed system initiative will enhance and secure automated and no touch processing in order to maintain benefit accuracy and integrity, improve application processing productivity, and keep historic records for on demand reporting.
10. **Auto Denials and Closures:** The proposed system initiative will automatically deny or close based on predefined criteria without requiring worker intervention in order to enhance benefit accuracy and integrity, and workload associated with performing these case actions.
11. **Automated Data Processing:** The proposed system initiative will consolidate and streamline the data entry process for new applications, renewals, and changes to improve worker productivity via automatic data population and identification of conflicting existing customer data.

b. Information and Data



Like all health and human services enterprises, rapid access to high quality data is critical to the integrity and efficient and effective operation of the Department’s business model. As such, the Department requires a modern approach to data management so that the information needed for business processes and reporting is both available and accurate and provides internal and external stakeholders with accurate and consistent data. The proposed initiatives included in this area involve the integration of data that is currently maintained in separate applications and databases and the creation of performance dashboards. The business requirements that these 12 information and data system initiatives will support are described below.

1. **Fraud and Abuse Tracking:** The proposed system initiative will support the ACCESS Integrity and Benefit Recovery program workflows encompassing the entire lifecycle of fraud and abuse referrals, including identifying fraud-prone profiles, and training applications to subject matter experts to identify and stop fraud before benefits are approved. It would enable case management functions, through the comprehensive identification, capture, tracking, and monitoring of complaints, referrals, investigations, claims, and disposition/outcomes, and the automated generation of alerts when action is needed. The solution will provide workers with the information needed to more efficiently process referrals, including access to multi-state data matches, to accelerate decision-making to prevent fraud and issuance of benefits, and to establish the foundation for future data analysis. It also would enable the Department to retire the current ACCESS Online System and reduce associated operations and maintenance costs.
2. **Data Analytics Tools:** The proposed system initiative will provide functionality to analyze current and historical program and customer data to identify trends and underlying factors related to fraud, waste and abuse, child welfare and other agency programs, and employment and training opportunities. The solution will provide the tools to enable the Department to search, understand, and triage data, detect potential fraud and misuse of benefits, and improve decision making for workers, supervisors, administrators, and management in an improved manner.

3. ***Integrated Imaging:*** The proposed system initiative will streamline the Department’s Mail and Scan operations and business processes by automating the indexing of documents submitted by customers with state-of-the-art encoding technology, smart forms, and automating the routing of customer documents to workers through predefined workflow criteria. The imaging solution will be integrated with the worker portal to provide staff with seamless access to customer documents directly through the Worker Dashboard and other worker portal screens.
4. ***Benefit Recovery Redesign:*** The proposed system initiative will support the Department’s compliance with federal guidelines and benefit recovery business processes within the worker portal to provide enhanced visibility to data exchanges and alerts, and improve workflow management, enabling the Department to retire the currently fragile Benefit Recovery System, reduce operations and maintenance costs, increase productivity, and reduce the Benefit Recovery backlog. In the past few years, the Benefit Recovery program has undergone a 40% reduction in staff, business process redesign, and changes in federal policies, yet the system has not kept up with these changes. Manual “workarounds” have become a permanent part of BR processes, limiting the type of productivity increases needed to address the workload. Large portions of Benefit Recovery functionality were retained in the FLORIDA system, requiring repeated reconciliations, manual processes, and alerts to notify IT when the interface between FLORIDA and IBRS fails.
5. ***Quality Management System:***
 - ***Quality Assurance:*** The proposed system initiative will integrate and support the ESS program’s quality management (QM) within the new worker portal, including the ability to generate random samples of cases for review, read case records, identify error-prone areas, and compile QM data and results.
 - ***Quality Control:*** The proposed system initiative will enhance automation of federally mandated quality control (QC) business processes, including auto-population of review findings.
6. ***Quality and Performance Dashboard:*** The proposed system initiative will provide an overview of the ESS program’s performance, quality rating, and an organizational score card to enable the Department to better manage, monitor, and optimize critical business processes and activities using metrics of business performance that support data driven decision making. The solution would also trigger alerts when a problem arises and provide tools to analyze the root cause of the problem by exploring relevant and timely information from multiple perspectives and at various levels of detail.
7. ***Advanced Workforce Analysis Tools:*** The proposed system initiative will provide easier access to work force data and an advanced set of data analysis tools and metrics that allows for comprehensive workforce performance measurement and productivity improvements. The solution would support decision-making around planning and forecasting for employment needs and labor cost avoidance, including overtime costs, and enable the identification of inefficiencies that can be addressed through staff training and process improvements.
8. ***Data Migration:*** The proposed system initiative will include data cleanup activities conducted jointly with DCF and appropriate vendor staff, and migration of ESS program data and processing from all databases including the hierarchical IMS database to improve data access and reduce operations and maintenance costs.

9. **Real to Near Real-time Access to Client Data:** The proposed system initiative will provide workers and customers with real or near real-time access to customer data via the worker portal and MyAccount. This functionality would replace the nightly Florida Operational Data Store (FLODS) batch extract containing day-old account information that customers and workers currently receive and rely on to ensure more timely and accurate eligibility determination.

c. Architecture



Over time, a multitude of sub-systems and applications have been added on to the legacy system to support the Department’s evolving business needs. As a result, the ACCESS Florida System has become overly complex and increasingly inflexible. The proposed initiatives included in this area involve replacement and consolidation of servers and a new system infrastructure to better align with and support the Department’s business processes today and well into the future. The business requirements that these four architecture system initiatives will support are described below.

1. **Infrastructure Upgrade:** The proposed system initiative will establish a consolidated, scalable on demand, modern platform that provides the solid base and flexibility needed to mitigate maintenance and operation costs associated with the legacy mainframe environment, support increased caseloads, facilitate the implementation of future operational efficiencies, allow a more rapid response to future state and federal program and policy mandates and the constantly involving fraud characteristics, build stronger relationships with customers, and enable quicker access to services and improved outcomes.
2. **Interfaces Migration:** The proposed system initiative will eliminate the need for data used by the ESS program’s eligibility verification and case maintenance business processes to be transferred between multiple systems by migrating these interfaces to the new system platform. Interfaces that would be migrated include, but are not limited to, the Florida Department of Law Enforcement, Florida Department of Revenue, Florida Department of Corrections, United States Department of Agriculture Food and Nutrition Service, U.S. Internal Revenue Service, U.S. Department of Defense, Center for Medicare and Medicaid, Administration for Children and Families, Florida Lottery, Florida Department of Financial Services, Florida Agency for Health Care Administration, and Electronic Benefits Transfer.
3. **Batch Processes:** The proposed system initiative will migrate batch processes from the legacy mainframe to the new system platform.

d. Support and Maintenance



The proposed initiatives included in this area involve the activities that are required for the operation and maintenance of the ACCESS System, including but not limited to operating the system, monitoring system performance, fixing defects, testing changes to the system, and performing software maintenance and upgrades. The business requirements that these two support and maintenance system initiatives will support are described below.

1. **Software Maintenance/Support:** The proposed system initiative will provide the Department with the ability to better manage ongoing software maintenance and support costs.
2. **Hardware Maintenance/Support:** The proposed system initiative will provide the Department with the ability to better manage ongoing hardware maintenance and support costs.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

2.

3. Business Solution Alternatives

Business solution alternatives for transformation will be part of the roadmap. Two obvious alternatives are not to commence transformation or to try to do a system replacement, a strategy that has been proposed before. are expected to be significantly different from business solution alternatives for legacy system completion. What is currently under discussion as a likely alternative is described below.

a. Three Year System Transformation

Year 1 is expected to include client registration, fraud triage/ACCESS integrity, and client notices re-write

Year 2 will address application entry, eligibility, case management, and common modules (FAQs, Help, etc.)

Year 3 will be for benefit recovery, workload management, and authorization.

Exhibit II-13 shows the preliminary proposed scheduled with costs:

Florida ACCESS Incremental Modernization Timeline		Fed SNAP Spend Cycle												Total IT Increment Spend																																																			
		\$28M						\$51M						\$51M						\$50M						\$50M						\$1M																																	
		\$12.5M												\$50M												\$50M												\$50M												\$1M															
		FY 21/22 Year 1												FY 22/23 Year 2												FY 23/24 Year 3												FY 24/25 Year 4												FY 25/26 Year 5															
Increment	Module	JL	AU	ST	OC	NV	DC	JY	FB	MR	AP	MY	JN	JL	AU	ST	OC	NV	DC	JY	FB	MR	AP	MY	JN	JL	AU	ST	OC	NV	DC	JY	FB	MR	AP	MY	JN	JL	AU	ST	OC	NV	DC	JY	FB	MR	AP	MY	JN	JL	AU	ST	OC	NV	DC	JY	FB	MR	AP	MY	JN				
1	Enterprise Architecture Design			\$450K																																																													
	Client Registration				\$5-6M																																																												
	Access Integrity/ Fraud Prev						\$5M																																																										
	Re-write of Client Notices			\$2M																																																													
2	App Entry							\$2M												\$14-16M																																													
	Eligibility																			\$10-12M																																													
	Case Mgmt Platform																			\$3M																																													
	Common (FAQ, Help, etc.)																			\$3M																																													
3	Benefit Recovery																			\$5-6M														\$3M																															
	Workload Mgmt																			\$3-4M														\$3M																															
	Authorization																			\$5-6M														\$5-6M																															
4	Document Mgmt																																	\$8-10M																															
	DSNAP																																	\$7-8M																															
5	Benefit Issuance																																	\$6-7M																															
	Interfaces																																	\$4-5M																															
	Client Notices Backend																																	\$8-10M																															
	Self Service Portal																																	\$5-8M																															
	Mass Change																																	\$5-6M																															
6	Quality Assurance																																	\$5-6M																															
	Chatbot																																	\$1M																															

Exhibit II-13 Timeline and Costs

4. Rationale for Selection

This section describes the analysis of alternative approaches considered for ACCESS Florida transformation and will be updated after the roadmap is completed.

Each of the evaluation criteria are scored based upon specific factors that would contribute to the success and benefit realization of the ACCESS System Completion. Descriptions for the factors can be found in Exhibit II-16 Evaluation Criteria Description and might use criteria similar to those in the chart below:

No.	Evaluation Criteria	Definition	Weighting
1	Alignment with Goals	The extent to which the solution is aligned with the Department’s strategic vision and overall business goals and objectives.	20%
2	Customer Value	The value the outcomes of the solution will bring to the Department’s customers.	10%
3	Risk Mitigation	The risk that the Department would be exposed to as a result of implementing the solution (probability, impact, etc.).	15%
4	Technical Architecture	The extent to which the technical architecture of the solution supports the current and future needs of the Department.	10%
5	Business Alignment	How well the solution supports current and future business processes.	20%
6	Data Architecture	How well the solution adheres to accepted data storage and exchange protocols, provides significant protections for sensitive information, and allows for future growth.	5%
7	Financial	The financial benefits that the solution can bring to the State of Florida.	20%

Exhibit II-15 Evaluation Criteria Definitions and Weighting

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

No.	Evaluation Criteria	Factors
1	Alignment with Goals	<ul style="list-style-type: none"> • Stewardship - The solution will enable the Department to effect program integrity and improvements by applying proven best practices to maximize efficiencies and outcomes. • Protect Vulnerable - The solution will aid the Department in protecting the vulnerable people served by providing quality of life assistance while securing their identity and confidentiality. • Family Recovery - The solution will enable family accountability by helping Floridians move from entitlement to empowerment. • Communities - The solution will enable the Department to engage communities by seeking partnerships that promote local programs designed to strengthen families. • Self-Sufficiency - The solution will provide the tools, resources, services, and processes that further promote self-sufficiency for customers in today's world. • Frontline Staff - The solution will enable the Department to empower frontline staff by providing the support and tools employees need to deliver world-class service to Floridians; and allow the department to direct and manage those resources more cost effectively. • Adaptability - The solution will enable the Department to adapt to and implement the ever-changing emerging trends in the health and human services landscape.
2	Customer Value	<ul style="list-style-type: none"> • Supports Evolving Needs - The solution supports evolving customer needs, including multiple self-service options and communication channels, including mobile. • Customer Experience - The solution offers an improved customer experience that should result in increased customer satisfaction and an improved relationship with the Department. • Enables Relationships - The solution will enable the Department to foster a stronger relationship between the agency and its customers. • Protects Privacy - The solution will support strong privacy and confidentiality controls of customer information to protect their identities.
3	Risk Mitigation	<ul style="list-style-type: none"> • Data Risk - The solution will mitigate the Department's risk related to data migration. • Resource Risk - The solution will mitigate the Department's risk related to the extremely limited availability of IT resources with the skill set required to maintain the system. • Implementation Risk - The solution will mitigate the Department's risk related to the success of project implementation (along key project constraints - scope, schedule, budget, quality, and resources). • Expected Benefit Risk - The solution will mitigate the Department's risk related to the realization of expected benefits. • Litigation Risk - The solution will mitigate the Department's exposure to risk of litigation. • Fraud Risk - The solution will mitigate the Department's risk related to fraud, abuse, and identity theft.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

No.	Evaluation Criteria	Factors
4	Technical Architecture	<ul style="list-style-type: none"> • Flexibility - The solution offers the flexibility for the Department to be responsive to future state and federal mandates in a cost-effective manner; and respond to a continually changing fraud environment. • Future Demand - The solution offers the stability and scalability necessary to support future demand. • Integration - The solution will enable the Department to integrate with other internal and external systems in a cost-effective manner. • Value to Partners - The solution offers the scalability and flexibility necessary to leverage and extend it to support or add value for other internal partners (e.g., Child Welfare, SAMH) and external partners (e.g., AHCA, FHKC, DOH, DEO). • Meets Standards - The solution meets the Centers for Medicare and Medicaid Services Seven Standards and Conditions and is aligned with industry standards, such as the Medicaid Information Technology Architecture (MITA) and National Human Services Interoperability Architecture (NHSIA).
5	Business Alignment	<ul style="list-style-type: none"> • Future Business Process - The solution supports business process reengineering and streamlining to enable the Department to run its operations more effectively and efficiently now and in the future. • Current Business Process - The solution supports the Department’s current business processes and would eliminate current workarounds or extensive staff training. • Positive Impact - The solution will positively impact the user experience/worker satisfaction and will result in fiscal responsibility by providing benefits timely, accurately, and to only those truly eligible. • Resource Capacity - The solution will free-up manual and wasteful resource capacity so that it can be applied to more value-add activities.
6	Data Architecture	<ul style="list-style-type: none"> • Data Governance - The solution offers an underlying data governance solution that is manageable and scalable to meet future growth, reinforces data integrity, and supports data governance and analytics. • Data Security - The solution allows the state to fully protect sensitive information of Floridians in accordance with national standards. • Data Sharing - The solution provides industry standard interface methodologies. • Data Analytics - The solution enables robust trend and analysis of data.
7	Financial	<ul style="list-style-type: none"> • One-time Project Costs - The solution has a manageable project cost for implementation and other one-time components. • Ongoing Operational Costs - The solution’s ongoing operational costs are within acceptable ranges and feasible for the Department. • Tangible Benefits - The solution realizes tangible benefits for stakeholders. • Intangible Benefits - The solution realizes intangible benefits for stakeholders. • Financial Metrics - The solution has acceptable ROI, NPV, and adequate payback period.

Exhibit II-16 Evaluation Criteria Description

4. Recommended Business Solution

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.

Based upon the analysis of alternatives and the needs of the Department, the final solution will be defined after the roadmap is completed and will be described in detail in an updated Schedule IV-B.

D. Functional and Technical Requirements

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

As with the earlier sections, updates to the functional and technical requirements will be part of the roadmap and final IV-B. Some items in the list below may be removed if they are no longer applicable in the proposed path, while others, such as the master client index and mobility, are likely to remain needs although the form taken may differ distinctly from earlier strategic visions because some of the work has been done by DCF in the interim and because business goals and available technologies have changed. The draft high-level functional and technical system requirements that must be met by the project to achieve the business objectives and business requirements outlined in the Strategic Needs Assessment section of this document are listed below.

Requirement Area	Initiative	Description
Business Functionality	Rules Engine Completion	The solution shall utilize the business rules engine (BRE) in the MES architecture to define and maintain configurable eligibility rules for the public assistance programs including Food Assistance (SNAP), Cash Assistance (TANF), Medical Assistance (Medicaid/CHIP), and Refugee Assistance Program (RAP).
Business Functionality	Rules Engine Completion	The solution shall utilize the business rules engine (BRE) in the MES architecture to define and maintain configurable business rules for the triage of error-prone and fraud-prone profiles.
Business Functionality	Real-time Web Services	The solution shall provide a real-time interface with Florida Medicaid Management Information System (FMMIS) to allow customers who have been determined eligible to enroll in manage care and receive benefits upon approval and without delay.
Business Functionality	Real-time Web Services	The solution shall provide a real-time interface with the DEO SUNTAX system to provide real-time data on unemployment benefits utilized to determine eligibility.
Business Functionality	Real-time Web Services	The solution shall migrate existing web services.
Business Functionality	Error and Fraud Prone Profiles	The solution shall automatically flag and triage applications for further review and referral without requiring worker intervention to identify fraud prior to disposition.
Business Functionality	Error and Fraud Prone Profiles	The solution shall automatically flag and triage applications with characteristics prone to error for a higher level of review before approval.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Requirement Area	Initiative	Description
Business Functionality	Mobile Application & Upload	The solution will enable functionality to allow customers with a mobile-optimized version of “MyAccount” functionality that provides customers the ability to capture, upload, and index images of verification documents, and the ability to use location services to find the nearest referral services, all without any assistance from the Department.
Business Functionality	MyAccount Enhancements	The solution shall provide customers real-time access to the status of new applications, requests for additional benefits, reported changes, renewals, verifications, and benefit amounts. The solution shall allow customers to select and enroll in a Medicaid manage care provider.
Business Functionality	MyAccount Enhancements	The solution shall enable customers to engage in direct communication with the worker on pending verifications and what specific information is needed from the customer to complete processing.
Business Functionality	Worker Dashboard and Data Exchange View	The solution shall display prioritized case information on a configurable worker dashboard with drill-down to detailed information, including data gathered from existing state and federal data exchanges, alerts and third party systems relevant to the individuals associated with the work item that is being processed.
Business Functionality	Work Management and Balancing	The solution shall have the ability to throttle and route incoming work items to staff based on a work management model that balances load across regions, circuits, and administrative units.
Business Functionality	Customer Call Center Enhancements	The solution shall integrate with CCC software to allow staff to communicate with customers via chat, email, and text.
Business Functionality	Notices	The solution shall trigger, generate, and publish <i>detailed</i> , configurable notices to customers.
Business Functionality	Notices	The solution shall retain a historic record of all notices for on demand reporting.
Business Functionality	Automated No Touch Processing	The solution shall automatically import data from electronic sources such as the existing self-service portal and account transfers into the worker portal system.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Requirement Area	Initiative	Description
Business Functionality	Automated No Touch Processing	The solution shall automatically process a case from client registration through enrollment without user involvement when this meets pre-defined eligibility conditions.
Business Functionality	Automated No Touch Processing	Where conflicts exist between newly received electronic data and data that already exists in the system, the solution will display the conflicting data to the user so that the user can take action to resolve each conflict and move to the next.
Business Functionality	Automated No Touch Processing	The solution shall accurately and automatically re-determine eligibility and send an Automatic Redetermination notice for benefits where electronic verifications are available and allowable by DCF interpretation of policies and regulations.
Business Functionality	Auto Denials and Closures	The solution shall accurately and automatically deny or close cases without worker intervention based on pre-defined eligibility conditions.
Information and Data	Fraud and Abuse Tracking	The solution shall provide comprehensive application triage, workflow, and case management functionality to track and monitor complaints, referrals, investigations, claims, and outcomes for the ACCESS Integrity and Benefit Recovery programs integrated within the worker portal system.
Information and Data	Fraud and Abuse Tracking	The solution shall provide the ability to utilize EBT transaction data to identify fraud, trafficking, and identity theft.
Information and Data	Data Analysis Tools	The solution shall provide data analytic and forecasting capabilities for current, future, and historical data provided by the Data Warehouse to identify underlying factors related to fraud, waste, and abuse to detect potential misuse of benefits.
Information and Data	Data Analysis Tools	The solution shall provide the tools to identify trends and forecasting opportunities related to process improvement and training.
Information and Data	Data Analysis Tools	The system shall establish and produce a range of scores to categorize applications and work items by level of risk and priority.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Requirement Area	Initiative	Description
Information and Data	Integrated Imaging	The solution shall provide integrated access to previously submitted and indexed documents to a customer from the self-service portal (should be handled via Enterprise Content Management instead if implemented).
Information and Data	Integrated Imaging	The solution shall utilize a Services-Oriented Approach (SOA) and standards-based approach to imaging based on the MES architecture.
Information and Data	Integrated Imaging	The solution shall track customer forms and notices using state-of-the-art encoding technology and smart forms to automatically route documents based on document metadata and other predefined conditions.
Information and Data	Integrated Imaging	The solution shall automatically index verification documents based on customer identification through state-of-the-art encoding technology.
Information and Data	Reports Migration	The solution shall migrate legacy reports from the ACCESS Data & Reports system, Integrated Benefit Recovery System (IBRS), Exceptions Management System, and Supplemental Payment System (SPS) and Expectations Management to the Business Objects enterprise platform established as part of the MES architecture.
Information and Data	Benefit Recovery Redesign	The solution shall provide an interface to share benefit recovery data with the Department of Public Assistance Fraud (DPAF), Department of Corrections (DOC), Department of Lottery (DOL), and Florida Department of Law Enforcement (FDLE).
Information and Data	Benefit Recovery Redesign	The solution shall enable use of the worker dashboard to identify and recover overpayment of benefits.
Information and Data	Benefit Recovery Redesign	The solution shall provide a multi-program, multi-state interface to interchange information on customers receiving benefits in other states to avoid duplicate participation.
Information and Data	QMS Redesign	The solution shall provide comprehensive quality assurance and control functionality that allows for random sampling and supervisor and second party reviews from within the worker portal system.
Information and Data	Quality/Performance Dashboard	The solution shall provide views of organizational performance based on both qualitative and quantitative metrics in a dashboard format that can be configured based on roles (i.e., executive, supervisor, and worker).
Information and Data	Advanced Workforce Analysis Tools	The solution shall utilize workforce analysis and trend tools to identify potential opportunities to optimize labor costs.
Information and Data	Near Real-time Data Access	The solution shall provide real-time access to customer data via the MyAccount and worker portal systems.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Requirement Area	Initiative	Description
Architecture	Single Sign-On	The solution shall require users to sign on only once to access multiple systems that support ESS worker processing.
Architecture	SOA/Standards	The solution architecture shall be modular with open interfaces and business rules that are separate from application-related programming.
Architecture	SOA/Standards	The solution shall comply with CMS 7 Standards and Conditions and leverage an open, standards-based, SOA that aligns with the MITA maturity model as published in 42 CFR Part 433.
Architecture	SOA/Standards	The solution shall be deployed as a web-based, graphical user interface, accessed via a web browser or mobile application.
Architecture	SOA/Standards	The solution shall comply with accessibility standards and regulations under Sections 504 and 508 of the Rehabilitation Act of 1973, as well as with the Americans with Disabilities Act of 1990 (ADA).
Architecture	Implementation Approach	The solution shall have the capability to interact with ACCESS Florida mainframe and ACCESS Document Imaging (ADI) systems to continue to provide existing business services while legacy ACCESS systems are undergoing reengineering in a phased implementation.
Architecture	System Performance	The solution shall provide the capability for capacity monitoring via server volume/capacity and network volume/capacity monitoring.
Architecture	System Performance	The solution shall provide the capability for application monitoring for all ACCESS Florida system functionality.
Architecture	System Performance	The solution shall include infrastructure based on the MES architecture to accommodate processing of existing volume and capacity of ESS worker caseloads which have had a 30% cumulative growth over the last five-year period.
Architecture	Disaster Recovery	The solution shall provide the ability to create back up customer information, case information, eligibility benefits batch files, and all system components for disaster recovery.
Architecture	Data Migration	The solution shall convert functionality and processes written in COBOL and other third-party supporting software on the ACCESS Florida mainframe to an open systems platform.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Requirement Area	Initiative	Description
Architecture	Data Migration	The solution shall convert customer information such as but not limited to benefit/service history, overpayments, recoupments, benefit clocks, and sanctions from the IMS hierarchical database on the ACCESS Florida mainframe to a relational database.
Architecture	Data Migration	The solution shall provide the capability to convert active (on-line), inactive (i.e., closed, denied) and archived (off-line) records.
Architecture	Data Migration	The solution shall provide a mechanism to clean the data and remove duplicate records.
Architecture	Interface Migration	The solution shall migrate interfaces with the ACCESS Florida mainframe to the MES architecture based on an Enterprise Service Bus (ESB).
Architecture	Interface Migration	The solution supports the secure transmission of data via the ESB using an established security appliance as part of the MES architecture.
Architecture	Interface Migration	The solution shall provide the ability to import data into the system in multiple formats (i.e., csv, fixed length ASCII, tab-delimited).
Architecture	Interface Migration	The solution shall provide the ability to maintain external system information for interfaces (i.e., connection strings, file paths).
Architecture	Interface Migration	The solution shall provide the ability to transmit and receive imported and exported data through multiple secure methods compliant with NIST standards (i.e., file output, web service, single and batch transactions).
Architecture	Security	The solution shall meet the minimum security requirements as defined by FIPS through the use of security controls in accordance with NIST standards.
Architecture	Security	The solution shall support full compliance with the controls defined in Volume III: Catalog of Minimum Acceptable Risk Security and Privacy Controls for Exchanges, including the document suite of guidance, requirements, and templates known as the Minimum Acceptable Risk Standards for Exchanges (MARS-E), Version 2.0.
Architecture	Security	The solution shall enable multi-factor authentication for secure access to data.

Exhibit II-19 Functional and Technical Requirements

II. Success Criteria

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

The success of the ACCESS Florida replacement project will be based on a number of quantitative and qualitative factors. Each of these factors are in alignment with the business objectives and proposed business process requirements outlined in the Strategic Needs Assessment section of this document, as well as the overall vision and mission of the Department. Although the criteria and indicators proposed for the system completion will be reviewed, they are broadly strategic and align to federal and state performance and compliance requirements and may or may not change.

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

Success Criteria		
#	Description of Success Criteria	Key Performance Indicator
1	The solution will enable the Department to provide exceptional service to its customers.	<ul style="list-style-type: none"> Quality benchmarks Percent of applications completed within time standards
2	The solution will support the Department in its on-going practice of sound fiscal stewardship of its assets.	<ul style="list-style-type: none"> Quality benchmarks Fraud prevention cost avoidance Overhead costs Dollars collected through Benefit Recovery Case cost
3	The solution will promote family and individual self-determination and choice.	<ul style="list-style-type: none"> Number of self-service options
4	The solution will enable the Department to improve its internal operating efficiency.	<ul style="list-style-type: none"> Percent of applications completed within time standards Fraud prevention cost avoidance Days to process Calls to CCC Number of cross-program customers identified and served holistically Number of automated processes
5	The solution will enable the Department to adapt to emerging trends on the health and human service landscape.	<ul style="list-style-type: none"> Cost to implement future regulatory changes Time to implement future regulatory changes
6	The solution will provide value to the Department's customers through additional self-service options.	<ul style="list-style-type: none"> Number of self-service options Percent of applications completed by use of automation Percent of applications submitted via mobile Number of CCC calls Number of DCF Lobby visits
7	The solution will mitigate the potential risk associated with on-going support and maintenance of the system.	<ul style="list-style-type: none"> On-going support and maintenance costs Unscheduled system outages

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Success Criteria		
#	Description of Success Criteria	Key Performance Indicator
8	The solution will present program data from disparate systems in an integrated view of the customer situation, needs, and services.	<ul style="list-style-type: none"> • Time required to process an application • Quality benchmarks • Number of cross-program customers identified and served holistically
9	The solution will meet the Centers for Medicare and Medicaid Services Seven Standards and Conditions.	<ul style="list-style-type: none"> • Cost to implement future regulatory changes • Time to implement future regulatory changes
10	The solution will be aligned with industry standards, such as the Medicaid Information Technology Architecture (MITA) and National Human Services Interoperability Architecture (NHSIA).	<ul style="list-style-type: none"> • Cost to implement future regulatory changes • Time to implement future regulatory changes
11	The solution will positively impact the user experience/employee satisfaction.	<ul style="list-style-type: none"> • Employee survey results • Customer survey results • Audits and review results • Turnover
12	The solution will provide an underlying data structure that is scalable to meet future growth.	<ul style="list-style-type: none"> • On-going support and maintenance costs • Time to implement • Ability to support data analytics • Number of cross-program customers identified and served
13	The solution will allow the Department to fully protect sensitive personal information and prevent identity theft.	<ul style="list-style-type: none"> • Breaches of data security/privacy • Audits and review results • Number of identity theft investigations • Fraud prevention cost avoidance
14	The solution will provide a positive financial ROI to the State of Florida.	<ul style="list-style-type: none"> • Project ROI • Project IRR
15	The project will be completed on-schedule, in accordance with an approved project plan.	<ul style="list-style-type: none"> • Interim project milestones
16	The project will be completed within the prescribed budget constraints defined in advanced of project initiation.	<ul style="list-style-type: none"> • Project financial performance
17	The solution will allow the Department to further prevent fraud on the front end.	<ul style="list-style-type: none"> • Fraud prevention cost avoidance • Number of fraud investigations • Number of benefit recovery referrals

Exhibit III-1 Project Success Criteria

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

This section, too, will be reviewed and revised as part of the roadmap/IV-B engagement. Some of the benefits described in SFY 2016-2017 have been achieved, some are not applicable to system transformation, some new system benefits may not have been included. Current cost information, as far as it is known (preliminary estimates and funding sources) is included in the graphic below:

		\$9,000,000			\$5,000,000			\$51,000,000			\$40,000,000			\$40,000,000		
%	Funding Splits	GR	FGTF	Need	GR	FGTF	Need	GR	FGTF	Need	GR	FGTF	Need	GR	FGTF	Need
3.98%	TANF	\$ 358,553		State	\$ 199,196		State	\$ 2,031,800		State	\$ 1,593,569		State	\$ 1,593,569		State
59.34%	Medicaid	\$ 534,060	\$ 4,806,540	90/10 Model	\$ 296,700	\$ 2,670,300	90/10 Model	\$ 3,026,340	\$ 27,237,060	90/10 Model	\$ 2,373,600	\$ 21,362,400	90/10 Model	\$ 2,373,600	\$ 21,362,400	90/10 Model
36.10%	SNAP		\$ 3,249,000	ARP		\$ 1,805,000	ARP		\$ 18,411,000	ARP	\$ 7,220,000	\$ 7,220,000	SNAP Admin	\$ 7,220,000	\$ 7,220,000	SNAP Admin
0.13%	Refugee	\$ 11,567		State	\$ 6,426		State	\$ 65,548		State	\$ 51,410		State	\$ 51,410		State
0.29%	4E	\$ 13,012	\$ 13,012	50/50	\$ 7,229	\$ 7,229	50/50	\$ 73,737	\$ 73,737	50/50	\$ 57,833	\$ 57,833	50/50	\$ 57,833	\$ 57,833	50/50
0.16%	Ineligibles	\$ 14,458		State	\$ 8,032		State	\$ 81,926		State	\$ 64,256		State	\$ 64,256		State
100.00%	Total	\$ 931,650	\$ 8,068,552		\$ 517,583	\$ 4,482,529		\$ 5,279,351	\$ 45,721,797		\$ 11,360,668	\$ 28,640,233		\$ 11,360,668	\$ 28,640,233	

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.

The following table provides a breakdown and explanation of the expected benefits, both tangible and intangible, which Alternative 1 – 3-Year ACCESS System Completion effort is expected to yield for DCF. The detailed benefit realization calculations and assumptions are in Appendix C.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

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.	Streamlined Application Entry Process Improved Productivity - \$1,709,744 in benefits per year once implemented (implementation of Automatic Redeterminations & No Touch impacts this benefit). See BF-01 in Appendix C for detailed benefits calculation and assumptions.	DCF Staff DCF Customers (Program Participants) DCF Partner Agencies Florida Taxpayers	<ul style="list-style-type: none"> • Consolidation of entry processing to one system • Reduced number of screens required to process an application • Automated population of customer and administrative data 	Number of cases processed Average application entry processing time Percentage of applications processed within time standards	
2.	Streamlined Client Registration Process Improved Productivity - \$202,338 in benefits for the first year (based on mid-year implementation) and then \$303,507 per year once implemented (implementation of No Touch impacts this benefit). See BF-02 in Appendix C for detailed benefits calculation and assumptions.	DCF Staff DCF Customers (Program Participants) DCF Partner Agencies Florida Taxpayers Federal Taxpayers	<ul style="list-style-type: none"> • Consolidation of registration processing to one system 	Number of cases processed Average client registration processing time Percentage of applications processed within time standards	
3.	Improved Effectiveness and Consolidation of Customer Notices Improved Productivity & General Expense Reduction - \$179,698 in benefits for the first year (based on mid-year implementation) and then \$359,396 per year once implemented. See BF-03 in Appendix C for detailed benefits calculation and assumptions.	DCF Staff DCF Customers (Program Participants) DCF Community Partners Florida Taxpayers	<ul style="list-style-type: none"> • Reduced mail costs through more effective initial notices • Reduced calls to the CCC as a result of confusion related to notices 	Yearly DCF mail volume Number of notice- related calls to the CCC	
	Improved Customer Service – Quantifiable financial benefits related to improved customer service for this initiative were not determined.	DCF Staff DCF Customers (Program Participants)	<ul style="list-style-type: none"> • Increased effectiveness of notices provides applicants and beneficiaries clear status information reducing confusion and the need for subsequent follow-up interactions • Reduces overall call volume thus decreasing busy call rate 	Customer service scores CCC busy rate	

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

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)
4.	Introduction of Automatic Redetermination & Expansion of No Touch Improved Productivity - \$2,254,979 in benefits for the first year (based on mid-year implementation) and then \$4,509,958 per year once implemented. See BF-04 in Appendix C for detailed benefits calculation and assumptions.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	<ul style="list-style-type: none"> Reduced worker caseload through the automation of certain renewals 	Percentage of Automatic Redeterminations Percentage of automated no touch applications Number of cases processed Case processing times Percentage of applications processed within time standards	
	Improved Customer Service – Quantifiable financial benefits related to improved customer service for this initiative were not determined.	DCF Staff DCF Customers (Program Participants)	<ul style="list-style-type: none"> Improved customer service through reduced eligibility determination processing times and decreased incidence of appropriate benefits being denied 	Percentage of applications processed within time standards Customer service score	
5.	Enhanced Work Management & Balancing Improved Workforce Management - Quantifiable financial benefits related to improved workforce management for this initiative were not determined.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	<ul style="list-style-type: none"> Implementation of dynamic work management functionality that automatically configures routing of incoming work items to the correct administrative unit Improved work balance across the State to maximize current personnel Reduced overall case processing time through improved management of resources against key case processing tasks 	Number of Cases Processed Case processing times Percentage of applications processed within time standards Overtime spend	

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

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)
6.	Consolidated and Summarized Worker Dashboard Increased Productivity - \$4,944,439 in benefits per year once implemented (\$3,978,038 after implementation of Automatic Redeterminations & No Touch). See BF-05 in Appendix C for detailed benefits calculation and assumptions.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers	<ul style="list-style-type: none"> Reduced case processing times as a result of a simplified and prioritized view of work items and their statuses Decreased report and systems navigation time related to case processing as a result of the integrated data exchange 	Number of cases processed Case processing times Percentage of applications processed within time standards	
	Improved Benefits Accuracy - Quantifiable financial benefits related to improved benefits accuracy for this initiative were not determined.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	<ul style="list-style-type: none"> Improved benefits accuracy through consolidation of customer data for worker review 	Percentage of benefits determined accurately	
7.	Improved Data Quality Through A Shared Customer Repository Reduced Fraud, Waste, & Abuse - \$783,093 in benefits for the first year (based on mid-year implementation) and then \$1,566,186 per year once implemented. See BF-06 in Appendix C for detailed benefits calculation and assumptions.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	<ul style="list-style-type: none"> Implementation of a single-source of truth for customer data that reduces instances of inconsistent and duplicated data between systems Reduced fraud, waste, and abuse as a result of decreased probability of approving duplicate benefits Improved benefits accuracy through consolidation of customer data 	Percentage of benefits determined accurately Amount of Access Integrity (AI) benefits saved ROI of AI program	

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

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)
8.	<p>Increased Customer Self-Service and Automation through MyAccount Enhancements</p> <p>Increased Self-Service & Automation - \$1,107,945 in benefits for the first year (based on mid-year implementation) and then incrementally increasing to \$2,358,412. See BF-07 in Appendix C for details.</p>	<p>DCF Staff</p> <p>DCF Customers (Program Participants)</p> <p>Florida Taxpayers</p>	<ul style="list-style-type: none"> • Reduced lobby visits related to application and documentation statuses • Reduced calls to the CCC for information captured in the self-service system • Increased online documentation uploads that reduces scanning, indexing, searching of mailed case documentation 	<p>Number of lobby visits related to application and documentation status</p> <p>Number of application and documentation status calls to the CCC</p> <p>Number of documents mailed in</p> <p>Case processing times</p> <p>Percentage of applications processed within time standards</p>	
9.	<p>Increased Customer Self-Service and Automation Through Enabling Future Mobile Optimized MyAccount</p> <p>Increased Self-Service & Automation - \$223,877 in benefits per year once implemented and incrementally decreasing to \$217,348 as MyAccount Enhancements fully phase into effect. See BF-08 in Appendix C for details.</p>	<p>DCF Staff</p> <p>DCF Customers (Program Participants)</p> <p>Florida Taxpayers</p>	<ul style="list-style-type: none"> • Reduced calls to the CCC for information captured in the self-service system • Increased online documentation uploads that reduce scanning, indexing, searching of mailed case documentation 	<p>Number of application and documentation status calls to the CCC</p> <p>Number of mailed in documents</p> <p>Case processing times</p> <p>Percentage of applications processed within time standards</p>	
10.	<p>Real-Time Verification of Customer Data From External Interfaces (FMMIS, DEO, DAVID, & CCIS)</p> <p>Improved Productivity - \$3,980,775 in benefits per year once implemented. See BF-09 in Appendix C for details.</p>	<p>DCF Staff</p> <p>DCF Customers (Program Participants)</p> <p>Florida Taxpayers</p> <p>Federal Taxpayers</p>	<ul style="list-style-type: none"> • Implementation of real-time web services • Reduced case processing times through reduction of manual inquiries to DAVID and CCIS 	<p>Number of Manual DAVID & CCIS Inquiries</p> <p>Number of Cases Processed</p> <p>Case Processing Times</p> <p>Percentage of applications processed within time standards</p>	

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

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)
	Improved Benefits Accuracy - Quantifiable financial benefits related to improved benefits accuracy for this initiative were not determined.	DCF Staff DCF Customers (Program Participants) Federal Taxpayers	<ul style="list-style-type: none"> Improved benefits accuracy through automated verification of customer data 	Percentage of benefits determined accurately	
11.	Automatic Flagging of Cases Based On Error and Fraud Prone Profiles Improved Productivity - \$209,061 in benefits for the first year (based on mid-year implementation) and then \$418,123 in benefits per year once implemented. See BF-10 in Appendix C for details.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	<ul style="list-style-type: none"> Reduced case processing times through automation of the case flagging for potential fraud, waste, and abuse 	Number of cases processed Case processing times Percentage of applications processed within time standards	
	Improved Benefits Accuracy - Quantifiable financial benefits related to improved benefits accuracy for this initiative were not determined.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	<ul style="list-style-type: none"> Improved benefits accuracy through increased effectiveness of error prone case flagging 	Percentage of benefits determined accurately	
12.	Streamlined and Automated Case Closure & Sanctions Improved Benefits Accuracy - Quantifiable financial benefits related to improved benefits accuracy for this initiative were not determined.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	<ul style="list-style-type: none"> Improved benefits accuracy through less manually intensive and timely case closures 	Percentage of benefits determined accurately	

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

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)
13.	<p>Customer Service Improvements Through Call Center Enhancements</p> <p>Improved Customer Service - Quantifiable financial benefits related to improved benefits accuracy for this initiative were not determined.</p>	<p>DCF Staff</p> <p>DCF Customers (Program Participants)</p> <p>Florida Taxpayers</p> <p>Federal Taxpayers</p>	<ul style="list-style-type: none"> • Introduction of additional channels of communication, such as instant messaging, secure email and text, allows customers to engage the department more efficiently • Provides additional written communications for customers' future reference 	<p>Customer service scores</p> <p>Number of calls to the call center</p>	
14.	<p>Customer Service Improvements Through Reductions to Negative Error Rate</p> <p>Improved Customer Service & Improved Benefits Accuracy - Quantifiable financial benefits related to improved benefits accuracy for this initiative were not determined given uncertain nature of federal bonus money actually being awarded.</p>	<p>DCF Staff</p> <p>DCF Customers (Program Participants)</p> <p>Florida Taxpayers</p> <p>Federal Taxpayers</p>	<ul style="list-style-type: none"> • Implementation of the "Automatic Redeterminations & No Touch" and "Auto Closure & Sanctions" initiatives will reduce the incidence of appropriate benefits applications being denied • Significant reduction of the negative error rate could in-turn lead to federal bonus money from FNS according to Title 7 of the Code of Federal Regulations (7 CFR 275.24(b)(2)). 	<p>Negative error rate</p> <p>Federal bonus money for most improved negative error rate or lowest negative error rate</p> <p>Customer service scores</p>	
15.	<p>Increased Business Ownership Over Eligibility, Benefits Issuance or Authorization Rules Changes</p> <p>Improved Productivity - Quantifiable financial benefits related to increased ownership of rules changes for this initiative were not determined.</p>	<p>DCF Staff</p>	<ul style="list-style-type: none"> • Transitioning the remaining rules to the modern rules engine allows the business to assume more responsibility for changing and testing eligibility rules 	<p>Time to implement eligibility rules changes</p>	

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

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)
16.	Improved Document Imaging Integration Improved Productivity - \$1,129,343 in benefits per year once implemented. See DI-01 in Appendix C for details.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	<ul style="list-style-type: none"> Implementation of an imaging system that integrates with the worker portal and automatically updates case dashboard with document arrivals Reduced case processing time resulting from decreased time caseworkers need to manually search for relevant case documentation 	Number of cases processed Case processing times Percentage of applications processed within time standards	
17.	Simplified Quality Management System (QMS) & Quality Control (QC) Processes Improved Productivity - \$148,373 in benefits per year once implemented. See DI-02 in Appendix C for details.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers	<ul style="list-style-type: none"> Consolidation of the QMS & QC functionality into one system Reduced QC processing time resulting from automation of case sampling for Tier I and Tier II Designated Reader Reviews 	Number of Cases Manually Sampled QC process times	
	Improved Benefits Accuracy - Quantifiable financial benefits related to improved benefits accuracy for this initiative were not determined.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	<ul style="list-style-type: none"> Improved benefits accuracy through increased time for QC staff to read cases rather manually sampling them 	Percentage of benefits determined accurately	
18.	Consolidated and Integrated BR System Reduced Fraud, Waste, & Abuse - \$1,563,302 in benefits for the first year (based on implementation prior to year's end) and then increasing to \$12,506,417 in benefits per year. See DI-03 in Appendix C for details.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	<ul style="list-style-type: none"> Integration of the BR functionality into the Worker Portal Increased claim establishment and collection through reduced referral disposition processing times 	Number of referrals processed Dollars collected through BR ROI of BR program	

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

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)
19.	Comprehensive Fraud & Abuse Tracking Workflow & Case Management System Reduced Fraud, Waste, & Abuse - \$900,450 in benefits per year once implemented. See DI-04 in Appendix C for details.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	<ul style="list-style-type: none"> • Implementation of a case management system that tracks and monitors complaints, referrals, investigations, claims and outcomes for AI and BR • Increased collections (one month of benefits per claim on average) through the reduced lag time between claim disposition and the start of recoupment activities 	Number of referrals processed Average lag time between claim disposition and recoupment Dollars collected through BR ROI of BR Program	
20.	Advanced, Predictive Fraud Analysis Reduced Fraud, Waste, & Abuse - \$783,093 in benefits for the first year (based on implementation prior to year's end) and then \$3,132,371 in benefits per year. See DI-05 in Appendix C for details.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers Federal Taxpayers	<ul style="list-style-type: none"> • Implementation of advanced analytical models that identify key fraud, waste, and abuse trends based on current and historical data • Reduction of fraud, waste, and abuse through better understanding of key factors affecting misappropriation of benefits 	Percentage of benefits determined accurately Amount of AI benefits saved ROI of AI program	
21.	Improved Organizational Management and Decision Making Improved Workforce Management - Quantifiable financial benefits related to improved workforce management for this initiative were not determined.	DCF Staff DCF Customers (Program Participants) Florida Taxpayers	<ul style="list-style-type: none"> • Implementation of a Quality & Performance Dashboard and Advanced Workforce Analysis tools to optimize workforce performance and alignment • Decreased incremental employment needs through improved workforce forecasting and planning • Increased productivity through alignment of appropriate resources to most pressing business processes 	Overtime spend Number of cases processed Case processing times Percentage of applications processed within time standards	

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

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)
22.	<p>Simplified Sign-on Process Through Single Sign On</p> <p>Improved Productivity - \$3,046,022 in benefits per year once implemented. See A-01 in Appendix C for details.</p>	<p>DCF Staff</p> <p>Florida Taxpayers</p>	<ul style="list-style-type: none"> • Implementation of single sign-on functionality for eight systems allowing role-based access throughout • Reduction of worker time spent logging in to multiple systems multiple times per day 	<p>Number of ACCESS Florida Systems with unique username & passwords</p> <p>Daily time spent logging in to ACCESS Florida Systems</p>	
23.	<p>Adaptable Architecture for Future Innovation, Policy Changes, and Increased Caseload</p> <p>Improved Technology Architecture - Quantifiable financial benefits related to improved benefits accuracy for this initiative were not determined.</p>	<p>DCF Staff</p>	<ul style="list-style-type: none"> • Implementation of the “Infrastructure Upgrade,” “Batch Processes,” “Data Conversion,” & “Data Warehouse Refresh” initiatives modernizes ACCESS Florida’s architecture making systems changes less complex and costly • Scalable technology allows the Department to scale their system up and down to meet case demand 	<p>Average systems change request implementation time</p>	
24.	<p>Reduced Legacy System Programming Maintenance</p> <p>Reduced M&O - \$400,000 in benefits per year once the “EDBC/SFU/Rules Engine/BI/AU,” “Reports Migration,” & “Real-time Access to Client Data” initiatives are completed. See MS-01, MS-02, & MS-03 respectively in Appendix C for details.</p>	<p>DCF Staff</p>	<ul style="list-style-type: none"> • Implementation of “EDBC/SFU/Rules Engine/BI/AU,” “Reports Migration,” & “Real-time Access to Client Data” reduce the costs of implementing changes in a legacy environment 	<p>Total SI M&O spend</p>	

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

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)
25.	<p>Reduced Mainframe Maintenance & Support</p> <p>Reduced M&O - \$1,098,145 in benefits for Year 2 (based on partial implementation prior to year's end) and then increasing to \$4,392,579 in benefits per year once the "Infrastructure Update" activities are completed. See MS-04 in Appendix C for details.</p>	DCF Staff	<ul style="list-style-type: none"> • Implementation of the full "Infrastructure Upgrade" initiative will move the architecture completely off the Mainframe • Given the lease renewal date of FY18-19, DCF could negotiate to downgrade Mainframe capacity and software use for FSFN's exclusive use 	Total AST mainframe spend	
26.	<p>Increased Pool of Available Maintenance & Operations Personnel Familiar with System Technology</p> <p>Reduced M&O Risk – Quantifiable financial benefits related to reducing the risk of finding and staffing Mainframe experts for this initiative were not determined.</p>	DCF Staff	<ul style="list-style-type: none"> • A complete move from the mainframe platform increases the likelihood of finding skilled resources to maintain and upgrade the system 	Number of qualified midrange and client-server architecture support applicants	

B. Cost Benefit Analysis (CBA)

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

This section will contain the CBA Forms from the Schedule IV-B Feasibility Study Guidelines.

III. Schedule IV-B Major Project Risk Assessment

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

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

The risk assessment will be completed for the roadmap and IV-B for system replacement. Like the risk assessment completed in SFY 2016-2017 for system completion, it is expected to score as a high risk, although responses to individual risk questions may change. A rating of "high" for a major system replacement activity for a complex and mission-critical system is reasonable.

A risk assessment of the ACCESS System Completion Project was performed using the risk assessment tool provided in the Information Technology Guidelines and Forms on the Florida Fiscal Portal. The tool collects the risk characteristics of the project based on response to 89 questions, organized into eight assessment categories. The results of the assessment are summarized below.

C. Risk Assessment Summary

The overall risk assessment for this project is rated as "High". Project risk was determined by the answers provided to the questions associated with the eight assessment areas found in the risk assessment tool. This rating reflects assessment ratings of "Low" in one of the eight assessment areas, "Medium" in four of the eight assessment areas and "High" in three of the eight assessment areas. The primary drivers for a high-risk rating are the categories determined high risk based on the assessment:

- **Organizational Change Management** – The new system will enable increased self-service and cross organization integration capabilities. As a result, system changes are considered extensive. Extensive change can be a significant risk. For citizens, we expect the changes and time saving improvements to be acceptable even if they are different from current processes. For extensive changes impacting workers, the Department's workforce is adept at dealing with changes in process and organization, with a proven track record of previous projects.
- **Fiscal Assessment** – The size and elapse duration of the project are significant drivers in the overall risk classification for this category. Likewise, uncertainty around benefit amounts and timing are also contributors. Any statewide eligibility reengineering project would likely have a similar category risk level.
- **Project Complexity** – The proposed project is larger than any other project performed by the Department and involves more than 3 stakeholders. As a result, this assessment category is rated as High. For a project of this type a high-risk level is expected for project complexity.

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

The Department established a project management methodology that has led to multiple successful implementations over the past few years. One recent project successfully employing this approach was the Medicaid Eligibility System (MES) modifications to the ACCESS Florida system to ensure compliance with the Affordable Care Act (ACA). ACCESS MES was a multi-year, multi-million dollar project, interfacing with over 30 partner organizations. This initiative was completed on time and on budget. The Department intends to leverage past successes by utilizing the Project Management and IV&V methodologies used for that engagement and other successful Department initiatives, as described in Section VII Project Management Planning.

Exhibit V-1 is a graphical representation of the results computed by the risk assessment tool. When answering the questions in the risk assessment tool, it was assumed that the current project management and governance structure in place for managing ESS Program projects would remain in place for the project.

Not covered in this risk assessment is the ongoing assessment to re-platform the ACCESS Florida system and application to use modern server and data architecture that can be run in a cloud environment using an Infrastructure as a Service (IaaS) provider, similar to what is being considered for Florida Safe Families Network (FSFN). This study will be completed by December 31, 2016. Due to potential similarities in ongoing costs and benefits related to the ACCESS System Completion, the current projects will defer to results of this study once it is completed and available.

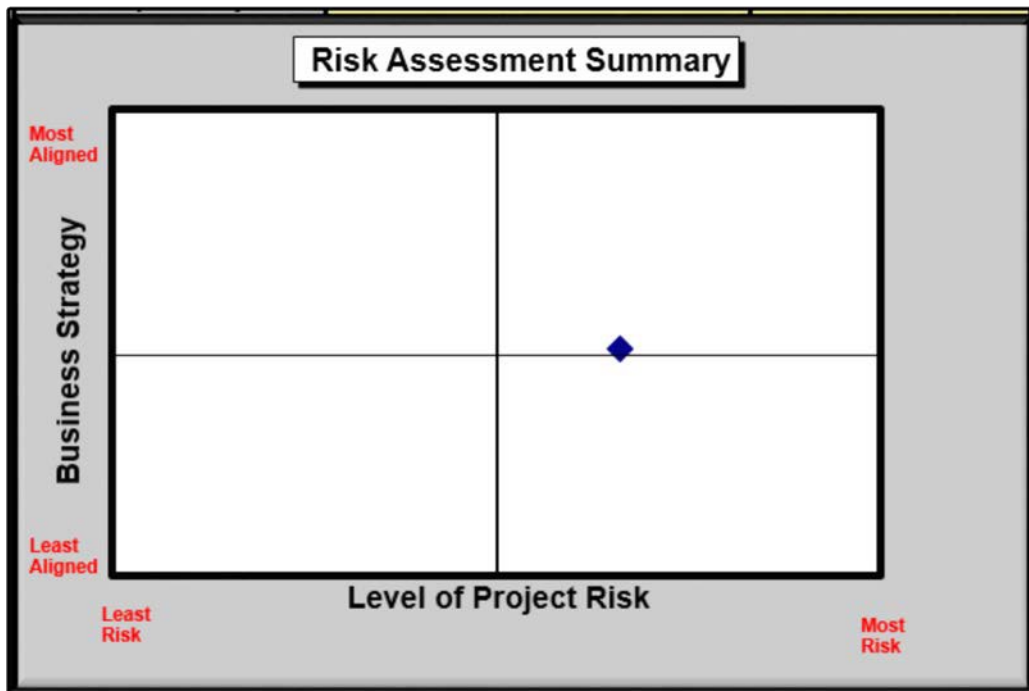


Exhibit V-1 Project Risk Assessment Summary

Specific items of Risk Assessment and Business Strategy alignment that contributed to the current risk assessment level of “High” overall and for the current placement of the project in the Risk Assessment Quadrant in Exhibit V-1 Project Risk Assessment Summary will be addressed within the first year of the project. These include:

- Strategic Risk
 - a. Project objectives will be clearly aligned with DCF’s mission and statutory charge
 - b. Project objectives will be clearly documented and signed off by the stakeholders
 - c. Project charter will be signed by the executive sponsor
 - d. Project requirements, assumptions, constraints and priorities will be defined
 - e. Portfolio management will be adapted to incorporate the expansion of the reengineering effort
- Technology Risk
 - a. Detailed hardware and software capacity requirements will be defined
 - b. Meet Federal mandates that require states to establish and implement critical privacy and security standards as outlined in the Minimum Acceptable Risk Standards for Exchanges (MARS-E), Version 2.0.

- Change Management Risk
 - a. Business process changes will be defined and documented
 - b. Organizational Change Management Plan will be approved
- Communication Risk
 - a. Communication Plan will be approved
 - b. Communication Plan will promote the routine use of feedback (at a minimum)
 - c. Stakeholders will be included in the Communication Plan
 - d. Key messages will be documented in the Communication Plan
 - e. Desired message outcomes and success measures will be documented in the Communication Plan
 - f. Communication Plan will identify and assign needed staff
- Fiscal Risk
 - a. Spending Plan will be documented and approved for the project lifecycle
 - b. Project expenditures will be identified and documented in the Spending Plan
 - c. Cost estimates for the project will be accurate within +/- 10%
 - d. Funds will be available within existing resources to complete the project
 - e. Tangible benefits will be identified and validated
 - f. Federal financial participation will be requested and received
 - g. Procurement strategy will be reviewed and approved
 - h. Contract manager will be assigned to the project
- Project Organization
 - a. Project organization and governance structure will be defined and documented
 - b. Project staffing plan will identify and document all staff roles and responsibilities
 - c. Change review and control board will include representation from all stakeholders
- Project Management Risk
 - a. Requirements and specifications will be defined and documented
 - b. Requirements and specifications will be traceable to specific business rules
 - c. Project deliverables and acceptance criteria will be identified
 - d. Work Breakdown Structure will be defined to the work package level
 - e. Project schedule will specify all project tasks, go/no-go decision points, milestones and resources
 - f. Formal project status reporting will be in place
 - g. Planning and reporting templates will be available
 - h. Known project risks and mitigation strategies will be identified

The overall project risk level will decrease from “High” when the above items are addressed. Additionally, addressing these items will shift the current placement of the project in the risk quadrant (Exhibit V-1 Project Risk Assessment Summary) to reflect a more accurate alignment with the Business Strategy not currently represented due to limitations associated with the risk assessment tool.

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

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

Exhibit V-2 Project Risk Assessment Summary Table

The Department’s plan to continually identify, assess, and mitigate risk throughout the life of the project is discussed in Section VII, Project Management Planning.

IV. Schedule IV-B Technology Planning

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

D. Current Information Technology Environment

In the IV-B for ACCESS Florida system completion, the consultant noted the justifications for system completion that apply equally to system replacement. Although these justifications will be reviewed and possibly expanded, they are included here for reference as background and because they are applicable to the current request. In addition, much of the technical information is still relevant, but will be updated for the final submission, along with counts provided (users, roles, transactions, etc.).

Over the last several years, there has been a national trend of states significantly retooling or replacing their public assistance delivery systems. These implementations resulted in increased customer self-service and worker efficiencies. Florida has the opportunity to reap similar benefits through incremental enhancements to its existing systems. Further, the risk related to implementing a wholesale system upgrade is minimized by taking an incremental approach. The justification for these enhancements includes:

- **Need to address increasing number and sophistication of people attempting to commit fraud against the human service programs.** The ability to deliver needed services to the public is increasingly impacted by people and organizations that attempt to use the programs fraudulently. The number and sophistication of people and organizations that attempt fraud is growing rapidly. The public perception or actual occurrence of fraud can undermine public support for state government leadership and the programs that are provided to help people in need. Increased real-time integration and data sharing are key enablers to prevent and reduce the number of people and amount of money lost from fraud.
- **Growing need for holistic information about people across Department, system, and state boundaries to impact overall program costs.** For example, there is increasing focus on reducing the total administration and avoidable program spending for programs, including Medicaid, by focusing on the people that drive the largest avoidable costs. The research is indicating that social determinants are a major influence in the cost of health care other human service programs. Programs to identify and address people that are at risk of driving avoidable costs rely on many people that interact with the individual having access to complete and accurate information at the right time. The current systems are not structured to operate in the emerging models that target significant program cost reduction and improved health and social outcomes for people.
- **Increasing challenges and demands for Security and Data Privacy.** The core processing systems were built in a time when self-service, real-time information sharing, and data analytics considerations were not a possibility. Increasing external and internal threats to security and privacy have also grown dramatically. The current systems limit the ability to operate securely and protect the privacy of citizen information. For example, a typical worker has unique ids and passwords for up to 15 different systems that need to be used. Since these are not integrated the likelihood of people having to write down passwords or of them retaining access to some systems after leaving the Department creates risks to privacy.
- **A complex patchwork of aging software and hardware that does not support Florida's vision for its citizens.** The aging technology currently in place was never designed to handle the demands of the current (and future) business models. Even with the implementation of MES, it is increasingly impractical and expensive to support Florida's current model, let alone make the changes necessary to move the program into its desired state. As the Department becomes increasingly dependent on automated systems to perform rote business functions, a long-term technical strategy based on modern architecture, infrastructure, and hardware/software components is needed.
- **Need for efficiency with reduced operational funding levels.** During a period of dramatically reduced state revenues, government agencies are exploring mechanisms to increase efficiency and "do more with less." Beginning in 2003 Florida's public assistance Program began staff reductions that ultimately resulted in a loss of 43% FTEs and the closure of more than half of its brick and mortar offices. These reductions took place at the beginning of a period of unprecedented demand upon the system. DCF has taken advantage of a variety of new technologies, including establishing MES architecture, to meet this need, all without modifying the core of the FLORIDA mainframe. To gain further efficiencies the Department will need to invest in modern, fully integrated, and modular technology.

- **Data quality and customer expectations.** In an era of advanced technologies, both families in need and staff have reasonably come to expect systems that better support an automated self-service business model. Along with self-service options, the program's customers (families, staff, and state and federal partner agencies) expect, given the technologies available, the Department to provide an improved level of service, faster response times, and more accurate results. It is not possible to meet these expectations with the older technologies currently in use.
- **Loss of technical skills and resources.** Public assistance programs are technically detailed and complex. The Department has relied upon a highly trained staff to maintain the program. It takes time to get new staff functional in the policies, processes, and systems required to support the program. However, given frequent turnover among skilled staff from attrition and retirement, it is critically important that new technologies are easier to learn and understand and, where possible, help staff through increasing efficiency and automation. In addition, the Department is almost exclusively reliant on contract staff for system support. As contractors roll off projects, it becomes increasingly difficult to maintain knowledgeable contractors to continue supporting the system as well.
- **Limited scalability.** The introduction of MES architecture brought several advancements in the scalability of the most critical ACCESS Florida System customer facing application; i.e., the new Self-Service portal built with component-based multi-layer architecture. The new Self-Service portal consolidated several disparate silo applications into one platform to reduce the number of network calls between the subsystems. The new Vblock infrastructure with additional virtual CPUs and more virtual memory has been set up to support faster scaling. However, these advancements did not translate into the same level of scalability for other legacy ACCESS Florida Systems including the mission-critical FLORIDA (system of record) and AMS Worker portal, IBRS and ADI systems. The scalability of these legacy systems is limited by archaic, hierarchical databases and application code. Without significant modifications in the underlying architecture of these older systems, the sustained caseload and workload and their rate of growth will pose an enormous burden on the Department in meeting the scalability constraints.

1. Current System

Automation of Florida's ESS programs first went online in 1992 with the implementation of the FLORIDA mainframe system. In 2003, the Department began to develop additional modern systems to interface with the mainframe. As the plan for improved technology began to evolve, it was determined that certain functionality desired by the Department, such as using customer entered data from the web applications in the mainframe, could not be fully satisfied by the mainframe alone. This led to additional development of applications independent of but connected to the mainframe. These applications included newer technology such as Visual Basic, .NET, and Java. This now leaves the Department with a series of interfaces between multiple platforms and technologies that are challenging and costly to operate and maintain.

a. Description of current system

The description of the current ACCESS Florida System in the Technology Planning of this document reflects functional and technical enhancements implemented in December 2014.

1) General system overview

The ACCESS Florida System is comprised of a set of integrated front-end applications and background processes that together facilitate administration of the DCF ESS programs. The following diagram depicts the high-level architecture of the supporting systems:

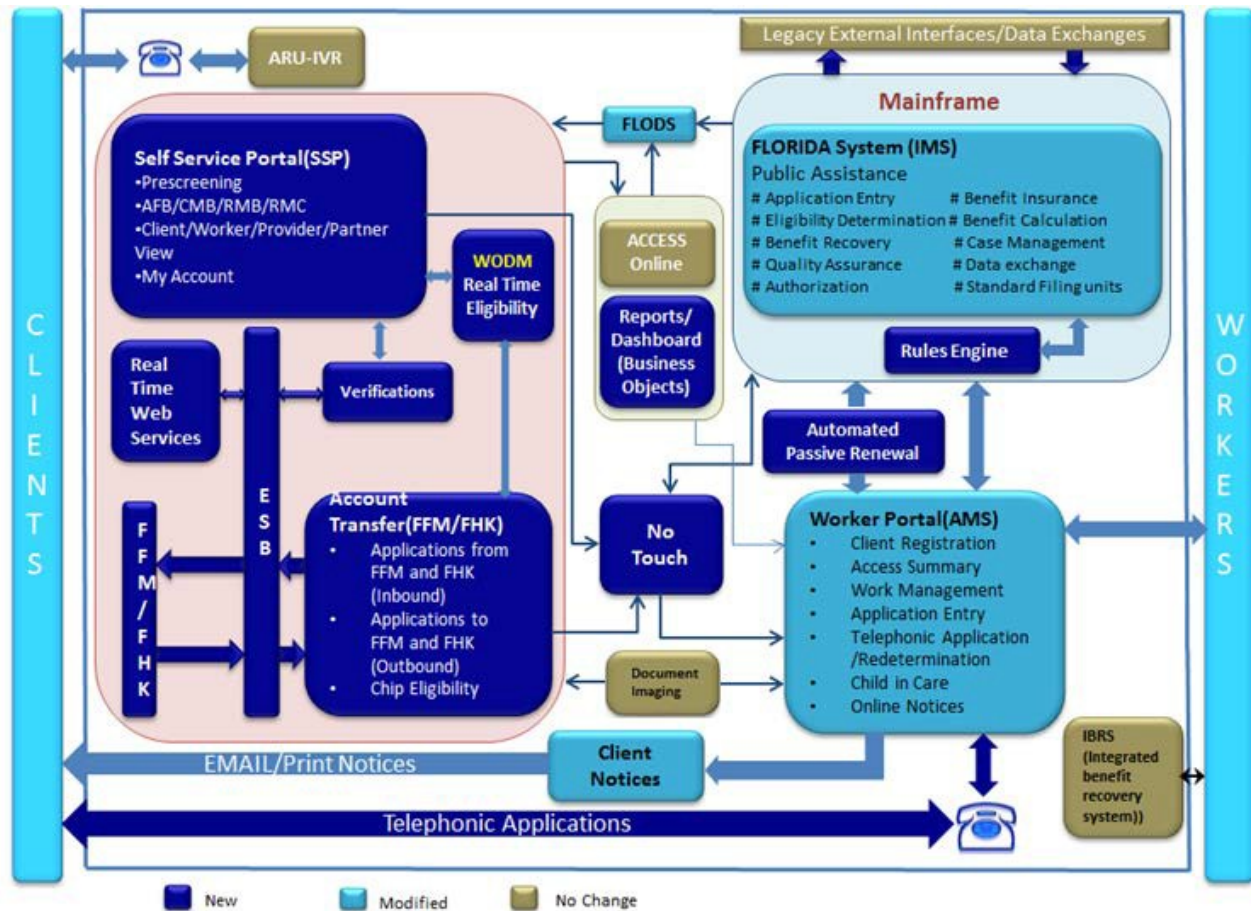


Exhibit VI-1 Current ACCESS Florida System Architecture

The following outlines the high-level functionality of each of the “components” of this architectural framework.

- FLORIDA** – FLORIDA is the legacy mission-critical system that contains the business rules, workflow and interfaces for the public assistance programs. The system is written in IBM COBOL. The FLORIDA System is hosted on an IBM Mainframe SYSPLEX environment. It uses IMS Database (DB) and Transaction Manager (TM) capabilities. The FLORIDA system is comprised of Integrated Eligibility functions for SNAP, TANF, and Medicaid programs.
- ACCESS Management System (AMS)** – AMS is web-based intranet application used by the DCF staff and call center agents to manage caseload and call center operations. AMS is integrated with FLORIDA system and the Self-Service Portal to allow DCF workers to perform Client Registration and Intake processing through a web interface. The business rules remain in FLORIDA. This system does not replace FLORIDA functionality; rather it takes advantage of using customer-entered data in the web applications along with providing staff a web friendly environment to work in. IMS CONNECT is an application program interface product of IBM and enables access to mainframe transactions from AMS and other web applications. The application is written in Java with an Oracle back-end.
- ACCESS Online** – ACCESS Online includes Exception Management System, Quality Management System, legacy Data & Reports, Knowledge Bank and other applications.

- **ACCESS Document Imaging (ADI) System** – The ADI provides an integrated approach for storing documents used to determine eligibility and support benefit recovery, quality control, and ACCESS Integrity findings. The document imaging system allows staff statewide to scan documents and then access those documents, as needed, from any computer statewide that has access to the intranet inside the DCF firewall. The system also includes workflow functionality to facilitate routing and processing of documents. This application is written in .Net with a SQL back-end.
- **ACCESS Self-Service Portal (SSP)** – The SSP uses eligibility rules based on predefined criteria to allow customers to apply on-line for selected benefits. The system supports streamlined application for medical assistance, Children’s Health Insurance Program (CHIP), and other insurance benefits. The SSP architecture integrates several shared services using a framework-based approach for federal verifications, state verifications, and real-time eligibility determination for modified adjusted gross income (MAGI) based medical assistance groups and CHIP. This application is written in Java and Oracle.
- **No-Touch** – No-Touch is a standalone automated batch process that executes the same transactions executed by Case Workers to complete the processing of MAGI based Medicaid applications that are complete and have all the verifications. This process uses IMS CONNECT interface to transfer data to Mainframe and executes the required transaction. This application is written in Java, Oracle, and IMS CONNECT interface.
- **Reporting and Analytics** – SAP Business Objects Platform to facilitate DCF staff use standard reporting, ad-hoc reporting, and data visualization capabilities. Crystal reports, WEBI, and Xcelsius are used to develop the reports.
- **Client Notice (ExStream) System** – ExStream is an HP software platform used by DCF to create, manage, and deliver printed notices as required by government mandates for various state-administered public assistance programs, including SNAP, TANF, Medicaid, and Refugee Assistance. Currently, notices are formatted through ExStream, transferred via FTP to an external vendor (Novitex) for printing, and mailed through the United States Postal Service. Approximately 70,000 to 100,000 notices are transmitted for printing and mailing nightly through a batch process.
- **Disaster Supplemental Nutrition Assistance (D-SNAP)** – D-SNAP is a stand-alone application that was created as the State’s Emergency Food Assistance (EFA) application after the destructive 2004/2005 hurricane seasons. The system features multiple modules that include a client facing self-service application that allows customers to pre-register (apply) for benefits over the Internet, a disaster service site worker module that allows DCF staff to review and approve or deny applications, and issue EBT cards for approved applications, as well as a function to allow for the processing paper applications. In addition, the D-SNAP central module features a broad range of functions that include administrative activities to manage disasters, disaster areas, service site locations and users in addition to the capabilities for the backroom processing of paper based applications (paper or image). The D-SNAP system functions in unison with the mainframe FLORIDA system for case creation, benefit calculation, and issuance through the EBT vendor interface. In 2010, the Department built an interface with the Federal Emergency Management Agency (FEMA) that allows the public to submit EFA applications to D-SNAP through FEMA’s disaster assistance website. This system is written in Java with Oracle back end.
- **Account Transfers & Interfaces** – The Account Transfers and Interfaces module is designed to allow DCF to exchange information with Federal, State, and third-party agencies via real-time web services and FTP batch processes. In addition to the existing batch interfaces, DCF has developed/configured number of real-time verification services as part of Affordable Care Act implementation. The verification services include FDSH for verification services, Florida Healthy Kids to send or receive applications, SWICA to verify state income, Agency for Health Care Administration to receive enrollment data, FSFN to verify children aged out of foster care, Florida DOH/Children’s Medical Services Network (CMSN) for the determination of clinical eligibility based on applicant/customer input. These interfaces are developed in Java, ESB, and Oracle database.

- **WebSphere Operation Decision Management (WODM, IODM) Rules Engine** – The WODM external business rule engine has been implemented to host MAGI based Medicaid rules exposed to internal and external applications through Enterprise Service Bus. This provides flexibility to allow same rules execute in both Florida ACCESS and Open systems. These rules support the Self-Service Portal Real-time Eligibility and Screening modules, FHK CHIP Eligibility, and ACCESS Eligibility system.
- **Interactive Voice Response** – The IVR application allows customers 24x7 toll-free access to information about their public assistance case status, eligibility and benefit information, appointment details, verification items required, and information on other ESS programs. Customer input is received via telephone and interpreted by a voice response server. This server is outside the Department firewall and is hosted by a third-party vendor. The voice response server uses stored procedures to access the DCF Oracle databases and retrieve information in response to the customer inquiry. Benefits data is extracted from FLORIDA and loaded into the Oracle database tables on a nightly basis.
- **Telephonic Applications** – Telephonic application functionality allows operators to submit applications on behalf of customers.
- **Integrated Benefit Recovery System (IBRS)** – The State of Florida BR program for recovering overpaid benefits, referring, and reporting related information to the Federal Government uses IBRS. A fully functional and consolidated BR system maintains all customer, budget, claims, and accounting data on a single web-enabled platform. This simplifies the claims, collections, accounting, reporting and monitoring activity of the BR management and staff. The system is written in JAVA with a SQL back end.
- **Florida Operational Data Store (FLODS)** – FLODS began as a relational database to store the last 13 months of data for use by the AMS. Over time, it has grown into a consolidated source of data for several systems that need real-time access to data in the official systems of record. FLODS is not categorized as a system but consists of processes on the IBM mainframe to extract data from the FLORIDA system and transform it for easy loading into relational tables. On a nightly basis, hundreds of processes run to extract and transform data to support customer and staff facing web applications.

2) Internal and external interfaces

There are a number of major internal and external interfaces within the multiple applications that support the ESS Program. Internal interfaces are reflected on the architecture diagram above. External interfaces include:

- **FDSH (Federal Data Service Hub)** – SSA Composite (SSN, ID, Date of Birth, Death, Incarceration) verifications for Medicaid eligibility, Verified Lawful Presence (VLP) service for the verification of citizenship for Medicaid eligibility, Remote Identity Proofing (RIDP) and FARS services for validating authenticity of Individuals.
- **Lexis Nexis** – ID verification for non-Medicaid or composite applications.
- **AHCA (Agency for Healthcare Administration)** – The State Medicaid Agency, receives Medicaid eligibility information from FLORIDA system through an interface with the Florida Medicaid Management Information System (FMMIS).
- **FIS** – SNAP benefits are distributed through EBT ACCESS card.
- **DACS (Department of Agriculture and Consumer Services)** – Direct Certification program as the Client Verification service used by vendors participating in the mandated Lifeline program.
- **DEO (Department of Economic Opportunity)** – State wage data, national new hire data, program sanctions, and job placement, out of state unemployment, and in state unemployment. Department staff also has individual on-line access to the SUNTAX System.
- **DOR (Department of Revenue)** – Child Support Enforcement sanctions.
- **DOH (Department of Health)** – Vital Statistics.

- **SSA (Social Security Administration)** – Bendex data, numerical identification, prisoner data, SSI data, and work history for non-citizens for 40 quarters. Department staff also has individual on-line access to SSA’s database to verify customers SSN, SSA, and SSI information.
- **DHS (Department of Homeland Security)** – Department staff has individual on-line access to the Systematic Alien Verification for Entitlement database.
- **IRS (Internal Revenue Service)** – Unearned income data from form 1099.
- **DMS (Department of Management Services)** – Florida Retirement data.
- **DOE (Department of Education)** – School age children dropouts and truant data.
- **FFM (Federally Facilitated Marketplace)** – The Department transfers ineligible Medicaid applications and ineligible/terminated Medicaid Case information to FFM via an account transfer process. It also receives applications from FFM for Medicaid eligibility determination.
- **FHK (Florida Healthy Kids Corporation)** – The Department transfers ineligible children Medicaid applications/cases to FHK. It also receives applications from FHK for screening and determining for potential eligibility for Medicaid.
- Electronic application transfers through third party agencies.

3) Requirements for public access, security, privacy and confidentiality

Confidentiality is a hallmark of the ACCESS Florida System. Most applications are only accessible to authorized DCF staff from the DCF network. The client-facing web applications access data through firewalls and gateways, which provide a secure encrypted network to prevent unauthorized access to sensitive information while it is in transit over the internet.

ACCESS Florida and its supporting systems are compliant with the provisions of DCF Information Technology Services SOP S-13, Data Security Administration, and other applicable data security and privacy standards.

4) ACCESS Systems and technology platforms

The table below lists the related technology platforms supporting the ACCESS Florida Systems

System	Technology Platform
Florida Online Recipient Integrated Data Access (FLORIDA) System	COBOL, Telon, IMS, WODM
ACCESS Management System (AMS)	Java, JSF, Oracle, TopLink, Hibernate
Customer Self-Service Portal (SSP)	Java, Struts, Spring, Oracle
Medicaid Eligibility System (MES) Real Time Eligibility (RTE)	Java, WODM
Medicaid Eligibility System (MES) Interfaces	Java, Message Broker Services, Data Power
ACCESS Document Imaging (ADI)	.NET, Oracle, Lead Tools, Atalasoft
Client Notices (CN)	Exstream, Java, COBOL
Interactive Voice Response (IVR) or ACCESS Response Unit (ARU)	Oracle, Avaya
FLORIDA Operational Data Store (FLODS)	COBOL ETL, Oracle

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System	Technology Platform
Data and Reports (D&R)	.NET, SQL Server
Integrated Benefit Recovery System (IBRS)	Java, SQL Server
Medicaid Eligibility System (MES) Reporting	Pentaho Kettle, SAP BOE
Food for Florida (D-SNAP)	Java, Struts, Oracle
Community Partner Tracking System (CPTS)	.NET, SQL Server
User Administration	.NET, SQL Server
SUNCAP Web Reports	.NET, SQL Server
ACCESS Integrity (AI)	.NET, SQL Server
Exception Management System (EMS)	.NET, SQL Server
Quality Management System (QMS)	.NET, SQL Server
Quality Control (QC)	.NET, SQL Server
Power Tools	Visual Basic 6
Access Fraud and Reporting	.NET, SQL Server
Access Knowledge Bank	.NET, SQL Server
D-SNAP Volunteer System	.NET, SQL Server
Application Packets	.NET, SQL Server
Interfaces and Data Exchanges	COBOL, IMS, Java, Oracle PL/SQL, Message Broker Services, Data Power, Connect Direct, CyberFusion, FTP, SFTP

Exhibit VI-2 ACCESS Florida Systems and Technology Platforms

5) Total number of users and user types

The table below lists the functional users of the ACCESS system by role.

Full-time State Employees
Economic Self-Sufficiency Specialist I
Quality Control Analyst
Economic Self-Sufficiency Specialist II
ESS Supervisor / QC Supervisor
Operations Analyst / Program Specialist
Interviewing Clerk
Accountant / Revenue Specialist
Administrative Assistant / Staff Assistant
Program Administration
Program Management
Other Personnel Services (OPS)
Economic Self-Sufficiency Specialist I
Economic Self-Sufficiency Specialist II
Operations Analyst / Program Specialist
Interviewing Clerk
Accountant / Revenue Specialist
Administrative Assistant / Staff Assistant
Computer System Analyst

Exhibit VI-3 Current ACCESS Functional System Users

6) Hardware characteristics

Exhibit VI-5 Current Mainframe Hardware Characteristics lists the hardware characteristics of the IBM mainframe.

Current Mainframe Hardware Characteristics	
Platform	FLORIDA runs on an IBM BC13:z13s – R05 (Model 2965-R05) mainframe computer with Serial# CF8B7. This is a Five CPU, 3 zIIP processor, 184 GB central storage and the operating system is z/OS.
Performance	315 million service units (MSUs)
	2545 purchased million instructions per second (MIPS)
	2545 active MIPS
Logical Partitions (LPARs)	The FLIA LPAR is used for FSFN non-production environments Dev/Test and UAT/Training. FLIA houses two DB2 subsystems to support the above-mentioned environments. FLIA is also used during the system testing, and stress testing by the new FSFN builds.
	The FLIC LPAR is used for generic batch job runs such as FLORIDA security audits. No usage-based subsystems are available here; therefore, heavy batch processes do not impact monthly software billing.
	The FLIF LPAR is used for all FLORIDA nonproduction Dev/Test, Acceptance and System test for DCF (10 IMS regions) and a part of the FLORIDA production batch cycles. DB2 Ad Hoc reporting for FLORIDA.
	The FLIH LPAR is used for FLORIDA production online transactions and production batch processes (IMS).
	The FLIM LPAR is used for operating system test.
	The FLIN LPAR is used for the sysplex network (production) and OMEGAMON (Monitoring tools).
	The FLIS LPAR is used for the FSFN production DB2 database.
	The FLIT LPAR is used for subsystem installation verification.
	The FLIZ LPAR is used for operating system test.
	Processor Units
1 – Integrated Facilities for Linux (IFL) Processor	
3 – System z Integrated Information Processors (zIIP)	
1 – System z Application Assist Processors (zAAP)	
I/O Capacity	8 ports – InterSystem Channel (ISC) coupling links
	8 ports – Fibre Connection (FICON) E8s LX2P (0409)
	8 ports – FICON-E8s SX2P (0410)
	16 ports – FICON-E16s LX 2p (0418)
Communications	8 ports – OSA5s-GbE-SX 2p (0414)
	4 ports – OSA53-1000BT 2p (0417)
Disk Storage	1 – EMC DLm6000 virtual tape library
	1 – Hitachi Data Systems VSP (virtual storage platform) Disk

Exhibit VI-5 Current Mainframe Hardware Characteristics

b. Current system resource requirements

The paragraphs below outline information on the general hardware and software resource requirements associated with ACCESS and its supporting systems.

1) Summary of current maintenance and operations cost

Exhibit VI-6 Current ACCESS Florida System Maintenance & Operations Costs lists the current annual maintenance and operating costs for the ACCESS Florida System. Included are the costs incurred at the AST Data Center to host both mainframe and midrange services and the system integrator cost to operate the ACCESS Florida System and provide small ongoing enhancements.

Cost Category	Annual Cost
AST Mainframe Maintenance & Operations	\$10,249,350
AST Midrange Maintenance & Operations	\$1,085,291
ACCESS Florida System Integrator Maintenance & Operations	\$2,500,000

Exhibit VI-6 Current ACCESS Florida System Maintenance & Operations Costs

c. Current System Performance

The new MES architecture brought highly configurable, multi-layered Service Oriented Architecture (SOA) based sub-systems to the Department's IT assets. The system is meeting the ACCESS program demands adequately and able to match or better pre-MES application processing standards. The introduction of a rules-based architecture along with Real-time Eligibility and No-Touch processing significantly improved the automated case processing without worker intervention. This improvement in the ability of the systems to tackle workload requirements is not expected to last long because of the inconsistencies and limitations in Eligibility and No-Touch processing functions with respect to the ACCESS programs. These inconsistencies will eventually lead to system reliability and performance issues without all underlying mission-critical systems being under the umbrella of the overarching MES platform.

Integrating technology enhancements into an overall system completion effort will automate many of the Department's business functions and boast numerous advancements, including:

- Reduction in operating costs
- Elimination of many manual business processes
- Better customer service
- Flexible platform to accommodate legislative and policy changes
- Real-time processing of many routine activities
- System-driven workload balancing
- Reduced overpayment and fraud
- Higher employee productivity through increased process automation and enterprise-wide access to information

2. Information Technology Standards

ACCESS and its supporting systems are compliant with the applicable Information Technology Standards outlined within the DCF Information Technology Services Standard Operating Procedures (SOPs).

E. Proposed Technical Solution

1. Technical Solution Alternatives

The current technology of the ACCESS Florida System is not efficient and drives less than optimal effectiveness for operations. Current technology constrains and reduces the outcomes for the public and the Department. There is a business need to infuse and leverage technology to achieve a higher state of operational efficiency. The gains in operational efficiency from the infusion of modern, modular, and maintainable technology will allow the Department to more nimbly implement system completion initiatives focused on improved outcomes and customer self-sufficiency. The new technology approach should provide for Customer self-service functionality via mobile devices, continue meeting the needs for public access, security, privacy and confidentiality, and meet Federal Center for Medicaid and Medicare (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
- **Industry compliance** – Alignment with, and incorporation of, industry standards: the Health Insurance Portability and Accountability Act of 1996 (HIPAA) 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, and transparency and accountability
- **Interoperability** – Supports integration with the appropriate entities providing eligibility, enrollment, and outreach functions

2. Rationale for Selection

The need for a real time single source of truth for business data is now fundamental to meet the business processing needs of today and the future. The expectations and requirements of modern systems are quite different from the requirements that drove development of the Florida legacy system. The table below compares the technology characteristics of the ACCESS Florida Legacy Systems and an expected Modern System. The table highlights how the requirements for a modernized system have changed to be always available, more connected and more secure:

Solution Alternative Technology Characteristics Considerations		
Item	Legacy System Characteristics	Modern System Characteristics
Hours of Operation	<ul style="list-style-type: none"> • Online primarily business hours; • Online citizen usage 24x7, batch cycle evenings, some scheduled system wide maintenance outages 	<ul style="list-style-type: none"> • 24x7
Users	<ul style="list-style-type: none"> • Internal workers 	<ul style="list-style-type: none"> • Internal, external, and public

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Solution Alternative Technology Characteristics Considerations		
Item	Legacy System Characteristics	Modern System Characteristics
User Authentication and Access	<ul style="list-style-type: none"> • Internal system 	<ul style="list-style-type: none"> • Federated authentication extending to external organizations
User Interface	<ul style="list-style-type: none"> • Fixed character screens 	<ul style="list-style-type: none"> • Graphical, browser, mobile device
Integration	<ul style="list-style-type: none"> • Data replication; Data extract, transformation and load (ETL) • Fixed format file interfaces • File transfer 	<ul style="list-style-type: none"> • Real-time data access • Web services • REST, XML data
Data Sharing	<ul style="list-style-type: none"> • External within state enterprise (other state systems) 	<ul style="list-style-type: none"> • Public sector, private sector, academic organizations and citizen
Security	<ul style="list-style-type: none"> • Emphasis on firewall and perimeter security; Trusted internal staff and infrastructure 	<ul style="list-style-type: none"> • Security hardening in every system component; • Encryption of data at rest and in motion; • Highly restricted data access
Reporting	<ul style="list-style-type: none"> • Extract to data repository • SQL-based reports 	<ul style="list-style-type: none"> • Real-time operational reporting • Dashboards • Predictive analytics
Business Rules	<ul style="list-style-type: none"> • Embedded in custom application system logic 	<ul style="list-style-type: none"> • Use of rules engine • Written in natural language
Processing Triggers	<ul style="list-style-type: none"> • Batch file records • Online user-entered data 	<ul style="list-style-type: none"> • Messages and event-based from asynchronous and real time messages (often via an ESB)
Batch Processing	<ul style="list-style-type: none"> • Processing nightly driven by mainframe processing capacity / cost and database locking issues 	<ul style="list-style-type: none"> • Processing can be run any time • Asynchronous updates
Workflow	<ul style="list-style-type: none"> • Custom-coded to manage human tasks and work queues of a business process steps performed internally in the organization • Low visibility to status of specific process or overall backlogs and slack resource utilization • Complex to change 	<ul style="list-style-type: none"> • Manages human and machine tasks performed internally and external to the traditional organization • Processing status transparency with internal and external stakeholders • Dynamic workflow definition and updating
Architecture Services	<ul style="list-style-type: none"> • Custom-developed 	<ul style="list-style-type: none"> • Service-oriented architecture • Use of “Best-of-Breed” COTS components or software services
Application Ownership	<ul style="list-style-type: none"> • Internally-owned asset 	<ul style="list-style-type: none"> • COTS, Software as a Service (SaaS)
Application Development Strategy	<ul style="list-style-type: none"> • Custom development or • Customize a transfer system 	<ul style="list-style-type: none"> • COTS
Application Customization	<ul style="list-style-type: none"> • Business rules defined and applications customized in response 	<ul style="list-style-type: none"> • Align Business Rules to Match Application Capabilities

Solution Alternative Technology Characteristics Considerations		
Item	Legacy System Characteristics	Modern System Characteristics
Application Maintenance	<ul style="list-style-type: none"> • In-house on-site • Contracted hourly resources 	<ul style="list-style-type: none"> • SaaS • Off shore resources • Application maintenance provider task-based contracting
Infrastructure	<ul style="list-style-type: none"> • Mainframe • Dedicated servers • Using internal hosting services 	<ul style="list-style-type: none"> • Cloud-based • Software as a Services (SaaS) or Infrastructure as a Service (IaaS)
Federal Funding Support	<ul style="list-style-type: none"> • Big-bang solutions to single vendor 	<ul style="list-style-type: none"> • Preference for small interoperable component implementation • Use of COTS, SaaS, Cloud

Exhibit VI-11 Comparison of Legacy and Modernized System Technology Characteristics

The section below describes key technology considerations and rationale for each the technology characteristics above.

Hours of Operation / System Availability

Any significant system completion initiative for a system supporting a large number of users should require 24x7 application availability and continuous processing. Today, high availability systems with no single points of failure and automated failover of clustered components are a basic expectation.

Users

The expected number of system users should consider that external users have not historically used the system directly, and that they might begin to use the system either directly or via real time web service access. To support an undetermined number of users the application and hosting infrastructure must be horizontally and vertically scalable. Additionally, licensing terms should avoid per user licensing arrangements and restrictions.

User Authentication and Access

User authentications and access controls are important considerations in differentiating technology solution alternatives. The existing systems have internal authentication and internal access controls within each application system. For workers this means they must keep multiple ids with multiple passwords. Architecturally, there are advantages for externalizing access controls from custom application logic. One area for consideration is whether an identity and access management system will support federated access controls. Federated access control is used when an external organization is granted access to use the system with user authentication and role-based management done by the external organization.

User Interface

A standard requirement for almost every modern system is to use responsive graphical design techniques. Responsive design means that the application will be optimized for any device. Mobile device usage has a substantial and growing share and mobile device support should be assumed as a significant volume of transactions.

Integration

The expectation of real-time or near real-time integration should be the *de facto* expectation for interface processing in the modernized system. Legacy integration strategies of database replication, cross system data synchronization, file extracts, and other bulk data transfer strategies are being replaced for many reasons. The major reasons being the challenges of data privacy protection and the complexities and overhead of duplicated data. For the modernized

system, the use of web services is a default expectation for transactional data sharing. Architecture requirements should use secure web services. Often an Enterprise Service Bus (ESB) is a component of the modernized system that provides a single point of access, common architecture services, and common processing controls for integration. Representational State Transfer (REST) based services are currently the standard for efficient data integration especially supporting mobile device interfaces.

Data Sharing

While there are many interfaces in the current system, the Department should expect data sharing to increase. Data sharing can be complex, especially when dealing with sensitive information or personal information. For this reason, there have been some delays and barriers to sharing data across system and organization boundaries. We expect that the benefits of data exchange are too significant to be a long-term deterrent to data sharing.

The system should secure robust support for data sharing. COTS solutions generally have dealt with this issue, and continue to stay current with industry trends, standard data sharing formats, and data sharing regulations.

Security

Security is an important consideration in system completion. The security threats and challenges that all systems, and government systems in particular, face can consume significant resources. This factor alone may be significant enough to influence the recommended system completion approach.

COTS products will generally have a significant advantage in this area because they invest in security architecture and perform ongoing vulnerability scans and analysis of application and infrastructure. In addition, because their solutions are in use in more locations, the products benefit from the cumulative experience of all customers, which is incorporated in security and data loss prevention techniques.

It is common for systems that run on mainframes to run in state hosting data centers or run in Department hosting facilities that emphasize keeping bad actors outside the environment. In the legacy system environment most emphasis goes to firewalls, identity, and access controls. There is little emphasis on encryption and controls for information that is moving around within what is considered a safe space. The modernized solution should require encryption for both external connections to the system and internal connections within the system. Likewise, a requirement for database encryption and encryption of transmission should be base requirements. Further, most, if not all, system administrators should not be able to access system data.

Reporting

From a technology perspective, the primary reporting considerations include:

- Data Model Updates
- Data Marts
- Tools
- Access
- Existing Reports

If the modernized systems use a COTS product, the COTS data model will be different from the current system data model. Even if current system data is migrated to data marts or a data warehouse for reporting, effort will be required to rework reports if a new or enhanced data model is used. A new COTS data model will have additional data and data types that allow enhanced reporting. It is important to specify expectations related to reports, because COTS vendors provide limited out of the box reports and often expect customers to customize or develop their own specific reports.

The current systems use reports as a tool to manage and assign work or to communicate outside the organization. Most COTS products and SaaS solutions will have increased online capabilities and real time integration capabilities

that can eliminate the need to use current reports to manage and communicate. Therefore, the number of reports needed in the new system may be significantly less than the number of reports used in the existing systems.

Most customers will use an external reporting tool even if COTS products provide some base report development, customization, or delivery capability.

One technical consideration related to reports is report data location. If there is significant network latency between the workstation or reporting server that does report processing and the database server, performance (especially for ad hoc requests) may be slow. Likewise, if data is used from multiple sources in different locations, network latency may become an issue. Reporting requirements should specify report generation time based on peak data volume.

Business Rules

The general approach for a modernized system is to externalize business rules from custom application logic. The ACA MES ACCESS project implemented a rules engine running on the mainframe. In a properly architected modern system, use of an external rules engine can provide flexibility to make rules changes without making other application changes. Vendors that provide dedicated rules engines, use rules engines, or have products that use rules engines often communicate that business people will be able to maintain business rules in real-time, as needed. In practice, this is not usually practical, because changes in business rules can have ripple impacts to other system components. Additionally, from a configuration management perspective, most organizations strictly control and automate deployment of changes to production environments. Regardless, the expanded use of a rules engine can create improved processing consistency and reduce maintenance effort.

Processing Triggers

In the legacy system, processing triggers primarily originate from user-entered information and batch processing. The modernized system should primarily support real time event-based processing triggers. These real-time events cause workflow updates and system data updates. Requirements to accept real-time updates via web service message will provide the processing capability to support business needs into the future.

Batch Processing

The legacy system has significant batch processing that is mature and efficient for the legacy platform. This processing relies on operations services (provided by the hosting service) to perform job scheduling, restart processing, and processing notifications. Historically, the use of batch processing is usually a legacy strategy driven to encourage use of unused mainframe capacity when users are not online and because legacy application systems did not have data access controls to allow concurrent online and batch processing.

System completion efforts should scrutinize current batch requirements for potential elimination and allow processing to be performed in real-time or asynchronously where possible. The system should encourage external interfaces to move from batch to real time or asynchronous processing.

Even where batch processing must continue because of external interfaces, system completion work should use techniques that will allow the migration to real-time without significant rework.

A related consideration for batch processing is the temporal data support. In a modern system, processing can be run independent of the system clock or current date/time. The data stored in the system retains the temporal attributes making it possible to run processing as of a specific date and time in the past. This is useful for cut-off processing and to support re-run processing if operational errors require reprocessing. This capability can often eliminate the need to have production systems be down if nightly processing did not complete successfully.

Workflow

Work management is one of the most important capabilities of the system. This area of processing requires the most scrutiny. It is important to evaluate the usability of the system interfaces that users access to view work items and

manage work requests of tasks in the business process. In the legacy system environment a worker may have to evaluate work item task lists in multiple sub systems.

One important feature in the modernized system is automatic updates to the workflow based on system actions or data changes. For example, if a workflow step is complete after a user enters a set of information, the system will be much more effective if the task detects the change in the data and automatically marks the task complete, as opposed to the worker having to go to a work assignment screen and mark the specific task closed. This feature for specific task types greatly increases user satisfaction and reduces delays in overall processing throughput, while at the same time provides improved program and administration integrity ensuring eligibility staff receives proper credits for completed transactions without the risk of erroneous manual entries.

An additional consideration is how tasks performed by external users can be managed and tracked in the system. This allows external users to perform their steps of a workflow. The ability for external users to integrate their systems with the workflow engine may be a valuable feature. Alternatively, external users may use interactive work management screens to manage work.

Architecture Services

There are many application architecture services that can be performed by COTS, open source solutions, SaaS services, or custom processing. COTS products balance the use of COTS architecture services to make their products cost effective. The use of architecture services reduces risk related to the specific component but increases the integration complexity. For COTS products, the vendor is typically responsible for integration of the COTS products used by their solution. If a customer requires customer-specific architecture components, those need to be specified and responsibility for performing this work should be explicit.

A recommended system completion requirement is to identify the specific architecture services to be used and the process to update or replace architecture services in the future.

Determining the right balance of custom-coded architecture services versus other types of architecture services is a matter of discretion. Architecture services that require specialized skills, must comply with external standards or compliance criteria, are widely used, or are low-cost are candidates to use external architecture services.

Architecture services such as security authentication and access, enterprise service bus and infrastructure monitoring should rarely be custom developed.

Application Ownership

The thinking on application ownership for modern systems has changed for most organizations. When systems provided a unique competitive differentiator or advantage, organizations wanted to retain ownership and control of the application. As organizations recognized that system processing techniques were common to many organizations, there has been a shift to COTS-based solutions.

The other consideration is that the system lifecycle has shortened significantly. When systems were expected to operate largely unchanged, other than normal maintenance for a period of decades, it made sense to own the solution. With the pace of major technology change, most organizations recognize that the expected life of a system is not as long as it has been in the past. For this reason, most organizations are now favoring a rent instead of buy strategy.

From a department budgeting perspective, renting reduces discretion on maintenance expenditures and reduces the effort to secure capital funds needed for major system updates. This can be an advantage to ensure the system receives a base set of maintenance to keep it operational.

Application Development Strategy

Custom development of replacement enterprise applications is generally not considered a viable option because of the large capital expenditure, track record of budget overruns, and delayed implementations. Transfers of custom solutions followed by customization of the system was a popular strategy 10-15 years ago. It was perceived that a transfer strategy was lower risk because the transferred application:

- May have some maturity from iterations of use
- May have eliminated of defects from production use
- Allowed the customer to end up with a custom solution that they owned

The transfer approach is now out of favor because in practice there are not significant savings, especially if there are a significant number of customer specific customizations. The application architecture of the transfer system will also influence ongoing maintenance costs and can limit ongoing system evolution.

Enterprise application development is now primarily completed in vendor development centers that concentrate thousands of workers, usually using offshore locations and low-cost resources. Vendors have hiring, management, professional development, and quality management synergies in these centers and prefer to do application development and maintenance work in these locations.

Application Customization

There has been a change in thinking on how to implement modernized systems. The traditional approach that derived from when there were few automated systems is to define requirements and then build or customize the new system to meet specified business requirements. With the introduction of COTS products, organizations are looking at total cost to implement and operate, and are finding that instead of business requirements driving the system, it is often faster and more cost effective to change the business processes and requirements to match the capabilities of the COTS product or SaaS solution. These approaches are quite different. If procuring and considering a COTS product or SaaS solution it is important to align the procurement and negotiation strategy with the approach.

Application Maintenance

Application maintenance strategies have evolved and are continuing to change. The traditional application maintenance approach for enterprise custom systems owned by an organization is to have an onsite team of application developers. For government systems, these resources are often contracted resources that perform services for a long period. Organizations focus on minimizing rate per hour paid and work on a capacity basis providing maintenance and enhancement with the contracted capacity.

For organizations that purchase COTS products for enterprise use, it is common to use an application service provider that manages all maintenance of the COTS product. Work includes product customizations and integration work to support COTS product upgrades. The Application Service Provider works closely with the COTS vendor and often supports multiple customers with a shared pool of resources.

For organizations that use SaaS solutions, the service provider handles all application support and maintenance. These services are provided directly by the SaaS provider.

Infrastructure

A major part of modernizing the system is enabling and modernizing the system infrastructure. The system infrastructure is the network, servers, system software, hosting, and systems operations capabilities.

Improvements in technology have standardized and virtualized infrastructure, allowing leveraging of support resources across a much larger number of systems and system infrastructure components. Cloud providers use this standardization to support many customers at a low cost.

For this system, the move from Department and State hosted infrastructure has the expected benefits of cost savings and improved service level. From an overall state level, migration and decommissioning of the current mainframe, state, and department data centers is a directional priority. If any system completion option retains existing system components there is work to make the current applications cloud ready.

Federal Funding Support

Across all federal agencies there has been dissatisfaction with large high-stakes big-bang custom system replacement projects using single vendor solutions. Federal agencies are communicating a preference to procure and implement system completion programs as a series of component implementations. There is also recognition that COTS and SaaS solutions may be easier to implement and achieve benefits sooner. Federal agencies recognize that improved interoperability and standard integration technologies can allow more competition. They are seeking use of vendors with the best solutions in specific components. Through funding approval direction, they are encouraging that federal investments use systems that can implement the best components and replace them as the market creates better component systems. This is a risk reduction strategy based on the history of large custom projects being expensive to implement, frequently exceeding planned budgets and are often are implemented years after planned completion dates.

Exhibit VI-12 Solution Option Support for Systems Alternatives Analysis shows a way to compare how characteristics can be compared across possible solutions.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Evaluation Criteria	Modern System Characteristics	COTS Purchase(s)	Custom Development / Transfer	SaaS Procurement	Hybrid / Cloud Enabled Components	Technology Re-platform
Hours of Operation	<ul style="list-style-type: none"> • 24x7 					
Users	<ul style="list-style-type: none"> • Internal, External, and Public 					
User Authentication and Access	<ul style="list-style-type: none"> • Federated authentication extending to external organizations 					
User Interface	<ul style="list-style-type: none"> • Graphical, Browser, Mobile Device 					
Integration	<ul style="list-style-type: none"> • Real Time Data Access • Web Services • REST, XML data 					
Data Sharing	<ul style="list-style-type: none"> • Public Sector, Private Sector, Academic Organizations and Citizen 					
Security	<ul style="list-style-type: none"> • Security Hardening in every system component • Encryption of Data at Rest and In Motion • Highly restricted data access 					
Reporting	<ul style="list-style-type: none"> • Real Time Operational Reporting • Dashboards • Predicative Analytics 					
Business Rules	<ul style="list-style-type: none"> • Use of Rules Engine • Written in Natural Language 					
Processing Triggers	<ul style="list-style-type: none"> • Messages and Event Based from asynchronous and real time messages (often via an ESB) 					
Batch Processing	<ul style="list-style-type: none"> • Processing can be run any time • Asynchronous Updates 					

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Evaluation Criteria	Modern System Characteristics	COTS Purchase(s)	Custom Development / Transfer	SaaS Procurement	Hybrid / Cloud Enabled Components	Technology Re-platform
Workflow	<ul style="list-style-type: none"> Manages human and machine tasks performed internally and external to the traditional organization Processing Status transparency with internal and external stakeholders Dynamic workflow definition and updating 					
Architecture Services	<ul style="list-style-type: none"> Service Oriented Architecture Use of Best of Breed COTS components or Software Services 					
Application Ownership	<ul style="list-style-type: none"> COTS, Software as a Service (SaaS) 					
Application Development Strategy	<ul style="list-style-type: none"> COTS 					
Application Customization	<ul style="list-style-type: none"> Align Business Rules to Match Application Capabilities 					
Application Maintenance	<ul style="list-style-type: none"> SaaS Off shore resources Application Maintenance Provider Task Based Contracting 					
Infrastructure	<ul style="list-style-type: none"> Cloud based Software as a Services (SaaS) or Infrastructure as a Service (IaaS) 					
Federal Funding Support	<ul style="list-style-type: none"> Preference for Small Interoperable Component Implementation Use of COTS, SaaS, Cloud 					

Exhibit VI-12 Solution Option Support for System Alternatives Analysis

3. Recommended Technical Solution

The technical solution DCF selects will be a result of decisions after the roadmap is developed.

F. Proposed Solution Description

1. Summary Description of Proposed System

The proposed solution will result in a strategic replacement of the ACCESS Florida legacy system function and infrastructure components. The result will be a completion of the technology transformation that began with the MES Project. The resulting application will meet the Department's business objectives for a more integrated service delivery model that is customer-centered, outcomes-driven, and less costly to maintain. It will also build on the modern architecture foundation that was introduced with the MES project, greatly reducing the risk of technical obsolescence that exists in the legacy system today. It will maximize technical and business process benefits and provide the flexibility and scalability needed for future enhancements.

Exhibit VI-13 Proposed ACCESS System Architecture below depicts the system architecture developed for the system completion solution; a similar architecture will be provided for the proposed system replacement.

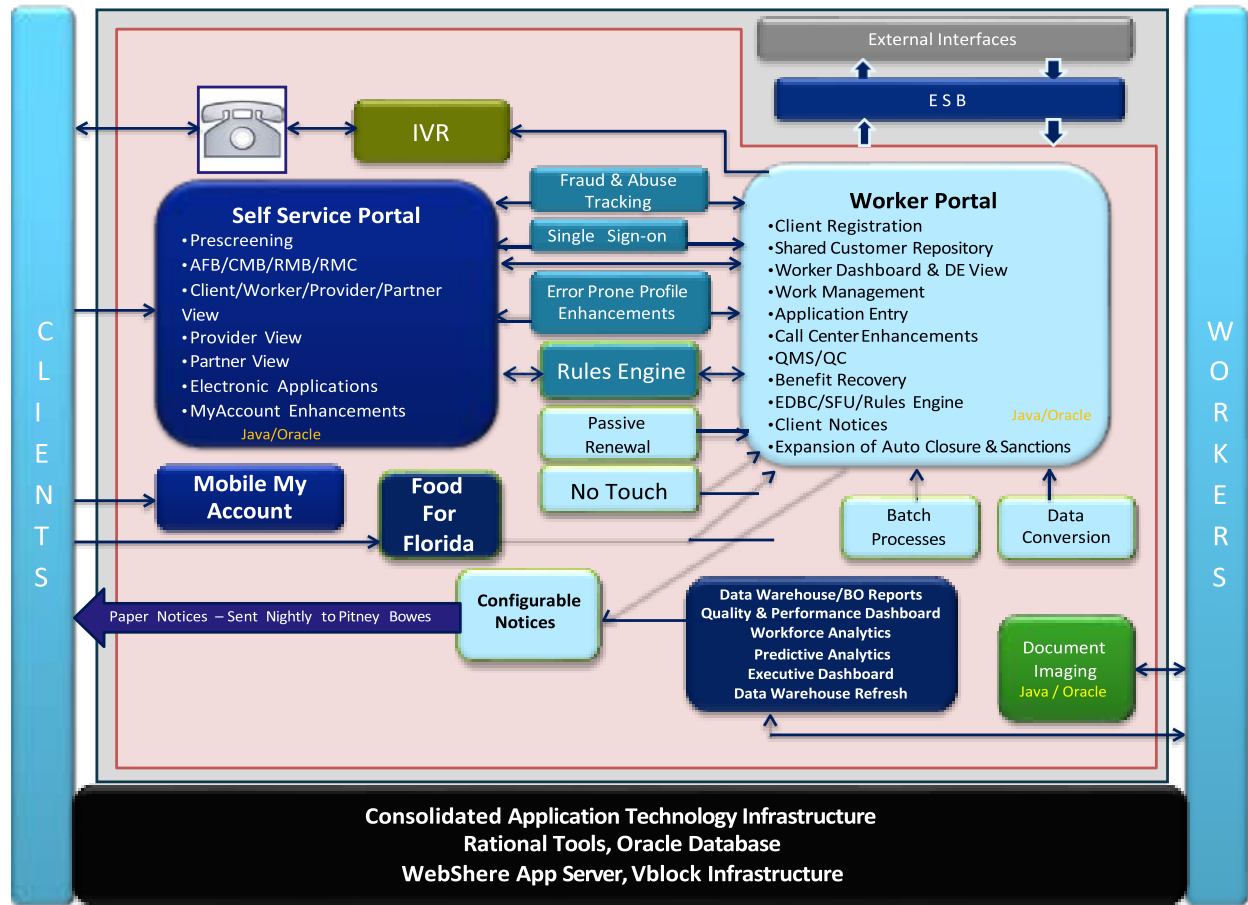


Exhibit VI-13 Proposed ACCESS System Architecture

- Self-Service Portal** - The Self-Service Portal (SSP) uses eligibility rules based on predefined criteria to allow customers to apply on-line for selected benefits. The system supports streamlined application for medical assistance, Children’s Health Insurance Program (CHIP), and other insurance benefits. The SSP architecture integrates several shared services using a framework-based approach for federal verifications, state verifications, and real-time eligibility determination for modified adjusted gross income (MAGI) based medical assistance groups and CHIP. The SSP could be COTS based series of components or component or Software-s-a-Service (SaaS) via the Cloud.
- ACCESS Document Imaging (ADI) System** - The ADI provides an integrated approach for storing documents used to determine eligibility and support benefit recovery, quality control, and ACCESS Integrity findings. The document imaging system allows staff statewide to scan documents and then access those documents, as needed. The system also includes workflow functionality to facilitate routing and processing of uploaded documents.
- No-Touch** - No-Touch is a standalone automated batch process that executes the same transactions executed by Case Workers to complete the processing of MAGI based Medicaid applications that are complete and have all the verifications.
- Reporting and Analytics** - Reporting and Analytics Platform to facilitate DCF staff standard reporting, ad-hoc reporting, and data visualization capabilities.
- Configurable Notices** - Solution to provide workers the ability to create, manage, and deliver printed notices as required by government mandates for various state-administered public assistance programs, including SNAP, TANF, Medicaid, and Refugee Assistance. Approximately 70,000 to 100,000 notices are transmitted for printing and mailing nightly through a batch process.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

- **Food for Florida (D-SNAP)** - The system features multiple modules that include a client facing self-service function that allows customers to pre-register (apply) for benefits over the Internet, a disaster service site worker module that allows DCF staff to review and approve or deny applications, and issue EBT cards for approved applications, as well as a function to allow for the processing paper applications. In addition, the D-SNAP central module features a broad range of functions that include administrative activities to manage disasters, disaster areas, service site locations and users in addition to the capabilities for the backroom processing of paper based applications (paper or image). The D-SNAP system functions in unison with the worker portal for case creation, benefit calculation, and issuance through the EBT vendor interface. D-SNAP includes an interface with the Federal Emergency Management Agency (FEMA) that allows the public to submit EFA applications to D-SNAP through FEMA's disaster assistance website.
- **External Transfers** - The Account Transfers and Interfaces module is designed to allow DCF to exchange information with Federal, State, and third-party agencies via real-time web services and FTP batch processes. There are several real-time verification services as part of Affordable Care Act implementation. The verification services include federal verification of Minimum Essential Coverage (MEC) for Medicaid and CHIP programs, FDSH for verification services, Florida Healthy Kids (FHK) and Federally Facilitated Marketplace (FFM) to send or receive applications, SWICA to verify state income, Agency for Health Care Administration (AHCA) to receive enrollment data, FSFN to verify children aged out of Foster care, Florida DOH/Children's Medical Services Network (CMSN) for the determination of clinical eligibility based on applicant/customer input.
- **Rules Engine** - The external business rules engine hosts MAGI based Medicaid rules exposed to internal and external applications through Enterprise Service Bus. This provides flexibility to allow same rules execute in both Florida ACCESS and Open systems. These rules support the Self-Service Portal Real-time Eligibility and Screening modules, FHK CHIP Eligibility, and ACCESS Eligibility system.
- **Interactive Voice Response** - The IVR application allows customers 24x7 toll-free access to information about their public assistance case status, eligibility and benefit information, appointment details, verification items required, and information on other ESS programs.

Customer input is received via telephone and interpreted by a voice response server. The voice response server uses stored procedures to access the ACCESS Florida System and retrieve information in response to the customer inquiry.

- **Telephonic Applications** - Telephonic application functionality allows SNAP operators to submit applications on behalf of customers.
- **Fraud & Abuse Tracking** - The State of Florida Benefit Recovery program for recovering overpaid benefits and reporting related information to the Federal Government. A fully functional and consolidated benefit recovery system maintains all customer, budget, claims, and accounting data. This simplifies the claims, collections, accounting, reporting and monitoring activity of the BR management and staff.
- **Internal and external interfaces** - The implementation of the modernized ACCESS Florida System would use the ESB to interface with external systems. The transition from batch interface processing to real time or near real time processing would be enabled by the new system and associated architecture capabilities. The timing of migration would be driven by the external organization's ability to provide or receive information in real time.
- **Worker Portal** - The Worker Portal comprises multiple functional components for Client Registration, Work Management, Application Entry, Eligibility Determination/Benefit Calculation, Benefit Issuance, Call Center, Benefit Recovery, Rules Engine, Client Notices, Shared Customer Repository, Worker Dashboard, Auto Closure & Sanctions, and QMS/QC.

2. Requirements for Proposed Solution (if any)

The draft high-level functional and technical system requirements that must be met by the project to achieve the business objectives and business requirements outlined in the Strategic Needs Assessment section of this document are detailed in Section II-D. Some specific requirements related to technology are outlined in Exhibit VI-15 – Proposed Solution Technical Requirements. In addition, the proposed solution should include CMS conditions and standards for:

- **Modularity** – Use of a modular, flexible approach including the use of open interfaces
- **MITA standards** – Aligned and ready for advancement in the Medicaid Information Technology Architecture
- **Industry compliance** - Alignment with, and incorporation of, industry standards: the Health Insurance Portability and Accountability Act of 1996 (HIPAA) security, privacy and transaction standards
- **Compliance with the Minimum Acceptable Risk Standards for Exchanges (MARS-E)**
- **Leverage** – Promotes sharing, leverage, and reuse
- **Business results** – Supports accurate and timely processing of eligibility with the public
- **Reporting** – Has the capability to produce reports supporting program evaluation, continuous improvement in business operations, and transparency and accountability
- **Interoperability** – Supports integration with the appropriate entities providing eligibility, enrollment, and outreach functions

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Requirement Area	Initiative	Description
Architecture	Single Sign-On	The solution shall require users to sign on only once to access multiple systems that support ESS worker processing.
Architecture	SOA/Standards	The solution architecture shall be modular with open interfaces and business rules that are separate from application-related programming.
Architecture	SOA/Standards	The solution shall comply with CMS 7 Standards and Conditions and leverage an open, standards-based, SOA that aligns with the MITA maturity model as published in 42 CFR Part 433.
Architecture	SOA/Standards	The solution shall be deployed as a web-based, graphical user interface, accessed via a web browser or mobile application.
Architecture	SOA/Standards	The solution shall comply with accessibility standards and regulations under Sections 504 and 508 of the Rehabilitation Act of 1973, as well as with the Americans with Disabilities Act of 1990 (ADA).
Architecture	Implementation Approach	The solution shall have the capability to interact with ACCESS Florida mainframe and ACCESS Document Imaging (ADI) systems to continue to provide existing business services while legacy ACCESS systems are undergoing reengineering in a phased implementation.
Architecture	System Performance	The solution shall provide the capability for capacity monitoring via server volume/capacity and network volume/capacity monitoring.
Architecture	System Performance	The solution shall provide the capability for application monitoring for all ACCESS Florida system functionality.
Architecture	System Performance	The solution shall include infrastructure based on the MES architecture to accommodate processing of existing volume and capacity of ESS worker caseloads which have had a 30% cumulative growth over the last five-year period.
Architecture	Disaster Recovery	The solution shall provide the ability to create back up customer information, case information, eligibility benefits batch files, and all system components for disaster recovery.
Architecture	Data Migration	The solution shall convert functionality and processes written in COBOL and other third-party supporting software on the ACCESS Florida mainframe to an open systems platform based on MES architecture.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Requirement Area	Initiative	Description
Architecture	Data Migration	The solution shall convert customer information such as but not limited to benefit/service history, overpayments, recoupments, benefit clocks, and sanctions from the IMS hierarchical database on the ACCESS Florida mainframe to a relational database based on MES architecture.
Architecture	Data Migration	The solution shall provide the capability to convert active (on-line), inactive (i.e., closed, denied) and archived (off-line) records.
Architecture	Data Migration	The solution shall provide a mechanism to clean the data and remove duplicate records.
Architecture	Interface Migration	The solution shall migrate interfaces with the ACCESS Florida mainframe to the MES architecture based on an Enterprise Service Bus (ESB).
Architecture	Interface Migration	The solution supports the secure transmission of data via the ESB using an established security appliance as part of the MES architecture.
Architecture	Interface Migration	The solution shall provide the ability to import data into the system in multiple formats (i.e., csv, fixed length ASCII, tab-delimited).
Architecture	Interface Migration	The solution shall provide the ability to maintain external system information for interfaces (i.e., connection strings, file paths).
Architecture	Interface Migration	The solution shall provide the ability to transmit and receive imported and exported data through multiple secure methods compliant with NIST standards (i.e., file output, web service, single and batch transactions).
Architecture	Security	The solution shall meet the minimum security requirements as defined by FIPS through the use of security controls in accordance with NIST standards.
Architecture	Security	The solution shall support full compliance with the controls defined in Volume III: Catalog of Minimum Acceptable Risk Security and Privacy Controls for Exchanges, including the document suite of guidance, requirements, and templates known as the Minimum Acceptable Risk Standards for Exchanges (MARS-E), Version 2.0.
Architecture	Security	The solution shall enable multi-factor authentication for secure access to data.

Exhibit VI-15 – Proposed Solution Technical Requirements

II. Schedule IV-B Project Management Planning

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

Include through file insertion or attachment the agency's project management plan and any associated planning tools/documents.

NOTE: For IT projects with total cost in excess of \$10 million, the project scope, business objectives, and timelines described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4)(a)10, F.S.

A. Project Charter

Purpose: To document the agreement between a project's customers, the project team, and key management stakeholders regarding the scope of the project and to determine when the project has been completed. It is the underlying foundation for all project related decisions.

The program charter establishes a foundation for the program by ensuring that all participants share a clear understanding of the program purpose, objectives, scope, approach, deliverables, and timeline. It serves as a reference of authority for the future of the program. The project management approach established for system completion is described below and is expected to be adopted substantively for the system replacement effort, although work by year may vary and charts and tables relating to that information will be updated. The project management approach includes the following:

1. Program Name

This program is referred to as ACCESS Florida System Transformation.

2. Purpose

The purpose of the project is to release American Rescue Plan funds that can be used to complete the ACCESS Florida System Replacement consistent with a strategic roadmap provided by a consultant and described in an updated Schedule IV-B. System replacement will require approved federal Planning and Implementation Advance Planning Document Updates and federal financial and procurement approvals for vendors and proposed technology solutions. The technology option(s) chosen would meet USDA requirements and also CMS requirements for a solution strategy to implement modular components. CMS is guiding states to provide greater speed to value, reuse within the Medicaid Enterprise, more vendor competition, a phased implementation approach, and reusable solutions from other states. The tangible benefits include increased worker productivity, fraud prevention, privacy, and confidentiality, meet federal and state standards and conditions, and reduced operating costs for the ACCESS Florida System at the AST data center. The intangible benefits of the project include improved customer service, maintaining benefit accuracy, program integration, more effective use of resources, and enterprise interoperability.

3. Objectives

This project objectives will be finalized after the roadmap is developed, but the objectives set for system completion are applicable. They stated that the project will meet the following objectives:

- Promote personal and economic self-sufficiency
- Prevent fraud, protect privacy and confidentiality
- Advance personal and family recovery and resiliency
- Leverage increased efficiencies and serve Florida citizens in the most effective manner possible
- Position the department to further maximize the benefit of the state investment in technologies implemented to support the Medicaid eligibility system
- Stabilize and reduce ongoing support costs
- Focus on the benefits of increasing “no touch” and rules engine-based automated processing
- Create a modern, integrated, rules-based system that supports the public assistance programs leveraging modern technology preferably using COTS, Cloud-based, or Software-as-a-service (SaaS) solutions
- Facilitate improved communication within the Department as well as between the Department and its' external stakeholders
- Provide Department staff with timely access to information necessary for performance measurement and

quality management

- Provide better access to data through searching and reporting capability
- Employ project management best practices throughout the life of the project
- Complete the project within agreed budget and timeframes

4. Project Phases

The first year will include establishing the PMO, perform detailed planning and reporting activities, acquisition of the system integrator, establish a sound foundation to manage the project effectively, and prepare advance-planning documents for approval of federal funds participation for development and for maintenance and operations for the subsequent fiscal years. Utilizing an agile development cycle, DCF can begin development during the planning phase in an iterative fashion.

5. Project Management

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

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

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

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

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

6. Project Scope

The scope of this project will include a significant business process analysis and requirements development effort as well as the design, development, testing, user training, and statewide implementation of a new business system to support the following DCF functional and technical areas across SNAP, TANF, and Medicaid eligibility programs:

Also Included in the Project Scope:

- Establishment of a Project Management Office
- Organizational Change Management
- Independent Verification and Validation (IV&V)
- Data conversion and migration
- Data warehouse design and development
- Statewide system implementation
- Content development for training materials and system help screens
- End-user training
- Operations and maintenance planning
- Reporting functions

The table below summarizes the activities to support the ACCESS Florida System Transformation effort:

Activity	Description
Analysis	Validation of the system requirements collected during previous business process improvement and requirements gathering efforts.
Design	Joint Application Design sessions with end users, functional and technical design documentation, and user interface prototyping.

Activity	Description
Build	Application configuration and system development, database development, data conversion, data migration, data warehouse development, unit testing, creation of help screens and development of an online user tutorial.
Test	Creation of test plans and test cases, and the performance of integration and system testing, user acceptance testing, and regression testing.
Deploy	Implementation planning and the deployment of the new system to a production environment.
Operations	Begins during the system implementation phase. The emphasis of this phase will be to ensure that the necessary equipment, staff, and procedures are in place to meet the needs of end users and ensure that the system will continue to perform as specified.

Exhibit VII-2 System Enhancement Activities

7. Project Deliverables

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

Name	Deliverable Description
Project Management Status Reports	Weekly status reports to project management team.
Risk and Issue Registers	Prioritized lists of risks and issues identified and reviewed during the course of the project.
Meeting Minutes	Record of decisions, action items, issues, and risks identified during formal stakeholder meetings.
Schedule IV-B Feasibility Study (Updates)	Incorporates information to be submitted with the Department’s Legislative Budget Request for follow on phases.
Project Charter	Issued Project Sponsor that formally authorizes the existence of the project and provides the Project Manager with the authority to apply organizational resources to project activities.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Name	Deliverable Description
Project Management Plan	<p>Includes the following documents as required by the DCF Project Director and/or the PMO:</p> <ul style="list-style-type: none"> • Work Breakdown Structure • Resource Loaded Project Schedule • Change Management Plan • Communication Plan • Document Management Plan • Scope Management Plan • Quality Management Plan • Risk Management Plan • Risk Response Plan • Issue Management Plan • Resource Management Plan • Conflict Resolution Plan • Baseline Project Budget
As-Is Business Process Flows	Represents, graphically, the current state of public assistance business processes using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
To-Be Business Process Flows	Represents the future state of public assistance business processes, as reengineered by the vendor in conjunction with DCF subject matter experts. The process flows are developed using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
Technical Design Specification	<p>Detailed technical design for data and information processing in the new business system to include:</p> <ul style="list-style-type: none"> • Data Model/ERD • Data Dictionary • Technical Architecture (to include a hardware usage plan)
Design Demonstration	Review and acceptance of the system integrator’s design required before proceeding to development. Key stakeholders will experience the prototype and then a go/no-go decision will be submitted to the Project Sponsors for action.
Data Conversion Plan	Plan for converting data from existing systems to meet the specifications of the new database design; to include detailed data conversion mapping.
Knowledge Transfer Plan	Details the steps taken to transfer knowledge about the system to the resources that ultimately will be responsible for implementation.
Organizational Change Management (OCM) Plan	Describes the overall objectives and approach for managing organizational change during the project, including the methodologies and deliverables that will be used to implement OCM for the project.
OCM Status Reports	Weekly status reports to project management team.
Stakeholder Analysis	Identifies the groups impacted by the change, the type and degree of impact, group attitude toward the change and related change management needs.

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Name	Deliverable Description
Training Plan	Defines the objectives, scope, and approach for training all stakeholders who require education about the new organizational structures, processes, policies, and system functionality.
Change Readiness Assessment	Surveys the readiness of the impacted stakeholders to “go live” with the project and identifies action plans to remedy any lack of readiness.
IV&V Project Charter	A document issued by the Project Sponsor that formalizes the scope, objectives, and deliverables of the IV&V effort.
IV&V Status Reports	Quarterly reports to the Executive Management Team.
IV&V Periodic Assessments	<p>Documents the results of IV&V activity to determine the status of project management processes and outcomes including but not limited to:</p> <ul style="list-style-type: none"> • Schedule Review Summary • Budget Review Summary • Business Alignment Summary • Risk Review Summary • Issue Review Summary • Organizational Readiness Summary • Recommended Next Steps/Actions for each of the above areas • Milestone and Deliverable reviews (to determine if the project is prepared to proceed to the next phase in the project work plan) • Current scorecard of the project management disciplines • Strengths and areas for improvement in the project management disciplines • IV&V Next Steps/Actions
IV&V Contract Compliance Checklist	Documents that vendors involved with the project have met all contractual requirements.
Data Migration Plan	Plan for migration of data from existing systems to new databases (as required).
Test Plans	Detailed test plans for unit testing, system testing, load testing, and user acceptance testing.
Test Cases	Documented set of actions to be performed within the system to determine whether all functional requirements have been met.
Implementation Plan	Detailed process steps for implementing the new business system statewide.
Knowledge Transfer Plan	Based on a gap analysis, this plan will detail the steps taken to transfer knowledge about the system to the resources that ultimately will be responsible for post-implementation support.
Functional Business System	Final production version of the new business system.
System Operation and Maintenance Plan	Detailed plan for how the finished system will be operated and maintained.

Exhibit VII-3 Project Deliverables

8. Project Milestones

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

Milestone	Deliverable(s) to Complete
Legislative Approval	<ul style="list-style-type: none"> Updated Schedule IV-B
Federal Funding Approval	<ul style="list-style-type: none"> Advance Planning Document
Project Kick-Off	<ul style="list-style-type: none"> Project Charter
Project Management Documents Completed	<ul style="list-style-type: none"> Various (See deliverable list)
Business Process Analysis Completed	<ul style="list-style-type: none"> As-Is Business Process Flows To-Be Business Process Flows
Acceptance of Functional and Technical Requirements	<ul style="list-style-type: none"> System Requirements Document Public Assistance Requirements Document
Project Management Documents Completed	<ul style="list-style-type: none"> Various (See deliverable list)
Acceptance of Validated Requirements	<ul style="list-style-type: none"> Validated Functional Requirements Document
Acceptance of User Interface Prototypes	<ul style="list-style-type: none"> User Interface Prototypes
Acceptance of Functional and Technical Design Specifications	<ul style="list-style-type: none"> Functional and Technical Design Specification documents
User Acceptance Testing Complete	<ul style="list-style-type: none"> NA
End User Training Complete	<ul style="list-style-type: none"> On-site training sessions Training materials
System Deployment	<ul style="list-style-type: none"> Functional system released into production
Project Close-out	<ul style="list-style-type: none"> Lessons Learned Knowledge Transfer Contract Compliance Checklist Project Close-out Checklist

Exhibit VII-4 Project Milestones and Go/No-Go Decision Points

9. General Project Approach

The following activities are required to finish the ACCESS System Completion project:

1. Submit a Legislative Budget Request
2. Perform Schedule IV-B Feasibility Study update
3. Prepare federal Planning Advance Planning Document (PAPD)
4. Seek federal funding and procurement approvals for planning phase and to develop Implementation APD (IAPD)
5. Submit IAPD for approval
6. Develop major procurements and submit for prior federal approval
7. Execute procurement(s)
8. Submit proposed award(s) and proposed contract(s) for federal prior approval
9. Execute contract(s)
10. Execute the project
11. Monitor and control the project
12. Develop and Test the proposed solution as described in the Technology Planning section per the three-year plan outlined in Exhibit VII-1 Project Scope and Exhibit VII-6 High-Level Project Schedule
13. Implement the proposed solution
14. Conduct Organizational Change Management and Communications activities
15. Develop and Conduct Training
16. Deploy the system to trained users who are fully prepared to use the new system and are supported by on-screen help
17. Conduct knowledge transfer

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

18. Continued operations, administration and support of the system through the warranty period
19. Close Out the project
20. Operate and enhance the system throughout its service life

10. Change Request Process

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

Upon acceptance of the change request and its validation by the PMO, the tasks to implement the change will be incorporated into the project plan and a project change order will be initiated. A priority will be assigned and the request will be scheduled accordingly. Exhibit VII-5 illustrates the proposed change request process.

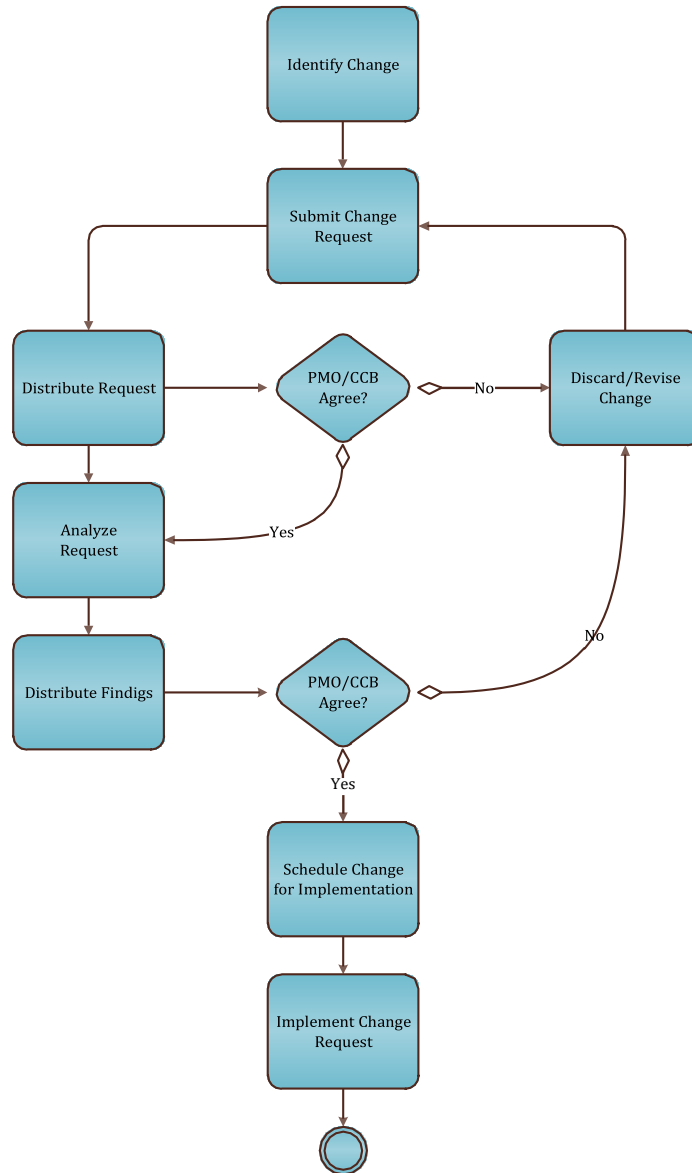


Exhibit VII-5 Proposed Change Request Process

B. Project Schedule

The actual project schedule will be highly dependent upon the business need priority, technical complexities, and solutions available. The development of the actual project schedule will be the responsibility of the DCF project manager and implementation vendor(s). The figure below provides an example of the high-level project schedule for the initial three years of the proposed ACCESS System Transformation; the final schedule is to be determined based on the roadmap.

Fed SNAP Spend Cycle		\$28M												\$51M												\$51M											
Total IT Increment Spend		\$12.5M												\$50M												\$50M											
State FY		FY 21/22 Year 1												FY 22/23 Year 2												FY 23/24 Year 3											
Increment	Module	JL	AU	ST	OC	NV	DC	JY	FB	MR	AP	MY	JN	JL	AU	ST	OC	NV	DC	JY	FB	MR	AP	MY	JN	JL	AU	ST	OC	NV	DC	JY	FB	MR	AP	MY	JN
1	Enterprise Architecture Design				\$450K																																
	Client Registration						\$5-6M																														
	Access Integrity/ Fraud Prev									\$5M																											
	Re-write of Client Notices					\$2M																															
2	App Entry									\$2M										\$14-16M																	
	Eligibility																			\$10-12M																	
	Case Mgmt Platform																			\$3M																	
	Common (FAQ, Help, etc)																				\$3M																
3	Benefit Recovery																			\$5-6M													\$3M				
	Workload Mgmt																				\$3-4M												\$3M				
	Authorization																					\$5-6M											\$5-6M				
4	Document Mgmt																																	\$8-10M			
	DSNAP																																	\$7-8M			
5	Benefit Issuance																																		\$6-7M		
	Interfaces																																		\$4-5M		
	Client Notices Backend																																				
	Self Service Portal																																				
	Mass Change																																				
6	Quality Assurance																																				
6	Chatbot																																				

Exhibit VII-6 High-Level Project Schedule

C. Project Organization

The DCF Project Management Team will be headed by the DCF Project Director and will include the Vendor Project Manager. This team will be responsible for day-to-day oversight of the project. In addition, the Project Management Team will work closely with the Florida Digital Service (FDS) to ensure that sufficient external project oversight is established and maintained.

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

The project business stakeholders include seasoned DCF staff from the program’s core business areas. These key stakeholders will be instrumental in the design, development and testing of the new business system and will assist in the review and approval of all project deliverables.

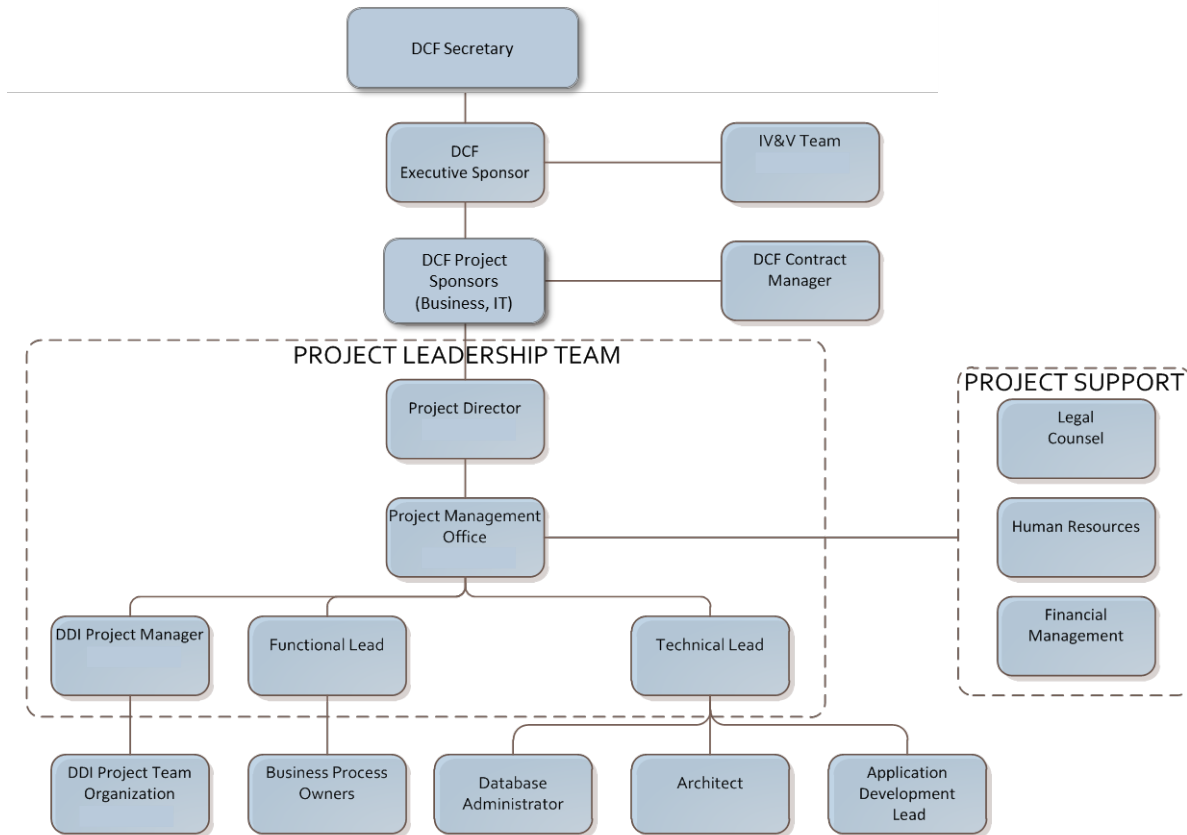


Exhibit VII-7 Proposed Project Organization

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

The following table identifies roles in the project organization and a summary of their responsibilities.

Role Name	Description	Assigned To
Executive Sponsor	<ul style="list-style-type: none"> • Provides executive oversight to the project • Acts as final escalation for all issue resolution • Directs governance 	DCF Secretary or Designee
Executive Management Team (EMT)	<ul style="list-style-type: none"> • Supports the project vision • Resolves escalated issues 	DCF Secretary or Designee Chief of Staff Assistant Secretary for ESS CIO
IV&V Vendor	<ul style="list-style-type: none"> • Verifies that the system is developed in accordance with validated requirements and design specifications • Validates that the system performs its functions satisfactorily • Monitors project management processes and provides feedback on any deficiencies noted • Reviews and provides feedback on project deliverables • Presents to Executive Management team on IV&V activities 	Awardee from competitive procurement
Project Business Sponsor	<ul style="list-style-type: none"> • Has programmatic decision-making authority • Champions the project within the customer’s organization • Provides guidance on overall strategic direction • Provides business resources for project success • Has Programmatic responsibility for successful development and implementation of the project • Facilitates communication with the EMT 	DCF-ESS Director
Project IT Sponsor	<ul style="list-style-type: none"> • Has IT decision making authority • Champions the project within the customer’s organization • Provides guidance on overall strategic direction • Provides IT resources for project success • Has responsibility for successful development and implementation of the project • Facilitates communication with the EMT 	DCF Chief Information Officer
Project Budget Officer	<ul style="list-style-type: none"> • Controls project budget • Provides budget related input into project scope and contract change decision making process • 	TBD
Project Director	<ul style="list-style-type: none"> • Has overall responsibility for the successful development and implementation of the project • Oversees the development and implementation of the project • Oversees the Project Management Office for the project • Liaison with IT Sponsor for resources • Liaison with Project Business Sponsor for business resources and day-to-day activities 	DCF Designee

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Role Name	Description	Assigned To
Project Management Office	<ul style="list-style-type: none"> • Responsible for day-to-day project oversight • Provides overall guidance and direction to the System Integrator • Coordinates with the Project Director for resources • Works with System Integrator Project Manager to ensure stakeholder needs are met • Has daily decision-making authority • Oversees and manages project plan • Facilitates the Business Stakeholders Committee • Coordinates project resources, budgets and contract management • Reviews and provides feedback on project deliverables • Responsible for project management areas including scope, risk, quality and change control • Coordinates project status communications • Liaison with external agencies as needed 	TBD
Project Business Stakeholders Committee <i>(Group of internal and external stakeholders from DCF and other agencies.)</i>	<ul style="list-style-type: none"> • Provides input on functional requirements • Participates in project user group meetings and sessions • Provides input on project activities • Reviews and comments on project documents and deliverables • Disseminates project information and updates to local internal/external stakeholders 	TBD
Systems Integrator (SI) Project Manager	<ul style="list-style-type: none"> • Reports to the Project Director • Works with the Project Management Office to seek guidance and direction; • Responsible for systems integrator project management activities • Leads the planning and development of project deliverables • Develops and manages the project schedule and associated tasks • Maintain all project documentation including detailed project plan • Ensure adherence to the process and project management standards and guidelines • Responsible for project management areas including scope, risk, quality and change control • Prepare formal project reports and presentations • Ensure deliverables conform to DCF standards • Facilitate project related meetings as required 	SI Vendor

Exhibit VII-8 Project Organization Members - Roles & Descriptions

D. Project Quality Control

Purpose: To understand project quality requirements and ensure that effective quality control processes and procedures are in place and operational in time to support the needs of the project.

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

Project Area	Description
Development Standards	If applicable, the vendor responsible for design and development of the Public Assistance System will follow DCF’s programming and development standards.
Testing Management	The vendor will follow the established standards of the DCF PMO for Testing Management. This includes unit testing, integration testing, system testing, load testing, and user acceptance testing.
Approval	All deliverables will require individual stakeholder approval and sign-off upon completion of the final draft.
Software Configuration Management	If applicable, the vendor will follow the established standards of the DCF PMO for Software Configuration Management. This includes Stakeholder sign-off, documentation, and version control.
Contract Management	The DCF PMO will be involved in contract management. All contracts must pass executive and legal approval. In addition, external project oversight will be required for contract negotiation.

Exhibit VII-9 Quality Standards by Project Area

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

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

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

E. External Project Oversight

Purpose: To understand any unique oversight requirements or mechanisms required by this project.

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

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

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

F. Risk Management

Purpose: To ensure that the appropriate processes are in place to identify, assess, and mitigate major project risks that could prevent the successful completion of this project.

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

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

Risk Management Plan

All phases of the project will follow the standards defined by the PMO. Standards include processes, templates, and procedures for documenting and mitigating risk. Formal risk analysis, tracking, and mitigation will be ongoing throughout all phases of the project. Risks are actively identified, detailed, and prioritized. Mitigation strategies are developed. Risks are tracked, mitigated, and closed throughout the lifecycle.

A Risk Management Plan (RMP) will be developed and adhered to throughout all phases of the project. The RMP will include clear risk management procedures including standard checkpoints and mitigation strategies. Execution of a well-defined RMP with clear mitigation strategies for each risk is critical to the success of the ACCESS System Enhancements. The purpose of risk management is to identify the risk factors for the project and establish a risk management plan to minimize the probability that the risk will negatively affect the project. It is recommended that the following checkpoints be followed during the project:

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

Exhibit VII-10 Project Risk Checkpoints

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

G. Organizational Change Management

Purpose: To increase the understanding of the key requirements for managing the changes and transformation that the users and process owners will need to implement for the proposed project to be successful.

Effective Organizational Change Management (OCM) will be integral to the success of this project and will be a critical success factor for ensuring staff participation in business process improvement, implementation, and user acceptance. Significant organizational change is expected as a result of automating existing manual processes. Throughout the ACCESS System Enhancements, OCM will be effectively implemented through communication, awareness, and training.

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

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

- Description of roles, responsibilities, and communication between vendor and customer
- To-be process maps including a role-oriented flowchart (swim lane view) of the organization
- Skill/Role gap analysis between the existing system and the proposed system
- Training plan including platform (classroom, CBT, etc.), schedule, and curriculum
- OCM Communication Plan

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)
- DCF Project Manager
- Project Sponsor
- DCF Executive Management

H. Project Communication

Purpose: To ensure that effective communication processes are in place to disseminate information and receive feedback from users, participants, and other project stakeholders to facilitate project success.

All phases of the ACCESS System Completion will use communication methods proven to be effective on large-scale IT implementations and will follow the standards developed by the PMO. These will include a communication plan, a formal project kick off meeting, status meetings, milestone reviews, adoption of methodology in defining roles, responsibilities and quality measures of deliverables, regular status reports, regular review and evaluation of project issues and risks, periodic project evaluation, regular system demonstrations and reviews, and a project artifact repository.

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

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

I. Appendices

J. Glossary

Acronym	Definition
ACA	Affordable Care Act
ACCESS	Automated Community Connection to Economic Self-Sufficiency
ACF	Administration for Children and Families
ADA	Americans with Disabilities Act
ADI	ACCESS Document Imaging
AHCA	Agency for Health Care Administration
AIP	ACCESS Integrity Program
AMS	ACCESS Management System
APD	Agency for Persons with Disabilities
ARU	ACCESS Response Unit
AST	Agency for State Technology
BRE	Business Rules Engine
CAMS	Child Support Enforcement Automated Management System
CBA	Cost Benefit Analysis
CBC	Community Based Care
CCB	Change Control Board
CCC	Customer Call Centers
CCIS	Comprehensive Case Information System
CEFP	Certified Educational Facility Planner
CFR	Code of Federal Regulations
CHIP	Children’s Health Insurance Program
CIO	Chief Information Officer
CMS	Center for Medicaid and Medicare

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Acronym	Definition
CMSN	Children's Medical Services
CMU	Case Maintenance Units
COBOL	Common Business Oriented Language
COTS	Commercial Off-the-Shelf
CPN	Community Partner Network
CPTS	Community Partner Tracking System
CPU	Control Processing Unit
DACs	Department of Agriculture and Consumer Services
DAVID	Driver and Vehicle Information Database
DCF	Department of Children and Families
DEO	Department of Economic Opportunity
DFS	Department of Financial Services
DHS	Department of Homeland Security
DHSMV	Department of Highway Safety and Motor Vehicles
DMS	Department of Management Services
DOC	Department of Corrections
DOE	Department of Education
DOEA	Department of Elder Affairs
DOH	Department of Health
DOL	Department of Labor
DOR	Department of Revenue
DPAF	Department of Public Assistance Fraud
EBT	Electronic Benefits Transfer
EDBC	Eligibility Determination Benefit Calculation
EDR	Economic and Demographic Research

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Acronym	Definition
EFA	Emergency Food Assistance
EMS	Exception Management System
EMT	Executive Management Team
EOG	Executive Office of the Governor
ESB	Enterprise Service Bus
ESS	Economic Self-Sufficiency
ETL	Extract Transformation and Load
FDLE	Florida Department of Law Enforcement
FDSH	Federal Data Services Hub
FEMA	Federal Emergency Management Agency
D-SNAP	Food for Florida
FFM	Federally Facilitated Marketplace
FFP	Federal Financial Participation
FHK	Florida Healthy Kid's
FHKC	Florida Healthy Kid's Corporation
FICON	Fiber Connections
FIPS	Federal Information Processing Standard
FLODS	Florida Operational Data Store
FMMIS	Florida Medicaid Management Information System
FNS	Food and Nutrition Service
FSFN	Florida Safe Families Network
FTP	File Transfer Protocol
HHS	Health and Human Services
HIPAA	Health Insurance Portability and Accountability
IBM	International Business Machines Corporation

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Acronym	Definition
IBRS	Integrated Benefit Recovery System
ICF	Internal Coupling Facility
IFL	Integrated Facilities for Linux
IMS	Information Management System
IRR	Internal Rate of Return
IRS	Internal Revenue Service
ISC	Inter System Channel
ITN	Invitation to Negotiate
IVR	Interactive Voice Response system
LBC	Legislative Budget Commission
LBR	Legislative Budget Request
LRPP	Long-Range Program Plan
MAGI	Modified Adjusted Gross Income
MARS	Minimum Acceptable Risk Standards
MDM	Master Data Management
MEC	Minimum Essential Coverage
MES	Medicaid Eligibility System
MIPS	Million Instructions Per Second
MITA	Medicaid Information Technology Architecture
NAC	National Accuracy Clearinghouse
NHSIA	National Human Services Interoperability Architecture
NIST	National Institute of Standards and Technology
NPV	Net Present Value
OAG	Office of the Attorney General
OCM	Organizational Change Management

SCHEDULE IV-B FOR ACCESS SYSTEM COMPLETION

Acronym	Definition
OCSE	Office of Child Support Enforcement
OEL	Office of Early Learning
OMB	Office of Management and Budget
OPS	Other Personal Services
PAF	Public Assistance Fraud
PARIS	Public Assistance Reporting Information System
PBI	Public Benefits Integrity
PMI	Project Management Institute
PMO	Project Management Office
PSC	Public Service Commission
QMS	Quality Management System
RIDP	Remote Identity Proofing
RMP	Risk Management Plan
ROI	Return On Investment
SAMH	Substance Abuse and Mental Health
SAO	State Attorney's Office
SNAP	Supplemental Nutrition Assistance Program
SOA	Service-Oriented Architecture
SOP	Standard Operating Procedures
SQL	Structured Query Language
SSA	Social Security Administration
SSN	Social Security Number
SSP	Self Service Portal
TANF	Temporary Assistance for Needy Families
TBD	To Be Determined

Acronym	Definition
UAT	User Acceptance training
USDA	United States Department of Agriculture
VIU	Virtual Intake Units
VLP	Verified Lawful Presence
WIC	Women, Infants, and Children
YTD	Year-To-Date



SCHEDULE IV-B FOR ADULT PROTECTIVE SERVICES FUNDING RELEASE

For Fiscal Year 2022-23


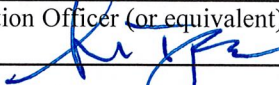
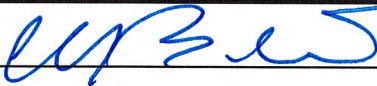




DEPARTMENT OF CHILDREN AND FAMILIES
September 15, 2021

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Children and Families	Schedule IV-B Submission Date: August 30, 2021
Project Name: Release of American Rescue Plan Funds for Adult Protective Services	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2022-23 LBR Issue Code: 36301C0	FY 2022-23 LBR Issue Title: Grants to Enhance Adult Protective Services Information Technology
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Roy Carr, 850-414-7863, Roy.Carr@myflfamilies.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: 	Date: 9/15/2021
Printed Name: Shevaun L. Harris, Secretary	
Agency Chief Information Officer (or equivalent): 	Date: 9/15/21
Printed Name: Adam M. Taylor, Chief Innovation Officer	
Budget Officer: 	Date: 9/15/2021
Printed Name: Chad Barrett, Budget, Finance & Accounting Director	
Planning Officer: 	Date: 9-15-2021
Printed Name: Lori Schultz, Senior Management Analyst	
Project Sponsor: 	Date: 9/15/2021
Printed Name: Roy Carr, Adult Protective Services State Director	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Roy Carr, 850-414-7863, Roy.Carr@myflfamilies.com
Cost Benefit Analysis:	
Risk Analysis:	
Technology Planning:	
Project Planning:	

General Guidelines

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

Schedule IV-B is not required for requests to:

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

Documentation Requirements

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

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

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

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

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

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

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

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

A. Background and Strategic Needs Assessment

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

1. The purpose of this request is to release funding for technology solutions so that Adult Protective Services staff can spend more time in the community they serve and provide better ways to manage data for seamless transitions from investigations to services. Specific needs are:
 - a. Mobility for APIs – Implement a mobile tool for Adult Protective Investigators. Use a phased approach beginning with quick win mobile features including commencement of the investigation. Procure a Mobile solution that is a Software as a Service (SaaS) model and contains additional functional (or new functionality can be added) to expand the overall modernization of Adult functions (e.g., Intake in the future).
 - b. Services Tracking – Upgrade the ability to track provider services. FSN has a services module that is recommended vehicle to accomplish this objective. A contract amendment would be done with IBM to provide hours to implement services in FSN for APS.
 - c. Sunset ASIS – Currently Adult functions are performed in ASIS and FSN. The objective is to move all functionality out of ASIS into either FSN or performed in the new Mobile solution.

2. Business Objectives

The objective of this request is to use funding, once released, to:

- provide a mobile solution for front-line staff so that they can spend maximum time in the community and rely as little as possible on a desk or laptop computer; and
- build out service modules in the Florida Safe Families Network (FSFN) to allow for:
 - seamless transitions from investigations to services; a model that feeds into a holistic overview of a client and their interactions with all areas of the Department of Children and Families (DCF);
 - allows sunsetting the stand-alone Adult Services Information System (ASIS); and
 - frees DCF from associated ASIS maintenance costs.

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)

The current process includes the following:

- Intake comes to Hotline, Hotline assesses and sends out to Unit
- Unit accepts intake and assigns to investigator

SCHEDULE IV-B FOR ADULT PROTECTIVE SERVICES FUNDING RELEASE

- Investigator does pre-commencement work and then commences investigation
- Investigator enters commencement note, date, and time into FSFN
- Investigator sees and interviews victim
- API creates and completes Capacity to Consent in FSFN
- API enters face to face notes, dates and times, and transcript into FSFN
- API conducts interviews with collateral witness and alleged perpetrator(s)
- API enters interview dates/times, notes, and transcript into FSFN
- API creates safety assessment template and completes in FSFN
- API manually uploads any photos, forms, or scanned documents into FSFN
- Any running notes / phone calls / returned contacts are manually entered by API into FSFN
- API submits case closure request to supervisor in FSFN

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

2. Assumptions and Constraints

C. Proposed Business Process Requirements

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

1. Proposed Business Process Requirements

The proposed process must allow APS workers to be mobile so that they can work with clients and the community to complete investigations and make the transition from investigation to services as simple, straightforward, and supportive as possible for the individuals they serve. The process that is envisioned would let APS workers receive assignments, visit clients, conduct and document interviews and investigations, upload information to the system of record (FSFN), develop reports and recommendations, transmit them to supervisors, identify resources for clients and their families if applicable, make referrals and connect them with services, document results, and ensure that the information is transmitted to FSFN so that it is available when needed. The proposed process would include the following activities:

- Intake comes to Hotline, Hotline assess and sends out to Unit
- Unit accepts intake and assigns to investigator
- Commencement, face to face, interviews can be done on the move. Voice to text notes transfer to FSFN after API is allowed to edit them. Tagged photos, scanned docs, etc. can be sent for storage into FSFN.
- Interviews can be recorded (if consent is given) or API can recite notes back into app for transfer into FSFN. Dates and times can be set by API when initiating commencement, face to face buttons, or capacity to consent buttons or toggles in app. Geolocation tags to all pieces of work done from app to ensure both worker safety and integrity of the process.
- API can create all note types from app, which transcribes from speech and transfers to FSFN.
- Closure request can be submitted from app or from FSFN.

In addition to mobility, the business needs include an upgrade to the ability to track provider services, probably using the existing FSFN services module to support APS, and sunsetting the existing Adult Services Information System (ASIS).

2. Business Solution Alternatives

APS has considered multiple alternatives including updating ASIS, acquiring a new system, or expanding use of FSFN. Since ASIS is an older system and not designed to support a mobile workforce, the return on investment for

SCHEDULE IV-B FOR ADULT PROTECTIVE SERVICES FUNDING RELEASE

transformation would likely be negative and the payoff period would be lengthy. A new system could be built or acquired that would meet all business process requirements, but the time and cost to implement such a project made the use of the existing FSFN system, where APS already has a footprint, a viable alternative in terms of time to market, leveraging existing functionality that meets core needs, and transitioning to a mobile business process; APS and Child Welfare have some common service processes that can provide a path to a shared investment in mobile client services.

3. Rationale for Selection

The rationale for selection is that the approach outlined meets defined business objectives, uses available systems optimally, and removes an aging system so it no longer requires support.

4. Recommended Business Solution

- Implement a mobile tool for Adult Protective Investigators (APIs) using a phased approach and a Software as a Service (SaaS) model that can be customized and responsive to future needs.
- Leverage Florida Safe Families Network (FSFN) services module for APS Services Tracking
- Move all functionality out of the Adult Services Information System (ASIS) into either FSFN or performed in the new Mobile solution.

NOTE: For IT projects with total cost in excess of \$10 million, the project scope described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4) (a) 10, F.S.

D. Functional and Technical Requirements

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

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

Please note that detailed formal documentation of these requirements is still to be completed and will be provided at a later time.

III. Success Criteria

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

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	Workers spend more time with clients	Time in the field as opposed to time in the office	Clients served	6-30-2024
2	Clients have smoother and quicker transitions from investigation to services.	Comparison of investigation and service milestones and length of transition from investigation to services	Clients served Taxpayers	6-30-2026

SUCCESS CRITERIA TABLE				
		(data prior to implementation compared to data for first two years after implementation.		

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

A. Benefits Realization Table

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

For each tangible benefit, identify the recipient of the benefit, how and when it is realized, how the realization will be measured, and how the benefit will be measured to include estimates of tangible benefit amounts.

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Workers spend more time with clients	Clients and their advocates	More time is spent with clients in the field and clients receive effective services sooner	Time in the field as opposed to time in the office	6-30-2024
2	Services tracking	Clients, their advocates, and their service providers	Services tracking is more complete and readily available	Service information is more complete, and outcomes of service provision can be tracked and reviewed	6-30-2024
3	ASIS is sunset	Workers, taxpayers, and clients (indirectly)	Resources are used for improved system functionality rather than to support an aging system	Funds used to support ASIS are available for ongoing support and improvement of mobility tool and services tracking	6-30-2024

B. Cost Benefit Analysis (CBA)

Purpose: To provide a comprehensive financial prospectus specifying the project’s tangible benefits, funding

requirements, and proposed source(s) of funding.

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

Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 1 - Net Tangible Benefits	<p>Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p>
CBA Form 2 - Project Cost Analysis	<p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p>Characterization of Project Cost Estimate.</p>
CBA Form 3 - Project Investment Summary	<p>Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:</p> <ul style="list-style-type: none"> • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

V. Schedule IV-B Major Project Risk Assessment

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

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

The Risk Assessment Tool and Risk Assessment Summary are included in Appendix B on the Florida Fiscal Portal and must be completed and submitted with the agency’s Schedule IV-B. After answering the questions on the Risk Assessment Tool, the Risk Assessment Summary is automatically populated.

VI. Schedule IV-B Technology Planning

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

A. Current Information Technology Environment

1. Current System

The Florida Safe Families Network (FSFN) is an enterprise application that supports Florida's child welfare system. FSFN currently supports the previous federal Statewide Automated Child Welfare Information System (SACWIS) requirements, however it does not support the current federal Comprehensive Child Welfare Information System (CCWIS) requirements.

a. Description of Current System

i. Current FSFN Architecture

FSFN was migrated to the Amazon Web Services (AWS) cloud platform in December 2017. A modular hardware and system software approach was used to build the FSFN technical architecture within AWS.

The FSFN technical architecture contains five key component areas, as outlined below:

- Application Web Servers – WebLogic;
- Reporting Servers - SAP Business Objects and File Servers;
- Data Extract, Transform, and Load (ETL) Servers - SAP Data Services;
- Batch Processing - Java, and FTP; and
- Databases - IBM DB2 LUW, Oracle DB.

Described in Exhibit VI-1 (on the next page) is the current FSFN Architecture. Described in the following sections are the FSFN technical architecture components.

ii. Application Web Servers

Amazon Web Services (AWS) hosts the FSFN Web Application for the State of Florida. The Web Application is an enterprise application, accessed by users across the State of Florida. The FSFN Web Application consists of five WAR/EAR deployments in WebLogic, all written in Java.

The diagram presented in Exhibit VI-1 (on the next page) provides a high-level overview of how the WebLogic servers integrate into other components of the system. There are three network boundaries: Outside of the State Network, Inside the DCF Network, and Inside the AWS Network. The Outside of the State Network boundary represents users of the FSFN system that do not access FSFN through a State Office (e.g., Community Based Care) network. The DCF Network boundary represents users and systems that are within the Department of Children and Families networks, and DCF owns the management of the resources. The AWS Network boundary represents the data center hosting services managed by AWS.

iii. Reporting Services

SAP Business Objects operates as the reporting component for FSFN. Business Objects contains over 1,000 reports that are both system reports and user-created reports, including required federal reports.

Exhibit VI-1: Current FSFN Architecture

SCHEDULE IV-B FOR ADULT PROTECTIVE SERVICES FUNDING RELEASE

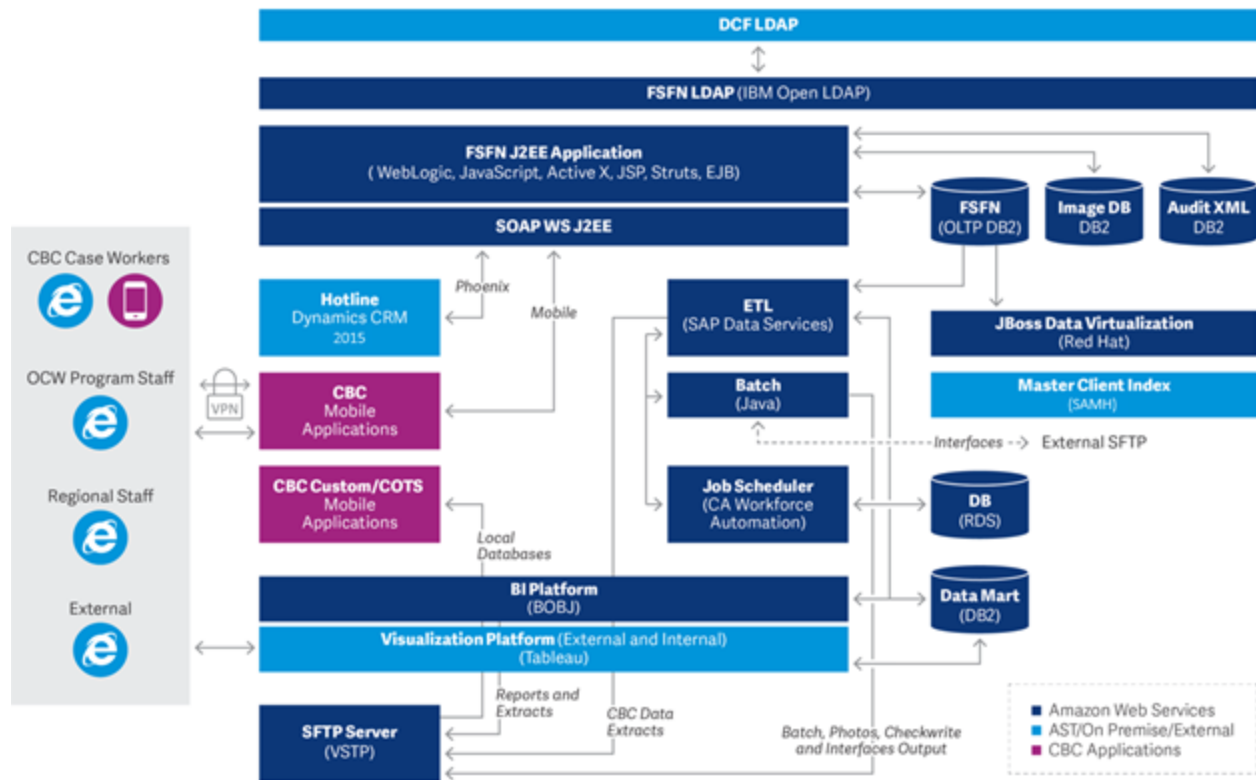
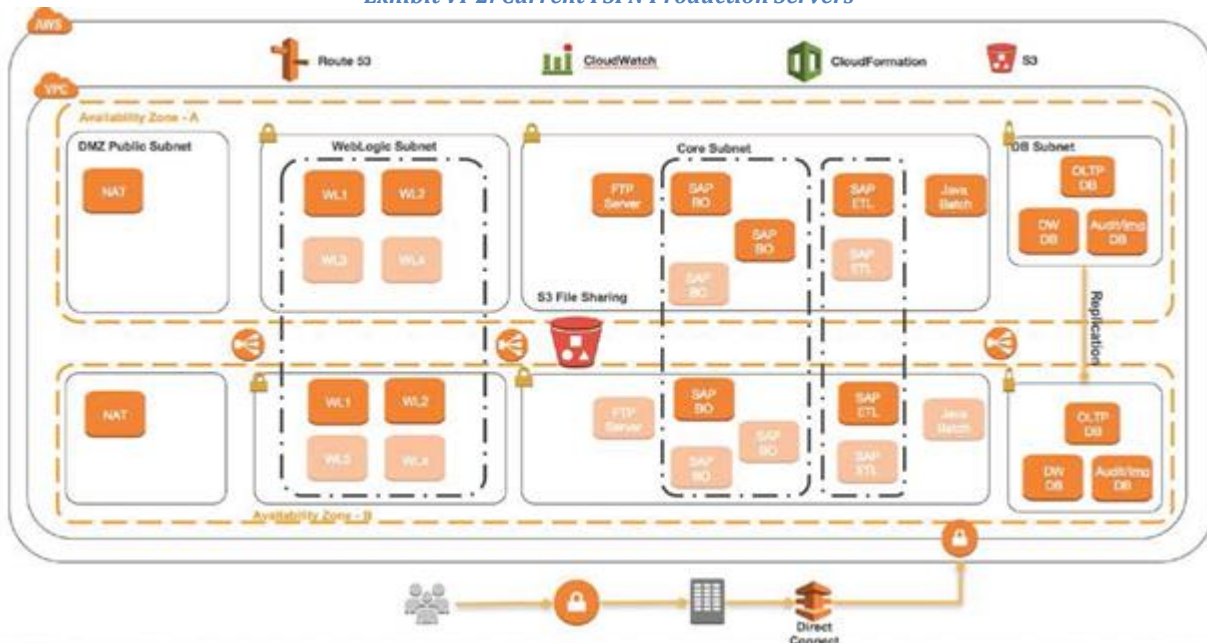


Exhibit VI-2: Current FSFN Production Servers



iv. Data Extract, Transform, and Load (ETL)

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

v. Batch

Batch jobs are used in FSFN to update data, create shared files, and to interface or share data with other systems (internal or external).

vi. Databases

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

1. **OLTP:** The OLTP database contains transactional data and is the system of record for Child Welfare in the State of Florida.
2. **Data Warehouse:** The Data Warehouse contains transactional data which has been reorganized to simplify reporting.
3. **Data Mart:** The Data Mart contains transactional data for client reporting.
4. **Image:** The Image database stores documents uploaded through the Web Application.
5. **Audit:** The Audit database stores entries for user interactions with the Web Application.

b. Current System Resource Requirements

The production environment in AWS is designed to maintain high availability for servers needed to support the workforce 24 hours a day, seven (7) days a week, 365 days a year. The environment has the option of scaling the specific instance groups up and down depending on peak hours or increased performance needs, although this has not been needed as the baseline resources have easily met current peak resource requirements.

c. Current System Performance

FSFN currently has the ability to support APS functionality for an updated service provision module and it has sufficient capability to support mobility start-up for APIs a much smaller population that Child Protective Investigators (CPIs). This approach also positions APS to take advantage of any future upgrades or transformations to the FSFN environment.

2. Information Technology Standards

Exhibit VI-3 identifies the Information Technology Standards used for FSFN.

3. *Exhibit VI-3: Information Technology Standards for FSFN*

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

B. Current Hardware and/or Software Inventory

1. Server Inventory

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

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

The diagram above, in Exhibit VI-2: FSFN Production Servers, provides a high-level architecture of the production environment's primary Virtual Private Cloud (VPC).

2. Software Inventory

Exhibit VI-4 contains a specific list of licensed software and quantities needed for the FSFN system at a Cloud Service Provider. It is the assumption that all other software licenses are under a General Public License (GPU).

Exhibit VI-4: Software License Requirements

Software	License Requirements
IBM DB2	4220 PVUs
Oracle BEA WebLogic	40 (80 Virt Cores) 9 UN Web Intelligence CPU 3 UN BOE Enterprise Premium CPU
SAP BOE and Data Services	UN BOBJ Data Integrator Premium per 4-CPU 80 Named User Dev/Test 20 Crystal Developer 1 SAP Xcelsius 25 Agents
CA Workload Center (AutoSys)	1 Prod server 1 Test server iDash license

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 technical solution alternatives are to maintain the status quo, build a new system, act as a systems integrator for multiple responsive technical solutions, or take the approach defined: use a SaaS alternative for mobility to avoid a major systems infrastructure investment, leverage an existing system that can readily support the need for tracking service provision, and sunset a legacy system whose functionality will be subsumed by these two changes, so that the resources used for that system can support the new approach.

2. Rationale for Selection

The option selection can be implemented most quickly, cost-efficiently, and with least risk.

3. Recommended Technical Solution

Select and purchase a customizable SaaS, complete estimates to move APS service provision tracking into FSFN and execute contract amendment for that work; once SaaS and updated module are tested and implemented, sunset the existing ASIS legacy system.

D. Proposed Solution Description

1. Summary Description of Proposed System

The proposed solution is not a system but a SaaS that will allow APIs to be mobile in the field. The second part of the solution is to leverage the FSFN Services Tracking module for APS services so that the existing functionality of the legacy ASIS system is provided via the mobile tool and the Services Tracking module, allowing ASIS to be sunset.

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

All details are not known, but preliminary research on SaaS options is in progress. Leveraging FSFN can be done

via a contract amendment with the current vendor and that cost, once further defined, will be provided later.

E. Capacity Planning

Not applicable

(historical and current trends versus projected requirements)

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.

Include through file insertion or attachment the agency's project management plan and any associated planning tools/documents.

Because the project cannot commence without release of funding, formal project management plans have not been developed at this time. The project will follow established Project Management Body of Knowledge (PMBOK) standards and will have an assigned project manager.

VIII. Appendices

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

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: Children and Families **Budget Period 2022 -2023**
Budget Entity: 60910506

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2020-2021	ESTIMATED FY 2021-2022	REQUEST FY 2022-2023
Interest on Debt	(A) \$1,820,830.32	\$1,950,625.00	\$5,160,000.00
Principal	(B) \$5,517,149.53	\$4,905,000.00	\$1,699,000.00
Repayment of Loans	(C)		
Fiscal Agent or Other Fees	(D) \$5,000.00	\$10,000.00	\$10,000.00
Other Debt Service	(E)		
Total Debt Service	(F) \$7,342,979.85	\$6,865,625.00	\$6,869,000.00

Explanation: South Florida Evaluation Treatment Center COP - 2021A(\$12,945,000.00)
Florida Civil Commitment Center COP - 2021B (\$28,520,000.00)

SECTION II

ISSUE: South Florida Evaluation Treatment Center COP - 2021A(\$12,945,000.00)

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	30-Jun-22	30-Jun-23
5%	10/1/2025	\$12,945,000.00	\$10,610,000.00	\$8,155,000.00
(6)	(7)	(8)	(9)	
	ACTUAL FY 2020-2021	ESTIMATED FY 2021-2022	REQUEST FY 2022-2023	
Interest on Debt	(G) \$594,429.94	\$588,875.00	\$469,125.00	
Principal	(H) \$2,471,481.85	\$2,335,000.00	\$2,455,000.00	
Fiscal Agent or Other Fees	(I) \$3,750.00	\$5,000.00	\$5,000.00	
Other	(J)			
Total Debt Service	(K) \$3,069,661.79	\$2,928,875.00	\$2,929,125.00	

ISSUE: Florida Civil Commitment Cener COP - 2021B (\$28,520,000.00)

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2021-2022	JUNE 30, 2022-2023
5%	10/1/2029	\$28,520,000.00	\$25,950,000.00	\$23,245,000.00
	ACTUAL FY 2020-2021	ESTIMATED FY 2021-2022	REQUEST FY 2022-2023	
Interest on Debt	(G) \$1,226,400.38	\$1,361,750.00	\$1,229,875.00	
Principal	(H) \$3,045,667.68	\$2,570,000.00	\$2,705,000.00	
Fiscal Agent or Other Fees	(I) \$1,250.00	\$5,000.00	\$5,000.00	
Other	(J)			
Total Debt Service	(K) \$4,273,318.06	\$3,936,750.00	\$3,939,875.00	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2022 - 2023

Department: Children & Families

Chief Internal Auditor: Steve Meredith

Budget Entity: _____

Phone Number: 850-717-4167

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
Internal Audit A-1920DCF-130	30-Jun-20	Office of Child Welfare	<p>Finding 1: The ability to meet Long Range Program Plan measure M0123 is solely contingent upon the number of requests for licenses by child care facilities and family daycare homes, which is beyond CCR control.</p> <p>We recommend CCR provide a comprehensive analysis of the current performance measure to the Legislature with its next budget request. This information should include what changes should be made to the Long Range Program Plan performance measure and why the measure does not accurately reflect CCR function within the scope of their control. We also recommend that updated measures include current governing authorities, such as Children and Families Operation Procedures.</p>	<p>The Department concurs with the finding and recommendation regarding the Long Range Program Plan (LRPP) measure M0123. The current measure for the LRPP represents the number of child care facilities and family day care homes that are licensed with the Department. The Office of Child Care Regulation is unable to compel licensure for child care services.</p> <p>Our office will begin working internally with the Office of Legislative Affairs, Quality Office, and the Budget Office to begin the process of requesting the LRPP measure to be changed to a value that may be impacted more directly by child care licensing efforts. Our work will also include collaborating with the Division of Early Learning and other child care stakeholders to devise a measurable outcome that will help reduce the number of violations of child care standards on an annual basis. The plan for this measure will be completed by August 1, 2021.</p>	

<p>CIG 2021-01-25-0017</p>	<p>20-Dec-19</p>	<p>Office of Administrative Services - Financial Services - Revenue Management and Partner Compliance</p>	<p>Eckerd Connects Chief of Community Based Care’s 2019 salary of \$237,600 allocated to DCF’s contracts exceeded the 2019 statutory compensation limit of \$213,819.06 by \$23,780.94 (11.1%). According to Eckerd Connects schedule “Executive Salary Administration,” in response to Survey Question 3, for fiscal year 2019-2020, Eckerd Connects charged \$237,600 of the Chief of Community Based Care's salary in total to the Hillsborough County (\$118,800) and Pasco/Pinellas Counties (\$118,800) DCF contracts. The same amounts were charged by Eckerd Connects to the DCF contracts in fiscal year 2018-2019.</p>	<p>Based upon the information received from the agencies and entities in response to Executive Order Number 20-44, and our analysis of the information, we recommend that state agencies, in coordination and consultation with the Executive Office of the Governor’s Office of Policy and Budget, address the aforementioned issues to include at a minimum:</p> <ul style="list-style-type: none"> • Develop a comprehensive, enterprise-wide definition of “compensation” to include salary and nonstandard compensation identified in this report such as incentives, bonuses, paid time off, and other compensation along with standard limits and update their monitoring and audit requirements to reflect the expanded definition; • Establish appropriate enforceable limits for administrative costs for providers doing business with the State; • Develop corrective action plans that include any changes necessary to agency contracts, grant agreements, agency rules, or legislation; 	
				<ul style="list-style-type: none"> • Identify and address issues arising from organizations receiving funding used for executive compensation from multiple state contracts from one or more state agencies; • Similar to the Uniform Guidance provisions in Title 2 CFR § 200.318 that are applicable to federal funding, consider developing guidance applicable to state funding to prohibit procurement between related parties; • Evaluate the practices associated with related third-party professional employer organizations; and, • Amend contracts and grant agreements, as necessary, to adopt the appropriate compensation limitations and governance requirements upon subrecipients and subcontractors. 	

<p>CIG 2021-01-25-0017</p>	<p>30-Dec-17</p>	<p>Office of Administrative Services - Financial Services - Revenue Management and Partner Compliance</p>	<p>Family Support Services of North Florida (FSSNF) indicated that its former CEO's 2017 salary plus bonus of \$224,028 exceeded the 2017 statutory limit of \$211,500 by \$12,528 (5.9%) because he was paid under an agreement that was in effect prior to implementation of subsection 409.992(3), F.S. FSSNF added, "For every full calendar year time period since [§ 409.992(3), F.S.] became law, FSSNF has not been in violation of the statute."</p>	<p>Based upon the information received from the agencies and entities in response to Executive Order Number 20-44, and our analysis of the information, we recommend that state agencies, in coordination and consultation with the Executive Office of the Governor's Office of Policy and Budget, address the aforementioned issues to include at a minimum:</p> <ul style="list-style-type: none"> • Develop a comprehensive, enterprise-wide definition of "compensation" to include salary and nonstandard compensation identified in this report such as incentives, bonuses, paid time off, and other compensation along with standard limits and update their monitoring and audit requirements to reflect the expanded definition; • Establish appropriate enforceable limits for administrative costs for providers doing business with the State; • Develop corrective action plans that include any changes necessary to agency contracts, grant agreements, agency rules, or legislation; 	
				<ul style="list-style-type: none"> • Identify and address issues arising from organizations receiving funding used for executive compensation from multiple state contracts from one or more state agencies; • Similar to the Uniform Guidance provisions in Title 2 CFR § 200.318 that are applicable to federal funding, consider developing guidance applicable to state funding to prohibit procurement between related parties; • Evaluate the practices associated with related third-party professional employer organizations; and, • Amend contracts and grant agreements, as necessary, to adopt the appropriate compensation limitations and governance requirements upon subrecipients and subcontractors. 	

Auditor General 2021-182	2019-2020	Office of Administrative Services - Office of Contracted Client Services	<p>Finding 2020-034: The FDCF did not always ensure that subrecipients took timely and appropriate action to correct deficiencies noted during monitoring.</p> <p>We recommend that the FDCF ensure that CERS is timely updated for monitoring results, CAPs are timely prepared, and subrecipients take timely and appropriate action to correct deficiencies noted during monitoring.</p>	<p>Not Corrected</p> <p>The Office of Contracted Client Services (OCCS) is further into the process of exploring a replacement for Contract Evaluations Reporting System (CERS). The CERS replacement will drive policy changes that are intended to correct the contract deficiencies noted during the contract monitoring process. We have researched different applications based on existing budget availability and software platforms already existing within the Department. OCCS continues to move forward on this project with an expected completion date of April 1, 2022.</p>	
Auditor General 2021-182	2019-2020	Office of Administrative Services - Financial Services - Revenue Management and Partner Compliance	<p>Finding 2020-035: The FDCF did not ensure that the service organization's internal controls related to the allocation of costs for FDCF employees performing functions directly related to certain Federal programs were appropriately designed and operating effectively.</p> <p>We recommend that the FDCF ensure that the service organization's internal controls related to the WebRMS Application are appropriately designed and operating effectively either internally or by obtaining and reviewing an independent service auditor's report.</p>	<p>Not Corrected</p> <p>The vendor is not willing to incur the cost of paying for an independent service auditor's report to evaluate the design or operating effectiveness of the service organization's internal controls. FDCF is still evaluating other RMS solutions which would include conducting a new procurement to require that the reasonable assurances identified in this finding are met. Estimated completion date January 31, 2022.</p>	

Auditor General 2021-182	30-Jun-20	Office of Information Technology Services (OITS) and Office of Economic Self- Sufficiency (ESS)	<p>Finding 2020-037: The FDCF did not always timely review and process Income Eligibility and Verification System (IEVS) data exchange responses.</p> <p>We recommend that the FDCF take appropriate actions to improve controls, including evaluating staffing resources and necessary system enhancements, to ensure that data exchange responses are reviewed and processed within established time frames.</p>	<p>Partially Corrected</p> <p>Regarding the identified cases where the Income Eligibility and Verification System data exchanges were not processed timely, the FDCF concurs. Due to the increased workload resulting from the COVID-19 Public Health Emergency, resources were shifted to meet the needs of Floridians. To resolve this audit finding, the FDCF has established a project management process to address the following:</p> <ul style="list-style-type: none"> • The system’s ability to manage the overall volume and timeliness of data exchanges for the Economic Self-Sufficiency Program, and • Enhancement of the FLORIDA System data integration capabilities. <p>Simultaneously, the FDCF continues to evaluate the need for technology enhancements to support system improvements and compliance.</p> <p>The Office of Economic Self-Sufficiency created a Project Management team in February 2021, which has identified solutions to enhance FLORIDA System automation and data integration capabilities. We anticipate some solutions to be implemented as early as March 2022.</p>	
Auditor General 2021-182	30-Jun-20	Office of Child Welfare	<p>Finding 2020-038: The FDCF did not conduct periodic reviews of user accounts with access to the Florida Safe Families Network system (FSFN) to ensure that access was only granted to authorized users and that the access privileges granted were appropriate.</p> <p>We recommend that FDCF management establish policies and procedures requiring periodic reviews of the appropriateness of all FSFN user accounts and ensure that documentation of such reviews is maintained.</p>	<p>Partially Corrected</p> <p>The Office of Child Welfare (OCW) collaborated with Office of Information Technology (OITS) to define and develop a process to conduct periodic reviews of FSFN system user accounts to ensure only authorized users have access privileges and appropriate access privileges was completed May 31, 2021. OCW implemented a new process July 1, 2021 with the first periodic review occurring by Jul 31, 2021. OCW and OITS will analyze this review process to ensure the process sufficiently addresses appropriate user access. An update on this process will be provided by August 31, 2021.</p>	

Auditor General 2020-170	30-Jun-19	Office of Information Technology Services (OITS)	<p>Finding 2019-030: The FDCF did not always timely review and process Income Eligibility and Verification System (IEVS) data exchange responses.</p> <p>We recommend that the FDCF take appropriate actions to improve controls, including evaluating staffing resources and necessary system enhancements, to ensure that data exchange responses are reviewed and processed within established time frames.</p>	<p>Partially Corrected</p> <p>As the department has been fully invested in its response to the COVID-19 public health emergency, the project management efforts to correct this finding will continue once normal business operations are resumed. Simultaneously, the department continues to seek funding and is currently pursuing Federal grants to incorporate robotics automation to improve system and data integration.</p> <p>Estimated completion by September 30, 2021</p>	
Auditor General 2021-028	23-Oct-19	Office of Information Technology Services (OITS)	<p>Finding 2: Periodic Review of Physical Access Privileges - AHCA and DCF physical access policies and procedures need enhancement to ensure that periodic reviews of physical access privileges to secure IT areas are conducted and the results of such reviews are maintained in agency records.</p> <p>We recommend that AHCA and DCF management improve physical access policies and procedures to require periodic physical access privilege reviews of secure IT areas and ensure that documentation of such reviews is maintained in agency records.</p>	<p>Fully Corrected</p> <p>DCF OITS established policy and procedures OITS will utilize to perform periodic reviews of physical access privileges to secure IT areas and maintain documentation of such reviews in agency records.</p>	

Auditor General 2021-028	23-Oct-19	Office of Information Technology Services (OITS)	<p>Finding 3: Surplus Computer Hard Drive Sanitization and Disposition Procedures and Documentation - AHCA, DCF, and DOE procedures for tracking and maintaining records related to the sanitization and disposition of surplus computer hard drives need improvement.</p> <p>We recommend that AHCA, DCF, and DOE management establish comprehensive policies and procedures for the surplus computer hard drive sanitization and disposition process and ensure that agency records appropriately account for and evidence the sanitization and disposition of all surplus computer hard drives.</p>	<p>Fully Corrected</p> <p>DCF OITS established SOP Surplus Computer Hard Drive Disposal Process which describes the policy and procedures OITS will utilize to account for and evidence the sanitization and disposition of all surplus computer hard drives.</p>	
Auditor General 2021-043	31-Jan-19	Office of Substance Abuse and Mental Health	<p>Finding 6: As similarly noted in our report No. 2017-205, FSH and NEFSH did not always comply with minimum staffing requirements.</p> <p>We recommend that FSH and NEFSH management take steps to ensure compliance with established staffing minimums.</p>	Fully Corrected	

Auditor General 2021-082	31-Jan-20	Office of Child Welfare	<p>Finding 2: As similarly noted in our report No. 2019-101, Department controls for ensuring the timely conduct of child care provider reinspections to determine whether violations had been corrected need improvement.</p> <p>We recommend that Department management continue efforts to ensure that child care provider reinspections are timely and effectively conducted. Such efforts should include periodic monitoring of the timeliness and effectiveness of the reinspections conducted by the regions and documentation to evidence the actions taken to address any noted deficiencies.</p>	<p>Fully Corrected</p> <p>The Department continues to address this issue during quarterly monitoring for each Region. During the last quarter, some reinspections may have been impacted by COVID-19 as many providers were non-operational which caused a delay in when licensing counselors were able to conduct reinspections.</p> <p>The Department re-started reporting on the noncompliance over 10 days for the 3rd quarter (Jan-Mar). During this reporting period, the numbers have drastically improved in all regions. Program analysts continue to coordinate on a weekly basis with supervisors to support counselors in meeting the 10-day requirement.</p>	
Auditor General 2021-082	31-Jan-20	Office of Child Welfare	<p>Finding 3: Department records did not always evidence that family day care homes satisfied child immunization records requirements. A similar finding was noted in our report No. 2019-101.</p> <p>We recommend that Department management strengthen controls to ensure that Checklists are retained in Department records evidencing that family day care home immunization records are current.</p>	<p>Fully Corrected</p> <p>Staff members responsible for processing registered homes were actively involved in the development and implementation of the checklist, which was counted as their training on the new process.</p> <p>The Department updated the checklist to include a field for immunization record/exemption and a date shredded field.</p> <p>All registered home packets require a completed checklist. The review of the packet is conducted by the supervisor (or manager) to verify completion before the registration is approved.</p> <p>The completed checklist is the cover page of the packet that is maintained in the registration file.</p>	

Office of Policy and Budget - June 2021

Fiscal Year 2022-23 LBR Technical Review Checklist

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

Agency Budget Officer/OPB Analyst Name: Chad Barrett

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

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

1. GENERAL

1.1 Are Columns A01, A04, A05, 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	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y	Y	Y	Y	Y	Y

AUDITS:

1.3 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	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	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	Y

Action	Program or Service (Budget Entity Codes)						
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<p>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.</p>							
2. EXHIBIT A (EADR, EXA)							
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 57 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y	Y
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y	Y	Y	Y	Y
3. EXHIBIT B (EXBR, EXB)							
3.1	Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y	Y	Y
AUDITS:							
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")	Y	Y	Y	Y	Y	Y
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y	Y	Y	Y	Y	Y
<p>TIP Generally look for and be able to fully explain significant differences between A02 and A03.</p>							
<p>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.</p>							

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<p>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.</p>						
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	Y
4.2	Is the program component code and title used correct?					
	Y	Y	Y	Y	Y	Y
<p>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.</p>						
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	Y
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")					
	Y	Y	Y	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)					
	Y	Y	Y	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)					
	Y	Y	Y	Y	Y	Y
<p>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.</p>						
<p>TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.</p>						

Action	Program or Service (Budget Entity Codes)					
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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	Y	Y	Y	Y	Y
TIP Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.						
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)						
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 27 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
7.2 Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 65 through 68 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 67 through 69 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y	Y
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.5 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	Y	Y

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7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OAD A/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	Y	Y	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	NA	NA	NA	NA	NA	NA
7.9 Does the issue narrative reference the specific county(ies) where applicable?	NA	NA	Y	NA	NA	NA
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?	NA	NA	NA	NA	NA	NA
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)	NA	NA	NA	NA	NA	NA
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	NA	NA	NA	NA	NA	NA
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	NA	NA	NA	NA	NA	NA
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y	Y
7.15 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	Y	Y
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.)	NA	NA	NA	NA	NA	NA
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	Y	Y	NA	Y	NA

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7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	NA	NA	NA	NA	NA	NA
7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y	Y	Y
AUDIT:						
7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	NA	NA	NA	NA	Y	NA
7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	NA	NA	NA	NA	NA	NA
7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Y	Y	Y	Y	Y	Y
7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	Y	NA	NA	NA	NA	NA
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	Y	Y	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.	NA	NA	NA	NA	NA	NA
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.						

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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	Y	Y	Y	Y	Y
8.2 Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y	Y
8.3 Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y	Y
8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y	Y	Y	Y
8.5 Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	Y	Y	Y	Y	Y	Y

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8.6 Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y	Y	Y	Y	Y
8.7 If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A	N/A	N/A	N/A	N/A
8.8 If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A	N/A	N/A	N/A	N/A	N/A
8.9 Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Y	Y	Y	Y	Y	Y
8.10 Are the statutory authority references correct?	Y	Y	Y	Y	Y	Y
8.11 Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	Y	Y	Y	Y	Y	Y
8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	Y	Y
8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y	Y
8.14 Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y	Y
8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y	Y
8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y	Y
8.17 If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y	Y
8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910708	60910950
8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y	Y
8.20 Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y	Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	Y	Y
8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y	Y	Y	Y	Y	Y
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y	Y
8.24 Are prior year September operating reversions appropriately shown in column A01, Section III?	Y	Y	Y	Y	Y	Y
8.25 Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	N/A	N/A	N/A	N/A	N/A	N/A
8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y	Y
8.27 Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A	N/A	N/A	N/A	N/A	N/A
8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	Y	Y
8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y	Y
AUDITS:						
8.30 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	Y	Y

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8.31 Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y	Y	Y	Y	Y	Y
8.32 Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Y	Y	Y	Y	Y	Y
8.33 Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	Y	Y	Y	Y	Y	Y
8.34 Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Y	Y	Y	Y	Y	Y
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.						
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	Y	Y	Y	Y	Y
10. SCHEDULE III (PSCR, SC3)						
10.1 Is the appropriate lapse amount applied? (See page 88 of the LBR Instructions.)	NA	NA	NA	NA	NA	NA

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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	Y	Y	Y	Y	Y
11. SCHEDULE IV (EADR, SC4)						
11.1 Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	NA	Y	NA
TIP If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.						
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Y	Y	Y	Y	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.)	NA	NA	NA	NA	NA	NA
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						
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	Y	Y	Y	Y	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.						

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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?	NA	NA	NA	NA	NA	NA
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 97 through 103 of the LBR instructions?	NA	NA	NA	NA	NA	NA
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	NA	NA	NA	NA	NA	NA

AUDIT:

15.4	Do the issues net to zero at the department level? (GENR, LBR5)	NA	NA	NA	NA	NA	NA
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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	Y
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	NA	NA	NA	NA	NA	NA

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	Y
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910708	60910950
16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Y	Y	Y	Y	Y	Y
16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in Audit #3 do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	Y	Y	Y	Y	Y	Y
16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y	Y	Y	Y	Y	Y
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)						
17.1 Do exhibits and schedules comply with LBR Instructions (pages 52 through 84 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y	Y
17.2 Does manual exhibits tie to LAS/PBS where applicable?	Y	Y	Y	Y	Y	Y
17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y	Y
17.4 Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 136 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	Y	Y	Y	Y	Y	Y
17.5 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Y	Y	Y	Y	Y	Y
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)						

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