



FLORIDA
DEPARTMENT of
CORRECTIONS

Governor
RON DESANTIS
Secretary
MARK S. INCH

501 South Calhoun Street, Tallahassee, FL 32399-2500

www.dc.state.fl.us

LEGISLATIVE BUDGET REQUEST

Department of Corrections
Tallahassee
September 15, 2021

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

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

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Corrections 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.

Sincerely,

Mark S. Inch
Secretary

MSI/ldl

DEPARTMENT OF CORRECTIONS
PAY ADDITIVE REQUEST
TEMPORARY SPECIAL DUTY – GENERAL
FOR FISCAL YEAR 2022-2023

The Department of Corrections requests the use of the **Temporary Special Duty (TSD) – General**, additive addressed in Section 110.2035(7)(a), F.S., as a regular and warranted management tool to appropriately compensate career service employees for performing duties in varying circumstances. Examples of these circumstances are:

- Providing appropriate work coverage and compensation for career service employees working out of title when an incumbent is absent for an extended period of time due to reasons that do not currently fall under the statutory direction of the TSD – Absent Co-Worker Additive. Examples of these reasons include but not limited to when the incumbent absent for extended sick leave, Family Supportive Work Program, or workers compensation claims.
- As a management tool, when the Department of Corrections may be considering privatization or out-sourcing of functions, programs, or facilities and the final decisions are impending but per statute, services must continue in the interim, the agency can provide appropriate labor support using existing resources, thereby, reducing costs associated with hiring additional temporary employees. Additionally, the agency can accomplish higher level work at a reduction of the cost to the department.
- Use of this additive for out of title compensation would compensate existing employees who temporarily perform higher level duties of a vacant position when filling such a position would impact the vacancy lapse factors established for institutions and program areas.

The employee's immediate supervisor must submit a request in writing through their chain of command including the program areas' budget manager for approval to use this additive. Once the employee has been approved to perform the higher-level duties, the incumbent must work more than 22 workdays within any six consecutive months, and she/he will be eligible to receive a TSD additive on the 23rd day for performing these special duties.

The additive will be authorized for 90 days internally. Each additional 90-day request must be pre-approved by the Department of Corrections Human Recourses Office, the Department of Management Services and Executive Office of the Governor (EOG) or Legislature.

The additive will be calculated at up to 15 percent of the employee's base rate of pay for the period of time the employee is assigned the TSD responsibilities.

The table below reflects the amount that was paid in Fiscal Year 2020-2021 for the TSD additive, which includes position classifications and the number of positions that were paid.

Class Title	Total Paid in FY 20-21	Number of Positions
CHAPLAIN - F/C	\$765.90	1
CLASSIFICATION SUPERVISOR - SES	\$11,721.85	5
CORRECTIONAL OFFICER	\$715.52	1
CORRECTIONAL OFFICER CAPTAIN	\$24,903.78	27
CORRECTIONAL OFFICER LIEUTENANT	\$38,344.83	53
CORRECTIONAL OFFICER MAJOR - SES	\$3,360.77	4
CORRECTIONAL OFFICER SERGEANT	\$22,753.03	33
CORRECTIONAL PROBATION SUPERVISOR	\$252.98	1
CORRECTIONAL SERVICES CONSULTANT	\$1,708.41	1
ELECTRONIC TECHNICIAN II	\$5,208.81	1
FOOD SERVICE DIRECTOR II - SES	\$263.60	1
GENERAL SERVICES SPECIALIST - SES	\$1,960.50	2
MAINTENANCE & CONSTRUCTION SUPT - SES	\$3,191.13	1
MAINTENANCE MECHANIC - F/C	\$1,662.06	1
MASTER ELECTRICIAN	\$124.50	1
OPERATIONS MANAGER C-SES	\$302.20	1
PLUMBER	\$1,603.27	2
SECRETARY SPECIALIST - F/C	\$1,257.88	1
SENIOR CLASSIFICATION OFFICER	\$14,343.44	5
SENIOR CLERK - F/C	\$1,426.38	1
STORES CONSULTANT - F/C	\$2,040.07	3
VOCATIONAL FOOD SERVICE COORDINATOR	\$6,655.56	3
Grand Total	\$144,566.47	149

The following collective bargaining agreements contain language regarding the TSD:

- Security Services Unit (SSU) Article 21- Compensation for Temporary Special Duty in Higher Level Position
- FNA Article 21- Compensation for Temporary Special Duty in Higher Position
- AFSCME Article 21- Compensation for Temporary Special Duty in Higher Position

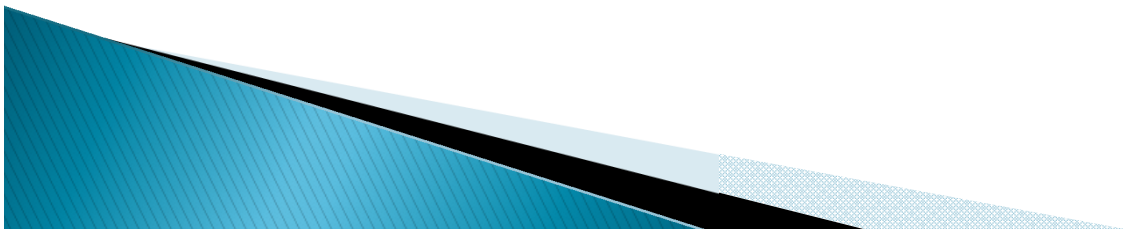
Each of the above agreements contains language that states, “Each time an employee is designated in writing by the employee’s immediate supervisor to act in a vacant established position in a higher broadband level than the employee’s current broadband level, and performs a major portion of the duties of the higher level position, irrespective of whether the higher level position is funded, for more than 22 workdays within any six consecutive months, the employee shall be eligible to receive a temporary special duty additive in accordance with Rule 60L-32, Florida Administrative Code, beginning with the 23rd day..”

Please note that all of the contract articles for the fiscal year 2020-2021 have been ratified and signed by the Governor.

The agency is not requesting additional appropriations for the use of these additives, as costs associated with the TSD additive will be managed with existing resources.



Department Level Exhibits and Schedules



Schedule VII: Agency Litigation Inventory
Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2021

Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Human Rights Defense Center v. Mark Inch, et al.

Court with Jurisdiction: United States District Court, Northern District of Florida, West Palm Beach Division

Case Number: 21cv81391

Summary of Complaint: Plaintiff claims that the Department has arbitrarily censored three publications produced by Plaintiff and has done so largely with little explanation.

Amount of the Claim: The complaint seeks damages and declaratory and injunctive relief.

Specific Law(s) Challenged: No state law has been challenged. The complaint alleges a violation of the Fourteenth Amendment of the US Constitution.

Status of the Case: The Department was served with the complaint on August 20, 2021. No responsive pleading has been filed yet.

Agency Attorneys: Office of the Attorney General, PL-01, The Capitol, Tallahassee, Florida 32399.

Plaintiff's Attorneys: Daniel Marshall, Esq. P.O. Box 1151, Lake Worth, Florida 33460, Michael McGinley, Esq. 2929 Arch Street, Philadelphia, PA 19104, Eric Hagerman, Esq., 1900 K Street, NW, Washington, DC 20006, and Casey Norman, Esq., 1095 Avenue of the Americas, New York, New York 10036.

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Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2021

Agency: Department of Corrections

Contact Person: Sean J Anderson, Assistant General Counsel Phone: (850) 717-3597

Names of the Parties: Disability Rights Florida, Inc., v. Florida Department of Corrections

Court with Jurisdiction: Second Judicial Circuit, Leon County, Florida

Case Number: 2019 CA 2825

Summary of Complaint: Plaintiff claims that the Department failed to come into compliance with the settlement in a timely fashion.

Amount of the Claim: The complaint seeks specific performance.

Specific Law(s) Challenged: No state law has been challenged. The complaint alleges a breach of the Settlement Agreement entered into by DRF and FDC to settle case no. 4:16-cv-47-RH-CAS (N.D. Fla. 2016).

Status of the Case: Discovery is ongoing.

Agency Attorneys: Erik Figlio, Alexandra Akre, Samuel Walenz, Ausley McMullen, 123 S Calhoun St, Tallahassee, FL 32302.

Plaintiff's Attorneys: Dante Trevisani, Esq. and Erica Selig, Florida Justice Institute, Inc., 3750 Miami Tower, 100 S.E. Second Street, Miami, Florida 33131, David Boyer, Esq. and Molly Paris, Esq., Disability Rights Florida, 1930 Harrison Street, Suite 104, Hollywood, Florida 33020, and Sharon Caserta, Morgan & Morgan, 76 South Laura Street, Suite 1100, Jacksonville, Florida 32202.

Schedule VII: Agency Litigation Inventory
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August 23, 2021

Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Disability Rights Florida, Inc., On behalf of its Clients and Constituents v. Julie Jones, Secretary, Florida Department of Corrections in her Official Capacity and Florida Department of Corrections, an Agency of the State of Florida

Court with Jurisdiction: United States District Court, Middle District of Florida, Jacksonville Division

Case Number: 3:18cv179-J-25-JRK

Summary of Complaint: Plaintiff claims that the Department by their actions and inactions have deliberately and chronically denied mental health care to individuals with mental illness who were and are confined in inpatient mental health units operated and managed by the Department and due to the patients' confinement in segregated, harsh conditions, their illnesses are exacerbated and due to the segregation and isolation, the patients are denied benefits of many of the Department programs, services and activities.

Amount of the Claim: The complaint seeks declaratory and injunctive relief.

Specific Law(s) Challenged: No state law is specifically challenged. The complaint claims a violation of the Americans with Disabilities Act, and Federal Rehabilitation Act, and the Eighth Amendment of the US Constitution.

Status of the Case: The parties entered into a consent decree as ordered by the court and are currently implementing the terms of the consent decree. On December 9, 2020, the parties filed a motion to modify the settlement agreement and on December 15, 2020, the court issued an order granting the motion.

Agency Attorneys: Dorothy Burnsed, Esq., Ian Carnahan, Esq., and Alexandria Williams, Esq. Department of Corrections, 501 S. Calhoun Street, Tallahassee, Florida 32399.

Plaintiff's Attorneys: David Boyer, Esq., 820 1st St. NE, Suite 740, Washington, D.C. 20002, Laura Renstrom, Esq., and George Schulz, Jr. Holland & Knight, LLP, Suite 3900, 50 N Laura St, Jacksonville, Florida 32202, Peter Prescott Sleasman, 4723-B NW 53rd Ave., Gainesville, Florida 32653, and Christopher Jones, Esq. and Andrea Costello, Esq., 14260 W. Newberry Road, Suite 412, Newberry, Florida 32669.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Mark Davis, Mark Gerald, Jesse Guardado, Joseph Jordan, Khalid Pasha, Robert Rimmer, John Troy, Steven Stein, and Gray Whitton, on behalf of themselves and all others similarly situated v. Julie Jones, et al.

Court with Jurisdiction: United States District Court, Middle District of Florida, Jacksonville Division

Case Number: 3:17cv820-J-34PDB

Summary of Complaint: The lawsuit is regarding the conditions of confinement and due process rights of inmates who are on death row.

Amount of the Claim: The complaint seeks declaratory and injunctive relief.

Specific Law(s) Challenged: No state law is specifically challenged. The Plaintiffs allege a violation of the Eighth and Fourteenth Amendments of the US Constitution.

Status of the Case: The court held a hearing on August 19, 2021, scheduling dates for objections to be filed by the class, and scheduling a status conference and fairness hearing date.

Agency Attorney: Joe Belitzky, Esq., Office of the Attorney General, PL-01, The Capitol, Tallahassee, Florida 32399.

Plaintiffs' Attorneys: Linda McDermott, Esq., 227 N. Bronough St., Suite 4200, Tallahassee, Florida 32301, Martin McClain, Esq., 141 NE 30th Street, Wilton Manors, Florida 33334, and Seth A. Rosenthal, Esq., 575 7th Street NW, Washington, DC 20004, Evan Shea, Esq., and Matthew T. Shea, Esq., 750 E. Pratt Street, Suite 900, Baltimore, MD 21202.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: William R. Davis v. Barry Reddish and Julie Jones

Court with Jurisdiction: United States District Court, Middle District of Florida, Jacksonville Division

Case Number: 3:18cv353

Summary of Complaint: Plaintiff challenges the State of Florida's lethal injection protocol that was adopted which uses the drug etomidate as the first drug in a three-drug protocol.

Amount of the Claim: The complaint declaratory and injunctive relief.

Specific Law(s) Challenged: No state law is specifically challenged. The complaint claims a violation of the Eighth and Fourteenth Amendments of the United States Constitution.

Status of the Case: The Plaintiff's motion to compel discovery is pending.

Agency Attorneys: Joe Belitzky, Esq., Office of the Attorney General, Dept. of Legal Affairs, The Capitol, PL-01, Tallahassee, Florida 32399 and Scott Browne, Esq., Office of the Attorney General, 3507 E. Frontage Road, Suite 200, Tampa, Florida 33607.

Plaintiff's Attorneys: Capital Collateral Regional Counsel Middle Region, 12973 N. Telecom Parkway, Temple Terrace, FL 33637.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Dorothy Carter, as the Parent and Natural Guardian of JC a Minor as the Natural Heir of James Carter v. State of Florida, et al.

Court with Jurisdiction: Fourteenth Judicial Circuit, Jackson County, Florida

Case Number: 2019-CA-603

Summary of Complaint: Plaintiff alleges that James Carter suffered from a number of health issues, including diabetes. Plaintiff alleges that James Carter experienced severe abdominal pain for a period of several days in November 2016 and did not see a licensed medical doctor and was treated with only milk of magnesium. Plaintiff alleges that after several days James Carter was hospitalized with ketoacidosis and eventually passed away on November 15, 2016.

Amount of the Claim: Plaintiff seeks actual, compensatory and punitive damages.

Specific Law(s) Challenged: No state law is specifically challenged. The complaint alleges a violation of the wrongful death act.

Status of the Case: The parties are currently engaging in discovery.

Agency Attorneys: Jeffrey Howell, Esq., 2898-6 Mahan Drive, Tallahassee, FL 32308.

Plaintiff Attorneys: Craig Lynd, Esq. & Christopher Hunt, Esq., 200 East Robinson, STE 200, Orlando, FL 32801.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Belinda Chambliss and Lisa M. Jordan Holmes as Co-Personal Representatives of the Estate of De'Metris Jordan v. Florida Department of Corrections, as agency of the State of Florida, et al.

Court with Jurisdiction: Nineteenth Judicial Circuit, Martin County, Florida

Case Number: 13-1126-CA

Summary of Complaint: The Plaintiff alleges that despite the attempt of self-harm by inmate Jordan by placing a noose around his neck, the Department failed to use care for inmate Jordan by providing adequate and proper mental health/medical services to inmate Jordan, a minor.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No state law is specifically challenged. The complaint claims a violation of 42 U.S.C. §1983, Fourteenth Amendment of the US Constitution, and the Wrongful Death Act.

Status of the Case: On February 11, 2021, the circuit court issued an order granting the Department's motion to dismiss Count II of the Amended Complaint. Discovery is ongoing.

Agency Attorney: James O. Williams, Esq. and David O. Doyle, Esq., 50 E. Ocean Blvd., Suite 203, Stuart, Florida 34994.

Plaintiffs' Attorney: Andrew Sholtes, Esq., 309 Orange Avenue, Fort Pierce, Florida 34950.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Theresa Cineus as Personal Representative of the Estate of Gamaliel Cineus v. State of Florida, Department of Corrections, Centurion of Florida, LLC.

Court with Jurisdiction: United States District Court, Middle District of Florida, Tampa Division

Case Number: 8:21cv1659

Summary of Complaint: This is a death case stemming from allegations, that staff failed to provide appropriate medical care for decedent who died due to having a pulmonary embolism.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No state law is specifically challenged. The complaint claims violations of 42 U.S.C. §1983 and Eighth Amendment to US Constitution.

Status of the Case: The Department's motion to dismiss is pending.

Agency Attorneys: Thomas Thompson, Esq. and Mallory Brown, Esq., 1330 Thomasville Road, Tallahassee, Florida 32303 (Atty. For the Department).

Plaintiff's Attorneys: Jerry Girley, Esq., 117 E. Marks Street, Suite A, Orlando, Florida 32803.

Schedule VII: Agency Litigation Inventory
Significant Litigation Impacting Budget, Policy, or Agency Functions
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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Catherine Davey as personal representative of the Estate of Michael Philip Cuebas v. Mark Inch, et al.

Court with Jurisdiction: First Judicial Circuit, Santa Rosa County, Florida

Case Number: 2020-CA-000298

Summary of Complaint: Personal representative for the Estate of Michael Cuebas (deceased) has filed a wrongful death claim for the suicide of Michael Cuebas. Petitioner claims lack of supervision by staff allowing Cuebas to execute his own suicide and states that staff should have noticed that the inmate was in danger of hurting himself and should have placed the inmate in protective custody.

Amount of the Claim: Plaintiff seeks actual, compensatory and punitive damages.

Specific Law(s) Challenged: No state law is specifically challenged. The complaint claims liability for wrongful death under Florida's Wrongful Death Statute §768.19;

Status of the Case: On August 12, 2020, the Department's answer was filed. Discovery is ongoing.

Agency Attorney: Michelle Hendrix, Esq., Vernis & Bowling of NW Florida, P.A., 315 South Palafox St., Pensacola, FL 32502.

Plaintiff Attorney: Jeremy K. Markman, Esq., King & Markman, P.A., 941 Lake Baldwin Ln. Ste 101, Orlando, FL 32814.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Coleen Eslinger as Personal Rep of the Estate of Alyse Rolnick v. FDOC, et al.,

Court with Jurisdiction: United States District Court, Middle District, Jacksonville Division

Case Number: 5:20-cv-11

Summary of Complaint: Plaintiff claims deliberate indifference to the medical needs that resulted in the death of Alyse Rolnick during her incarceration at Lowell. Plaintiff alleges that staff failed to treat the decedent for pulmonary Arterial Hypertension (PAH).

Amount of the Claim: Plaintiff seeks actual, compensatory and punitive damages.

Specific Law(s) Challenged: No state law is specifically challenged. The complaint claims a violation of 42 U.S.C. §1983, Eighth and Fourteenth Amendments to US Constitution.

Status of the Case: The parties are currently engaging in discovery.

Agency Attorneys: Mallory Brown, Esq. and Tom Thompson, Esq., Thompson, Crawford, & Smiley, P.A. 1330 Thomasville Rd. Tallahassee, FL 32303.

Plaintiff Attorneys: John Klotz, Esq., 510 E. Zaragoza St. Pensacola, Florida 32502 and Eric Stevenson, Esq., 212 W. Intendencia Street, Suite A, Pensacola, Florida 32502.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Denise Frazier, as the Personal Representative for the Estate of Lorenzo Tyrone McCloud v. Florida Department of Corrections

Court with Jurisdiction: Second Judicial Circuit, Leon County, Florida

Case Number: 2021CA136

Summary of Complaint: This is a wrongful death case stemming from allegations that the decedent died as a result of a ceiling fan dislodging from its mount and landing on his head and left shoulder.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No specific state law is challenged.

Status of the Case: Discovery is ongoing.

Agency Attorney: Thomas Thompson, Esq. 1330 Thomasville Road, Tallahassee, Florida 32303.

Plaintiff's Attorney: Marie Mattox, Esq., 203 North Gadsden Street, Tallahassee, Florida 32301.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Lorine Gaines, as Personal Representative of the Estate and Mother of Vincent Gaines v. Julie Jones, in her official and individual capacities; Kevin Jordan, individually; Corizon Health, Inc.; and Does 1-20; in their individual capacities

Court with Jurisdiction: United States District Court, Middle District, Jacksonville Division

Case Number: 3:18-cv-1332

Summary of Complaint: This is a wrongful death case stemming from allegations that Vincent Gaines was denied and deprived entirely of adequate nutrition and treatment for his basic and serious mental health and medical needs during a critical period which resulted in his malnutrition, starvation, and death.

Amount of the Claim: Plaintiff seeks actual, compensatory and punitive damages and declaratory relief.

Specific Law(s) Challenged: No state law is specifically challenged. The complaint alleges a violation of 42 U.S.C §1983, Eighth and Fourteenth Amendments to the U.S. Constitution, American with Disabilities Act and Rehabilitation Act.

Status of the Case: On March 17, 2021, the court issued an order granting Defendants Inch, Jones, and Andrews' motion for summary judgment and denying Defendants Anderson and Rosier's motion for summary judgment and denied the Corizon defendants motion for summary judgment. The individual defendants settled the case. **This case is considered closed and will be removed from the report for the next fiscal year.**

Agency Attorneys: J. Steven Carter, Esq. & Miriam Coles, Esq., Henry Buchanan, P.A.
2508 Barrinton Circle, Tallahassee, FL 32303.

Plaintiff Attorneys: John Scarola, Esq. & Edwin Ferguson, Esq., Searcy Denney Scarola, et al
2139 Palm Beach Lakes Blvd. West Palm Beach, FL 33409, The Ferguson Firm,
Inc. 41 West 27th Street, Riviera, FL 33404.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Dawn Gallashaw, Administrator and Personal Representative for the Estate of Antonio Gallashaw v. William Moody, et al.

Court with Jurisdiction: United States District Court, Middle District, Jacksonville Division

Case Number: 3:20cv106

Summary of Complaint: This is a wrongful death case stemming from allegations that the decedent died as a result of an excessive use of force.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No specific state law is challenged. The complaint claims a violation of 42 U.S.C. §1983.

Status of the Case: Discovery ongoing.

Agency Attorneys: Leonard Hackett, Esq. and William Blume, Esq., 4309 Salisbury Road, Jacksonville, Florida 32216 (Defendant FDC); Jamie Reitz, Esq., 5544 Central Avenue, St. Petersburg, Florida 33707 (Defendant Faltz)l Thomas Thompson, Esq. and Mallory Brown, Esq., 1330 Thomasville Road, Tallahassee, Florida 32303 (Defendant Moody).

Plaintiff's Attorney: Neil Henrichsen, Esq. 301 W. Bay Street, Suite 1400, Jacksonville, Florida 32202.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Marianne Guterma, as Personal Representative of Robert Guterma, Sr. v. Florida Department of Corrections, Dr. Edmond Alaka, and Daisamma Varghese, ARNP

Court with Jurisdiction: Third Judicial Circuit of Florida, Suwannee County, Florida

Case Number: 2015-CA-000250

Summary of Complaint: The personal representative of the Estate of Robert Guterma Sr. claims that Mr. Guterma died as a result of not receiving adequate medical care for hypertension while in the custody of the Department.

Amount of the Claim: Plaintiff seeks actual, compensatory and punitive damages.

Specific Law(s) Challenged: No state law is specifically challenged. The complaint claims a violation of 42 U.S.C. §1983, Eighth and Fourteenth Amendments to US Constitution; liability for wrongful death under Florida's Wrongful Death Statute §768.19.

Status of the Case: Plaintiff filed notice of dismissal with prejudice. **This case is considered closed and will be removed from the report for the next fiscal year.**

Agency Attorneys: Charles G. Eichhorn, Jr., Esq. and Maria F. Gibson, Esq., Quintairos, Prieto, Wood & Boyer, P.A., 4190 Belfort Road, Suite 450, Jacksonville, FL 32216.

Plaintiff Attorney: Matthew Kachergus, Esq., 215 Washington Street, Jacksonville, Florida 32202.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Elizabeth Halveland, individually and as a Personal Representative of the Estate of Michael Halveland, deceased, vs. Isaac Andrews, both in his individual and official capacity, Carlton Spooner, both in his individual and official capacity, and Jennifer Reeves, both in her individual and official capacity

Court with Jurisdiction: Fourteenth Judicial Circuit, Washington County, Florida

Case Number: 2015 CA 125

Summary of Complaint: Complaint alleges that Defendants failed to perform their duty to use reasonable care to ensure Plaintiff's safety and well-being, leading to Plaintiff's death.

Amount of the Claim: The complaint seeks compensatory damages.

Specific Law(s) Challenged: No state law is specifically challenged. This case is a wrongful death action.

Status of the Case: The Department's Answer was filed on February 11, 2020. Plaintiff's counsel withdrew from the case in July 2020 and there has been no activity since that date.

Agency Attorney: Anthony Johnson, Esq., Office of the Attorney General, PL-01, The Capitol, Tallahassee, FL 32399-1050.

Plaintiff's Attorney: Pro Se.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Estate of Glenn Mitchell Hand, by and through Phyllis A. Hand, Personal Representative v. Florida Department of Corrections, et al.

Court with Jurisdiction: Eleventh Circuit Court of Appeals, Atlanta, Georgia; United States District Court, Northern District of Florida, Tallahassee Division; Second Judicial Circuit, Leon County, Florida

Case Number: 21-11542 (Eleventh Circuit); 4:20cv66(Northern District); 2019CA1255 (Leon County)

Summary of Complaint: This is a wrongful death case stemming from allegations staff failed to provide the appropriate medical care and supervision of the decedent who died while in the department custody.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No specific state law is challenged. The complaint claims a violation of 42 U.S.C. §1983.

Status of the Case: The Northern District case is currently on appeal. On January 13, 2021, the Northern District dismissed the 42 U.S.C. §1983 claims. On April 28, 2021, Northern District remanded the state law claims back to state court. A trial is scheduled for the trial period beginning May 5, 2022 in the Second Judicial Circuit.

Agency Attorneys: Thomas Thompson, Esq. and Mallory Brown, Esq., 1330 Thomasville Road, Tallahassee, Florida 32303 (Atty. For the Department).

Plaintiff's Attorney: Adam Anderson, Esq. 5 Miracle Strip Loop, Ste. 7, Panama City Beach, Florida 32407.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Lorraine & Leo Kubinski, Individually and a Successors-in-Interest to the Estate of Richard Paul Kubinski, their son v. Joseph Edwards, et al.

Court with Jurisdiction: United States District Court, Middle District of Florida, Jacksonville Division

Case Number: 3:21cv34

Summary of Complaint: This is a wrongful death case stemming from allegations staff failed to provide the appropriate medical care and treatment of the decedent who suffered from mental illness and died while in the department custody.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No specific state law is challenged. The complaint claims a violation of 42 U.S.C. §1983.

Status of the Case: Defendants' motion to dismiss pending.

Agency Attorney: Thomas Buchan, Esq. 2898-6 Mahan Drive, Tallahassee, Florida 32308.

Plaintiff's Attorney: Rook Ringer, Esq., 222 San Marco Ave., Suite C, St. Augustine, Florida 32084.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Assistant General Counsel Phone: (850) 717-3603

Names of the Parties: Makisha Lawson, as next friend and personal representative of Dillan Lawson, v. Heath Holland, et al.

Court with Jurisdiction: United States District Court, Northern District of Florida, Panama City Division

Case Number: 5:19-cv-88

Summary of Complaint: Complaint alleges violations of section 1983 for failure to intervene and protect.

Amount of the Claim: The complaint seeks compensatory damages.

Specific Law(s) Challenged: No state law is specifically challenged. This case is a wrongful death action.

Status of the Case: On December 2, 2020, the district court issued an order granting the Defendants' motion for summary judgment. **This case is considered closed and will be removed from the report for the next fiscal year.**

Agency Attorney: Jeffrey Howell, Esq., 2898-6 Mahan Dr, Tallahassee, FL 32308.

Plaintiff's Attorney: Dixie Powell, Esq., Powell Injury Law, 602 S Main St, Crestview, FL 32526.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Olivia Lee, as surviving spouse and Personal Representative of the Estate of Martavias Watkins v. Florida Department of Corrections, et al.

Court with Jurisdiction: United States District Court, Southern District of Florida, Miami Division

Case Number: 21cv22404

Summary of Complaint: This is a wrongful death case stemming from allegations that staff failed to properly diagnose and treat the decedent who had a tracheotomy.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No specific state law is challenged. The complaint claims a violation of 42 U.S.C. §1983.

Status of the Case: Plaintiff's Amended Complaint was filed on August 6, 2021.

Agency Attorney: Daniel Foodman, Esq., 777 Brickell Avenue, Suite 500, Miami, Florida 33131.

Plaintiff's Attorneys: Judd Rosen, Esq., Brett Rosen, Esq., Mustafa Dandashly, Esq., 2 South Biscayne Blvd., Suite 3650, Miami, Florida 33131.

Schedule VII: Agency Litigation Inventory
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August 23, 2021

Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Sarah McCrimmon and Caron Dettman, as Co-Administrators of the Estate of Curtis Dettman, v. Julie Jones, et al.

Court with Jurisdiction: United States District Court, Middle District of Florida, Jacksonville

Case Number: 3:20-cv-36

Summary of Complaint: Complaint alleges violations of section 1983 for failure to intervene and wrongful death.

Amount of the Claim: The complaint seeks compensatory damages.

Specific Law(s) Challenged: No state law is specifically challenged. This case is a wrongful death action.

Status of the Case: This case is currently in discovery.

Agency Attorney: Michael Glass, Esq., 3020 Hartley Rd, Suite 250, Jacksonville, FL 32257.

Plaintiff's Attorney: Jesse Wilkison, Esq., 215 N. Washington St, Jacksonville, FL 32202.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Kenna Myles, as Executor de son Tort of The Estate of Anthony Spencer, Jr., and on behalf of survivors, Kenna Myles, and Anthony Spencer, Sr. v. Florida Department of Corrections, et al.

Court with Jurisdiction: United States District Court, Northern District of Florida, Tallahassee Division

Case Number: 4:21cv87

Summary of Complaint: This is a wrongful death case stemming from allegations staff failed to protect decedent and failed to provide proper medical care of the decedent who died as a result of an assault.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No specific state law is challenged. The complaint claims a violation of 42 U.S.C. §1983.

Status of the Case: Defendants' motions to dismiss are pending. Discovery is ongoing.

Agency Attorneys: Thomas Thompson, Esq. and Mallory Brown, Esq., 1330 Thomasville Road, Tallahassee, Florida 32303.

Plaintiff's Attorney: Amber Hall, Esq., 820 East Park Avenue, Building B, Tallahassee, Florida 32301.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Laryssa Rice, Individually, and as Personal Representative of the Estate of Travis Rice, deceased v. Florida Department of Corrections et al.

Court with Jurisdiction: United States District Court, Middle District of Florida, Jacksonville Division

Case Number: 3:20cv1206

Summary of Complaint: This is a wrongful death case stemming from allegations the decedent was strangled to death while in the Department's custody.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No specific state law is challenged. The complaint claims a violation of 42 U.S.C. §1983.

Status of the Case: Defendants' answers filed. Discovery is ongoing.

Agency Attorneys: Leonard Hackett, Esq., and Vincent Cano, Esq. 4309 Salisbury Road, Jacksonville, Florida 32216 (Attorneys for FDC); Matthew Margolis, Esq., 7777 Glades Road, Suite 400, Boca Raton, Florida 33434 (Attorney for Individual Defendants).

Plaintiff's Attorneys: Farnita Hill, Esq. and Adrian Mendiondo, Esq., 333 W. Vine Street, Suite 1200, Lexington, KY 40507, Thomas Fichtelman, Esq., 2601 N. Ponce De Leon Blvd., St. Augustine, Florida 32084.

Schedule VII: Agency Litigation Inventory
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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Robert Pernell Rowe, Sr. and Normal Jean Rowe as the personal representative of the Estate of Rudolph Pernell Rowe, Jr. v. Julie Jones, et al

Court with Jurisdiction: Seventh Judicial Circuit, St. Johns County, Florida

Case Number: 2018 CA 1547

Summary of Complaint: This is a wrongful death case stemming from allegations that the decedent suffered a traumatic brain injury that affected his mental health and cognitive abilities related to excessive physical force on part of the Department's employees and medical staff. Decedent was admitted to the Mental Health Unit at Lake Correctional Institution and on December 23, 2016, Decedent was found unresponsive, leaning over the toilet of his cell having vomited. Plaintiff claims that the defendants failed to adhere to the notice and due process requirements of the Informed Consent Law,

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: 945.48 Florida Statutes (2016), 766.103 Florida Statutes (2018), 42 U.S.C. § 1983,

Status of the Case: The Department's Answer to the Fourth Amended Complaint was filed on June 30, 2021.

Agency Attorney: Leonard Hackett, Esq., 4309 Salisbury Road, Jacksonville, FL 32216. (Atty. For the Department).

Plaintiff's Attorney: Shannon Brook Schott, Esq., 135 W. Adams Street, Jacksonville, Florida 32202.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Barbara Scayles, as Personal Representative of the Estate of Ulysses G. Williams; Julie McAfee on behalf of Alyssa Williams, a minor; Alyssa Williams, a legal minor; and Nicole Berrios, on behalf of Peyton Berrios, a minor v. Mark Inch, Secretary of Florida Department of Corrections

Court with Jurisdiction: United States District Court, Middle District of Florida, Jacksonville Division

Case Number: 3:19cv1311

Summary of Complaint: This is a wrongful death case stemming from allegations that staff failed to provide the appropriate medical care to the decedent and as a result he suffered a myocardial infarction and died.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No state law is specifically challenged. The Complaint claims a violation of 42 U.S.C. §1983.

Status of the Case: The Department's Motion to Dismiss the Third Amended Complaint is pending.

Agency Attorneys: Leonard Hackett, Esq., and William Blume, Esq., 4309 Salisbury Road, Jacksonville, Florida 32216.

Plaintiff's Attorney: Kevin Anderson, Esq., 500 S. Australian Ave., 6th Floor, West Palm Beach, Florida 33401.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Joanne M. Shea as the personal representative of the Estate of Brian Otstot v. Florida Department of Corrections

Court with Jurisdiction: United States District Court, Northern District of Florida, Tallahassee Division

Case Number: 5:19cv350

Summary of Complaint: This is a wrongful death case stemming from allegations that the Department failed to properly classify, house, and supervise the decedent and come to his aid and protect decedent from being killed by another inmate.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No state law is specifically challenged.

Status of the Case: This case was settled. **This case is considered closed and will be removed from the report for the next fiscal year.**

Agency Attorneys: Dale J. Paleschic, Esq. and Alec G. Masson, Esq., Luks, Santaniello, Petrillo & Jones, 6265 Old Water Oak Rd, Suite 201, Tallahassee, FL 32312. (Atty. For the Department).

Plaintiff's Attorneys: Lavenia D. Santos, Esq. and Anna Lenchus, Esq., 1300 N. Federal Highway, Suite 110, Boca Raton, FL 33434.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Betty Simms as Personal Representative of the Estate of Michael Baker v. Warden Jimmy Coker, et al.

Court with Jurisdiction: United States District Court, Northern District of Florida, Pensacola Division

Case Number: 3:20-cv-4325

Summary of Complaint: Personal representative for the Estate of Michael Baker (deceased) has filed a wrongful death claim for Michael Baker's death by ill health conditions. Petitioner claims lack of supervision by staff led to Baker dying and states that staff should have noticed that he was in danger and should have declared a medical emergency sooner.

Amount of the Claim: Plaintiff seeks actual, compensatory and punitive damages.

Specific Law(s) Challenged: No state law is specifically challenged. The complaint claims a violation of 42 U.S.C. §1983, Eighth Amendment to US Constitution.

Status of the Case: On August 9, 2021, the district court issued an order granting in part and denying in part the Defendants' motion for summary judgment.

Agency Attorney: Jennifer Sniadecki, Esq., 4987 E. County HWY 30A, Seagrave Beach, FL 32459.

Plaintiff Attorney: James Cook, Esq., 314 W. Jefferson St., Tallahassee, FL, 32301.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Anice Slaughter, as Personal Representative of the Estate of Jorge Slaughter v. Florida
Department of Corrections

Court with Jurisdiction: First Judicial Circuit, Escambia County, Florida

Case Number: 2018 CA 290

Summary of Complaint: This is a wrongful death case stemming from negligence. Plaintiff states she was notified that her son was in an altercation and died.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No state law is specifically challenged.

Status of the Case: On July 19, 2021, the Department's motion for summary judgment was filed.

Agency Attorney: E. Nicole Palmer, Esq., 14 North Palafox Street, P.O. Box 13510, Pensacola, Florida
32591-13510.

Plaintiff's Attorney: Jermaine Thompson, Esq., 1620 W. Oakland Park Blvd. Suite 400, Oakland Park, Florida
32311.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Douglas B. Stalley as the Personal Representative of the Estate of Jose Gregory Villegas v. Cumbie, et. al

Court with Jurisdiction: United States District Court, Middle District, Ocala Division

Case Number: 5:19-cv-00280

Summary of Complaint: This is a wrongful death case stemming from allegations that the Department failed to provide proper medical care for the decedent when he was found unresponsive in his cell due to the ingestion of the K-2 drug.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No state law is specifically challenged.

Status of the Case: A motion for summary for summary judgment is pending.

Agency Attorney: Jeffrey Weiss, Esq., 111 N Orange Ave, Suite 2000, Orlando, FL 32801.

Plaintiff's Attorney: Alan Landerman, Esq., 225 E Robinson St., Suite 475, Landmark Center Two, Orlando, FL 32801.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Monica Stone as Personal Representative of the Estate of Christopher Cox v. Robert Hendry, et al.

Court with Jurisdiction: Nineteenth Judicial Circuit, Martin County, Florida

Case Number: 2017 CA 291

Summary of Complaint: This is a wrongful death case stemming from allegations by the Plaintiff that former inmate Christopher Cox was murdered by a fellow inmate and the correctional officers and personnel at the prison were negligent when they failed to timely respond to the other inmates' in Cox's dormitory, calls and signals for help. The Plaintiff also alleges that staff were negligent in rendering aid in a timely manner to Cox who should have never been placed in a cell with his attacker.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No state law is specifically challenged.

Status of the Case: Discovery is ongoing.

Agency Attorneys: Phillip B. Wiseberg, Esq. and James O. Williams, Jr., Esq., 11300 U.S. Highway One, Suite 300, North Palm Beach, Florida 33408 (Defendants Hendry and Fiepel). Christopher J. Whitelock, Esq., 300 SE 13th Street, Ft. Lauderdale, Florida 33316 (Defendants Rose and Bailes). Barry A. Postman, Esq., 1645 Palm Beach Lakes Blvd., West Palm Beach, Florida 33401 (Defendant Conrad).

Plaintiff's Attorney: James Cook, Esq., 314 West Jefferson Street, Tallahassee, FL 32301.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, al Counsel Phone: (850) 717-9789

Names of the Parties: Maria Vidal, as the Personal Representative of the Estate of Anthony Vidal Marie v. Florida Department of Corrections

Court with Jurisdiction: Eleventh Judicial Circuit, Miami-Dade County, Florida

Case Number: 2018 CA 018812

Summary of Complaint: This is a wrongful death case stemming from allegations that the Department failed to protect, classify, house and supervise Vidal. Plaintiff alleges that the monitor was cut off and guards could not hear his screams for help or other inmates yelling for them to intervene.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No state law is specifically challenged.

Status of the Case: The parties are engaging in discovery.

Agency Attorney: Sheridan Weissenborn, Esq., Dutton Law Group, P.A., 9700 S. Dixie Highway, Suite 940, Miami, FL 33156. (Atty. For the Department).

Plaintiff's Attorneys: Ray Taseff, Esq. and Erica Selig, Esq., Florida Justice Institute, Inc. 3750 Miami Tower, 100 S.E. Second Street, Miami, Florida 33131-2309.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Judith Walton as the Personal Representative of the Estate of Frank Smith v. Florida Department of Corrections (FDC)

Court with Jurisdiction: United States District Court, Middle District, Jacksonville Division

Case Number: 3:16-cv-1130-J-39JRK

Summary of Complaint: This is a wrongful death case stemming from allegations that the Department failed to provide timely medical treatment to save decedent after an unlawful use of force was used on the decedent during a transport that resulted in his death.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No specific state law is challenged. Plaintiff alleges a violation of ADA and Rehabilitation Act.

Status of the Case: Defendants FDC, Ellis, Reddish, and Swain's motion for summary judgment is pending.

Agency Attorney: Michael Andrew Price, Esq., 4309 Salisbury Road, Jacksonville, FL 32216.

Plaintiff's Attorney: James Cook, Esq., 314 W Jefferson St. Tallahassee, FL 32301.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Wilfred Wilkerson as the personal representative of the Estate of Randall David Wilkerson v. Florida Department of Corrections, et al.

Court with Jurisdiction: Sixteenth Judicial Circuit, Union County, Florida

Case Number: 2018 CA 90

Summary of Complaint: This is a wrongful death case stemming from allegations that the Department failed to properly classify, house, and supervise the decedent and negligently failed to timely come to his aid when decedent was attacked and brutally beaten by his cellmate.

Amount of the Claim: The complaint seeks damages.

Specific Law(s) Challenged: No state law is specifically challenged.

Status of the Case: A jury trial is scheduled for the trial period beginning May 2, 2022.

Agency Attorney: Michael Price, Esq., 4309 Salisbury Road, Jacksonville, FL 32216. (Atty. For the Department).

Plaintiff's Attorney: Jared Wilkerson, Esq., 3955 Riverside Avenue, Suite 203, Jacksonville, FL 32205.

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Agency: Department of Corrections

Contact Person: Sean J. Anderson, Assistant General Counsel Phone: (850) 717-3597

Names of the Parties: William Demler v. March Inch

Court with Jurisdiction: United States District Court for the Northern District of Florida

Case Number: 4:19-cv-94

Summary of Complaint: Plaintiff alleges that the department violated the takings clause and fourteenth amendment of the U.S. Constitution when confiscating inmates' mp3 players and wishes to certify the suit as a class action on behalf of all inmates similarly situated.

Amount of the Claim: The complaint seeks declaratory and injunctive relief.

Specific Law(s) Challenged: Takings Clause and 14th amendment of US Constitution

Status of the Case: On December 4, 2020, the Court fully approved the settlement of the case. **This case is considered closed and will be removed from the report for the next fiscal year.**

Agency Attorney: Miguel Olivella; Office of the Attorney General, PL-01, The Capitol, Tallahassee, FL 32399-1050

Plaintiff's Attorneys: Shawn Heller, Social Justice Law Collective, 974 Howard Ave, Dunedin, FL 34698;
Dante Trevesani, Florida Justice Institute, 3750 Miami Tower, 100 SE Second St, Miami, FL 33131

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Agency: Department of Corrections

Contact Person: Sean J. Anderson, Assistant General Counsel Phone: (850) 717-3597

Names of the Parties: Matthew Rodriguez, et al. v. March Inch, et al.

Court with Jurisdiction: United States District Court for the Southern District of Florida

Case Number: 19-cv-14137-ROSENBERG/MAYNARD

Summary of Complaint: Plaintiff alleges that the department violated the takings clause and fourteenth amendment of the U.S. Constitution when confiscating inmates' mp3 players and wishes to certify the suit as a class action on behalf of all inmates similarly situated.

Amount of the Claim: The complaint seeks declaratory and injunctive relief.

**Specific Law(s)
Challenged:** Takings Clause and 14th amendment of US Constitution

Status of the Case: On March 19, 2021, the court dismissed the Department as a defendant. **This case is considered closed and will be removed from the report for the next fiscal year.**

Agency Attorney: Miguel Olivella; Office of the Attorney General, PL-01, The Capitol, Tallahassee, FL 32399-1050

Plaintiff's Attorneys: Scott David Hirsch, Scott Hirsch Law Group, 7301 W Palmetto Park Road Suite 207A, Boca Raton, FL 33433; Erika Denise Rodriguez, Rodriguez Law & Advocacy, P.A., 7301 W Palmetto Park Road, Suite 207A, Boca Raton, FL 33433; Joshua Michael Entin, Entin Law Group P.A., 633 S. Andrews Avenue, Suite 500, Ft. Lauderdale, FL 33301

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Agency: Department of Corrections

Contact Person: Charles Martin, Assistant General Counsel Phone: (850) 717-3611

Names of the Parties: Jabbaar Abdul A/K/A Mujaahid Abdul Jabaar, v. Mark Inch and Jerrod Hunter

Court with Jurisdiction: United States District Court, Northern District of Florida, Tallahassee Division

Case Number: 4:21-cv-153-MW/MJF

Summary of Complaint: Plaintiff claims that staff forced him to shave his beard, which is maintained as part of his faith.

Amount of the Claim: Plaintiff seeks nominal, compensatory, punitive damages, and injunctive relief.

Specific Law(s) Challenged: No specific state law is challenged. The Plaintiff alleges a violation of 42 U.S.C. §2000 (RLUIPA), and the First Amendment of the US Constitution.

Status of the Case: Plaintiff's request for a preliminary injunction is pending. Defendant's motion to stay filed August 13, 2021, is pending.

Agency Attorneys: Kristen Lonergan, Esq., Office of the Attorney General, PL-01, The Capitol, Tallahassee, FL 32399-1050.

Plaintiff Attorney: Pro Se

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Agency: Department of Corrections

Contact Person: Charles Martin, Assistant General Counsel Phone: (850) 717-3611

Names of the Parties: Jarrod Blackwood, v. Mark Inch

Court with Jurisdiction: Second Judicial Circuit, Leon County, Florida

Case Number: 2021-CA-00511

Summary of Complaint: Plaintiff is an adherent to the Islamic faith and alleges that he is required to grow his beard to a fist length. Plaintiff alleges that he has been compelled to shave his beard below one half inch.

Amount of the Claim: Plaintiff seeks nominal and compensatory damages and injunctive relief.

Specific Law(s) Challenged: The Plaintiff alleges a violation of Article I, Section 3 of the Florida Constitution, Section 761.03, Florida Statutes, and the Fourteenth Amendment of the US Constitution.

Status of the Case: Defendant's motion to dismiss and motion to stay discovery filed August 2, 2021, are pending.

Agency Attorneys: Kristen Lonergan, Esq., Office of the Attorney General, PL-01, The Capitol, Tallahassee, FL 32399-1050.

Plaintiff Attorney: Pro Se

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Agency: Department of Corrections

Contact Person: Charles Martin, Assistant General Counsel Phone: (850) 717-3611

Names of the Parties: Sylvester Brown v. Frost, et al..

Court with Jurisdiction: United States District Court, Middle District of Florida, Fort Myers Division
Case Number: 2:20-cv-828

Summary of Complaint: Plaintiff claims that the defendants forced him to cut his hair and shave which is against his Hebrew Israelite religion.

Amount of the Claim: Plaintiff seeks declaratory relief, nominal damages, and punitive damages

Specific Law(s) Challenged: No specific state law is challenged. The Plaintiff alleges a violation of 42 U.S.C. §2000 (RLUIPA) and the Fourteenth Amendment of the US Constitution.

Status of the Case: Some of the named Defendants have been recently served. An Answer has not been filed.

Agency Attorneys: David Asti, Esq., Office of the Attorney General, Tampa Civil Litigation Bureau, PL-01 Concourse Center IV, 3507 E. Frontage Road, Suite 150, Tampa, FL 33607.

Plaintiff Attorney: Pro Se

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Agency: Department of Corrections

Contact Person: Charles Martin, Assistant General Counsel Phone: (850) 717-3611

Names of the Parties: Abdul Hakeem Jahmal Naseer Shabazz a.k.a. Owen Denson, Jr. v. Mark S. Inch, Sec’y, Fla. D.O.C.

Court with Jurisdiction: United States District Court, Middle District of Florida, Fort Myers Division
Case Number: 2:17-cv-00648-JES-UAM

Summary of Complaint: Plaintiff, a Sunni Muslim, claims that enforcement of the grooming policy limiting his beard to no longer than 1/2” violates his rights under RLUIPA.

Amount of the Claim: Plaintiff seeks declaratory and injunctive relief.

Specific Law(s) Challenged: No state law is specifically challenged. The Plaintiff alleges a violation of 42 U.S.C. §2000 (RLUIPA)

Status of the Case: Plaintiff’s Fifth Amended Complaint was filed August 11, 2021.

Agency Attorneys: Caryn Siperstein Klein, Esq., Office of the Attorney General, 1515 North Flagler Drive, Suite 900, West Palm Beach, FL 33401.

Plaintiff Attorney: Victor R. Bermudez, Esq. & Todd B. Allen, Esq., 13180 Livingston Road, Suite 206, Naples, FL 34109.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Jac'Quann (Admire) Harvard, et al. v. Mark Inch, in his official capacity as Secretary of the Florida Department of Corrections, and Florida Department of Corrections, an Agency of the State of Florida

Court with Jurisdiction: United States District Court, Northern District of Florida, Tallahassee Division

Case Number: 4:19cv212-MW-CAS

Summary of Complaint: Plaintiffs allege that the policies and practices of the Department subject Plaintiffs and Plaintiff class to a risk of serious harm and deprives them of the minimal civilized measure of life's necessities and human dignity through excessive and inappropriate use of isolation.

Amount of the Claim: The complaint seeks declaratory and injunctive relief.

Specific Law(s) Challenged: No state law is specifically challenged. The complaint claims a violation of the Eighth and Fourteenth Amendments of the US Constitution, ADA, and Rehabilitation Act.

Status of the Case: The Department's answer was filed. The parties are engaged in discovery. The parties file monthly status reports to the court regarding discovery.

Agency Attorneys: Daniel Gerber, Esq. and Samantha Duke, Esq., 300 S. Orange Avenue, Orlando, Florida 32801 and Nicole Smith, Esq., 101 North Monroe Street, Ste. 120, Tallahassee, Florida 32301.

Plaintiffs' Attorneys: Christopher Jones, Esq. and Andrea Costello, Esq., 14260 W. Newberry Road, Suite 412, Newberry, Florida 32669, Alexis Alvarez, Esq., Rebecca Klonel, Esq. and Rachel Ortiz, Esq., P.O. Box 533986, Orlando, Florida 32853, Dante Pasquale Trevisani, Esq., Sam Thypin-Bermeo, Esq., Kara Wallis, Esq., Marcel Lilavois, Jr., Esq., and Laura Ferro, Esq., P.O. Box 370747, Miami, Florida 33137, Leonard Laurenceau, Esq., 2 S. Biscayne Blvd., 32nd Floor, Miami, Florida 33131, Kelly Knapp, Esq., P.O. Box 12463, Miami, Florida 33101, Krista Dolan, Esq., 106 E. College Ave., Suite 1010, Tallahassee, Florida 32301, and Marta Jaszczolt, Esq., 400 Washington Ave., Montgomery, AL 36104.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Carl Hoffer, Ronald McPherson, and Roland Molina, individually and on behalf of a Class of persons similarly situated v. Julie L. Jones

Court with Jurisdiction: Eleventh Circuit Court of Appeals, Atlanta, Georgia

Case Number: 4:17cv214-MW/CAS(Northern District)

Summary of Complaint: Plaintiffs state that the Department is not giving inmates with hepatitis C the treatment that they need. The Plaintiffs are seeking to have this case deemed a class action lawsuit. In addition to filing a complaint, the Plaintiffs filed a motion for preliminary injunction and motion to certify class.

Amount of the Claim: The complaint seeks declaratory and injunctive relief.

Specific Law(s) Challenged: No state law is specifically challenged. The complaint claims a violation of the Eighth Amendment of the US Constitution, ADA, and Rehabilitation Act.

Status of the Case: On August 31, 2020, the Eleventh Circuit Court of Appeals issued an opinion reversing the district court's order mandating DAA treatment for F0 and F1 level inmates and remanding the case back to the district court with instructions to award summary judgment to the Secretary on this case. The Eleventh Circuit also vacated the remainder of the district court's order and injunction and remanded with the instruction for the district court to make findings required by the PLRA. On October 23, 2020, the Eleventh Circuit issued an order denying the petition for rehearing en banc. On December 4, 2020, the Department filed a motion to dismiss for lack of jurisdiction as moot. The parties entered into a settlement agreement after remand. On August 11, 2021, the court issued an order dismissing the case. **This case is considered closed and will be removed from the report for the next fiscal period.**

Agency Attorney: Bilal Faruqi, Esq., Office of the Attorney General, Department of Legal Affairs, PL-01, The Capitol, Tallahassee, Florida 32399.

Plaintiffs' Attorneys: Dante Pasquale Trevisani, Esq., Erica Selig, Esq., Ray Taseff, Esq. Esq., 3750 Bank of America Tower, 100 SE Second Street, Miami, Florida 33131.

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Agency: Department of Corrections

Contact Person: Charles Martin, Assistant General Counsel Phone: (850) 717-3611

Names of the Parties: Jamie Barnhill v. Mark Inch

Court with Jurisdiction: United States District Court, Northern District of Florida, Tallahassee Division

Case Number: 4:18cv564

Summary of Complaint: Plaintiff is a transgender woman who is currently in FDC custody and alleges that she is denied medically necessary treatment for her Gender Dysphoria.

Amount of the Claim: The complaint seeks declaratory and injunctive relief.

Specific Law(s) Challenged: The complaint claims a violation of 42 U.S.C. §1983, and Eighth and Fourteenth Amendment of the US Constitution.

Status of the Case: Motion for Summary Judgment Granted October 13, 2020. **This case is considered closed and will be removed from the report for the next fiscal year.**

Agency Attorneys: Kristen Lonergan, Esq., and Marcus Graper, Esq., Office of the Attorney General, The Capitol, Ste PL-01, 400 S. Monroe Street, Tallahassee, Florida 32399.

Plaintiff's Attorney: Pro Se.

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Agency: Department of Corrections

Contact Person: Sean J. Anderson, Assistant General Counsel Phone: (850) 717-3597

Names of the Parties: Reilyn Keohane v. Julie Jones, et al

Court with Jurisdiction: United States District Court, Northern District of Florida, Tallahassee Division

Case Number: 4:16cv511

Summary of Complaint: Plaintiff is a transgender woman who is currently in the custody of FDC and is allegedly being denied medically necessary treatment for her Gender Dysphoria. Plaintiff brings this action to compel Defendants to treat her serious medical need consistent with her constitutional rights under the Eighth Amendment to the United States Constitution.

Amount of the Claim: The complaint seeks declaratory and injunctive relief.

Specific Law(s) Challenged: No state law is specifically challenged. The Complaint claims a violation of the Eighth Amendment of the United States Constitution.

Status of the Case: On March 11, 2020, the 11th Circuit Court of Appeals vacated the District Court's Order declaring Defendant's Former Procedure 602.053 unconstitutional. On December 3, 2020, the 11th Circuit issued an order denying the petition for rehearing en banc. On December 11, 2020, the court issued its mandate. On December 23, 2020, a consent motion to stay the case pending any Supreme Court review was filed in the district court and the court subsequently issued an order granting the motion. On March 9, 2021, Plaintiff/Appellee filed a motion to recall mandate and vacate prior opinion in the Eleventh Circuit Court of Appeals. On March 26, 2021, the Department's response to the motion was filed and Plaintiff/Appellee filed a reply. On April 5, 2021, the Eleventh Circuit issued an order denying the motion to recall mandate. The Plaintiff/Appellee has filed a petition for writ of certiorari in the United States Supreme Court. The Department's brief in opposition to the petition for certiorari was filed on June 1, 2021. On June 15, 2021, Plaintiff/Appellee filed a reply to the Department's brief in opposition to the petition for certiorari.

Agency Attorneys: Kirkland Reid, The Finley Firm, 200 13th St, Columbus, Ga, 31901.

Plaintiff's Attorneys: Matthew Grosack, DLA Piper US LLP, 200 S Biscayne Blvd, Ste 2500, Miami, FL 33131; Daniel Tilley, ACLU Foundation of Florida, Inc., 4500 Biscayne Blvd, Ste 340, Miami, FL 33137 .

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August 23, 2021

Agency: Department of Corrections

Contact Person: Sean J. Anderson, Assistant General Counsel Phone: (850) 717-3597

Names of the Parties: Donald Martinetti v. Kenneth S. Tucker, Secretary of the Florida Department of Corrections, in his official capacity

Court with Jurisdiction: United States District Court, Southern District of Florida, West Palm Beach Division

Case Number: 11cv81146-Hurley/Hopkins

Summary of Complaint: Plaintiff alleges that he is confined to a wheelchair due to degenerative disc disease of the spine. Plaintiff claims that the Department failed to comply with the ADA act by failing to develop a transition plan for structural compliance for facilities built after 1992 and failed to make modifications to allow compliance with the act in facilities built. Plaintiff also alleges that there was a failure to follow a medical specialist's recommendations, failure to provide disability aids, and failure to have the ADA coordinator respond to grievances. The case has been settled.

Amount of the Claim: The complaint seeks declaratory and injunctive relief.

Specific Law(s) Challenged: No state law is specifically challenged. The complaint claims a violation of Title II of the ADA and Rehabilitation Act.

Status of the Case: The parties entered into a settlement agreement in December 2012; however the Plaintiff claims FDC has failed to comply with the terms of the settlement. The Plaintiff filed a motion to re-open the case and enforce the stipulations of settlement. The parties were ordered in June 2016 to work towards submitting a proposed stipulated order to resolve the motion. There has been no activity in this case since June 2016.

Agency Attorneys: John Bajger, Esq. Office of the Attorney General, 1515 N. Flagler Drive, 9th Floor, West Palm Beach, Florida 33401.

Plaintiff's Attorneys: Karen Marcell, Esq., and Michael Colgan, Esq., Katzman, Garfinkel and Berger, 300 North Maitland Avenue, Maitland, Florida 32751 and Lawrence Fuller, Esq., Fuller and Fuller, PA., 12000 Biscayne Blvd., Suite 609, North Miami, Florida 33181.

Schedule VII: Agency Litigation Inventory
Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2021

Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Henry Sireci v. Florida State Prison, et al.

Court with Jurisdiction: United States District Court, Middle District of Florida, Orlando Division

Case Number: 6:13cv631-ACC-KRS

Summary of Complaint: Plaintiff states that Florida’s lethal injection is unnecessarily risky with infliction of pain and suffering and creates a substantial risk of serious harm.

Amount of the Claim: The complaint seeks declaratory and injunctive relief.

Specific Law(s) Challenged: No state law is specifically challenged. The Complaint claims a violation of the Eighth and Fourteenth Amendments of the United States Constitution.

Status of the Case: On February 13, 2020, the court issued an order dismissing this case without prejudice. **This case is considered closed and will be removed from the report for the next fiscal year.**

Agency Attorney: Scott A. Browne, Esq., Office of the Attorney General, 3507 E. Frontage Road, Suite 200, Tampa, Florida 33607.

Plaintiff’s Attorneys: Maria E. DeLiberato, Esq. and Julissa R. Fontan, Esq., Capital Collateral Regional Counsel, 12973 N. Telecom Parkway, Temple Terrace, Florida 33637, and Moe Keshavarzi, Esq., 333 S. Hope Street, Los Angeles, CA 90071.

Schedule VII: Agency Litigation Inventory
Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2021

Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Durrell Sims v. Mark Inch

Court with Jurisdiction: Eleventh Circuit Court of Appeals, Atlanta, Georgia

Case Number: 19-13745(Eleventh Circuit); 4:16cv49(Northern District)

Summary of Complaint: Plaintiff alleges that the Department's grooming policy violates his rights under the First Amendment and RLUIPA to practice his religion freely by prohibiting him from wearing a fist length beard.

Amount of the Claim: The complaint seeks declaratory and injunctive relief.

Specific Law(s) Challenged: No state law is specifically challenged. The Complaint claims a violation of the First Amendment of the United States Constitution and RLUIPA.

Status of the Case: The District Court issued an order granting the injunction to allow the Plaintiff to wear a fist length beard. The case is currently on appeal. Oral arguments were held on May 14, 2021.

Agency Attorneys: Amit Agarwal, Esq. and James Hamilton Percival, II, Esq., Office of the Attorney General, Department of Legal Affairs, PL-01, The Capitol, Tallahassee, Florida 32399.

Plaintiff's Attorneys: Paul Hancock, Esq., Olivia Kelman, Esq., and Joshua Carpenter, Esq. 200 S. Biscayne Blvd., Suite 3900, Miami, Florida 33131.

Schedule VII: Agency Litigation Inventory
Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2021

Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Durrell Sims v. Mark Inch

Court with Jurisdiction: Nineteenth Judicial Circuit Court, Martin County, Florida

Case Number: 2020CA181

Summary of Complaint: Plaintiff alleges that the Department is violating his rights to practice his religion by shaving his beard.

Amount of the Claim: The complaint seeks damages and injunctive relief.

Specific Law(s) Challenged: No state law is specifically challenged.

Status of the Case: The Department's motion to dismiss is pending.

Agency Attorney: Caryn Siperstein-Klein, Esq., Office of the Attorney General, 110 S.E. 6th Street, 10th Floor, Ft. Lauderdale, Florida 33301.

Plaintiff Attorney: Pro Se.

Schedule VII: Agency Litigation Inventory
Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2021

Agency: Department of Corrections

Contact Person: Alexandria Williams, Attorney Supervisor Phone: (850) 717-3603

Names of the Parties: Lester Watson v. Mark Inch, et al.

Court with Jurisdiction: United States District Court, Southern District of Florida, Miami Division

Case Number: 21-21945

Summary of Complaint: Plaintiff alleges that the Department's grooming policy violates his rights under the First and Fourteenth Amendments and RLUIPA to practice his religion freely by prohibiting him from wearing a fist length beard.

Amount of the Claim: The complaint seeks damages and declaratory and injunctive relief.

Specific Law(s) Challenged: No state law is specifically challenged. The Complaint claims a violation of the First and Fourteenth Amendments of the United States Constitution and RLUIPA.

Status of the Case: On August 13, 2021, the court issued an order staying the case pending a resolution in *Smith v. Dozier*, No. 19-3520 and *Sims v. Inch*, No. 19-13745.

Agency Attorney: Christopher Kondziela, Esq., Office of the Attorney General, 110 S.E. 6th Street, 10th Floor, Ft. Lauderdale, Florida 33301.

Plaintiff's Attorney: Omar Selah, Esq., 8076 N. 56th Street, Tampa, Florida 33617.

Schedule VII: Agency Litigation Inventory
Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2021

Agency: Department of Corrections

Contact Person: Todd Studley, Attorney Supervisor Phone: (850) 717-3596

Names of the Parties: Florida Police Benevolent Association (PBA) vs. State of Florida

Court with Jurisdiction: Public Employees Relations Commission (PERC) and Florida District Court of Appeal

Case Number: PERC: CA-2020-021, CA-2020-022; DCA: 1D19-4096; LT 19-CA-1168

Summary of Complaint: Security Services Unit (SSU) Collective Bargaining Agreement Contract Language Dispute (Article 23 – Hours of Work). PBA objects to any modification from a 12-hour work day for certified officers.

Amount of the Claim: Relief requested is return certified officers to a 12-hour shift and attorney fees estimated in excess of \$100,000.

Specific Law(s) Challenged: §110.105, §110.219, §447.309, §447.403, §447.501, §682.13, 2020 Fla. H.B. 5005; Ch. 2020-115, §1(6);2019 GAA, Specific Appropriations: 615, 622, 640, 647; 2020 GAA, Specific Appropriations: 615A, 615C, 615K, 615N; Article 23 of the SSU Collective Bargaining Agreement

Status of the Case: Case has been resolved via a settlement agreement authorizing the Department’s use of 8.5 hour shifts in the Security Services Collective Bargaining Agreement. **This case is considered closed and will be removed from the report for the next fiscal year.**

Agency Attorneys: Michael Mattimore, Esq., Allen, Norton and Blue

Plaintiff Attorney: Stephanie Webster, PBA General Counsel and the Law Office of Stephen G. Webster, LLC.

Schedule VII: Agency Litigation Inventory
Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2021

Agency: Department of Corrections

Contact Person: Charles Martin, Assistant General Counsel Phone: (850) 717-3611

Names of the Parties: American Civil Liberties Union of Florida, Inc. v. Florida Department of Corrections

Court with Jurisdiction: Second Judicial Circuit, Leon County, Florida

Case Number: 2020 CA 854

Summary of Complaint: The ACLU requested FDOC provide formulas that it uses to calculate inmates' tentative release dates and overall term of incarceration. FDOC has stated that there is no single formula and the combination of formulas and software would be a security risk if released.

Amount of the Claim: Plaintiff seeks production of records.

Specific Law(s) Challenged: The complaint claims a violation of 119.01(1), Florida Statutes (Public Records law).

Status of the Case: Motion for Summary Judgment filed 5/21/21 pending. Non-jury trial is scheduled for November 22, 2021.

Agency Attorneys: Will Hall, Esq. & John Wharton, Esq., Dean Mead and Dunbar, 215 S. Monroe St, Ste 815, Tallahassee, FL 32301.

Plaintiff Attorney: Benjamin Stevenson, Esq., ACLU Foundation of Florida, 3 W. Garden St. Ste 712, Pensacola, FL 32502.

Schedule VII: Agency Litigation Inventory
Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2021

Agency: Department of Corrections

Contact Person: Charles Martin, Assistant General Counsel Phone: (850) 717-3611

Names of the Parties: American Civil Liberties Union of Florida, Inc. v. Florida Department of Corrections

Court with Jurisdiction: Second Judicial Circuit, Leon County, Florida

Case Number: 2019 CA 2747

Summary of Complaint: The ACLU requested FDOC provide data that it uses to calculate inmates' tentative release dates and overall term of incarceration. FDOC has stated that it has provided the data as requested and to provide further information would be to create a public record beyond the scope of the public records law.

Amount of the Claim: Plaintiff seeks production of records.

Specific Law(s) Challenged: The complaint claims a violation of 119.01(1), Florida Statutes (Public Records law).

Status of the Case: On May 21, 2021, Department filed a Motion for Summary Judgment. Non-jury trial is scheduled for November 22, 2021.

Agency Attorneys: Will Hall, Esq. & John Wharton, Esq., Dean Mead and Dunbar, 215 S. Monroe St, Ste 815, Tallahassee, FL 32301.

Plaintiff Attorney: Benjamin Stevenson, Esq., ACLU Foundation of Florida, 3 W. Garden St. Ste 712, Pensacola, FL 32502.

Schedule VII: Agency Litigation Inventory
Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2021

Agency: Department of Corrections

Contact Person: Charles Martin, Assistant General Counsel Phone: (850) 717-3611

Names of the Parties: Southern Poverty Law Center (SPLC) v. Florida Department of Corrections

Court with Jurisdiction: Second Judicial Circuit, Leon County, Florida

Case Number: 2020-CA-923

Summary of Complaint: The SPLC requested FDOC provide data that it has collected as to its measure to combat the COVID-19 virus in Florida Prisons. FDOC holds that it has turned over records responsive that are not exempt.

Amount of the Claim: Plaintiff seeks production of records.

Specific Law(s) Challenged: The complaint claims a violation of 119.01(1), Florida Statutes (Public Records law).

Status of the Case: Final Judgment Issued 11/3/20. **This case is considered closed and will be removed from the report for the next fiscal year.**

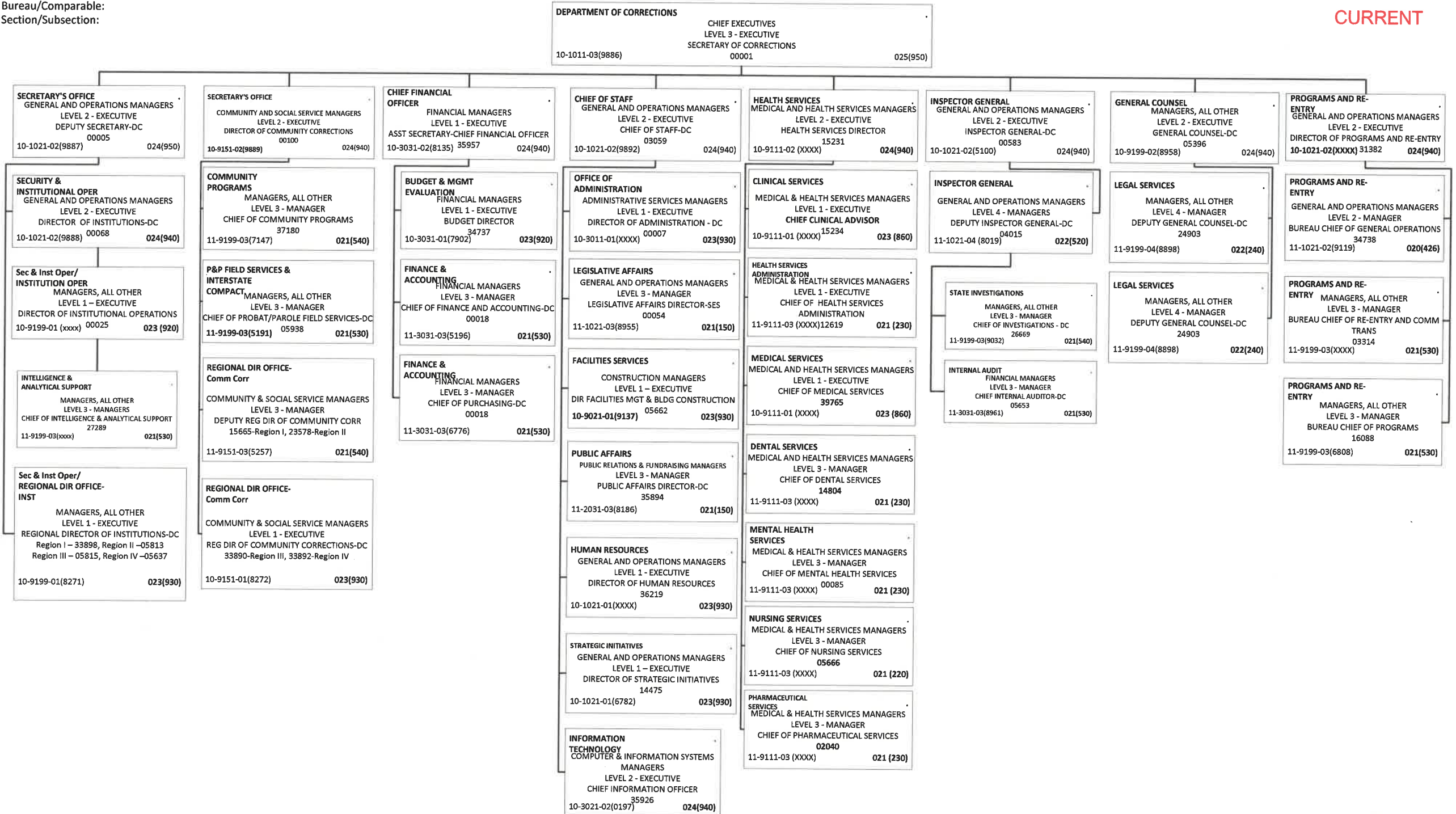
Agency Attorneys: Will Hall, Esq. & John Wharton, Esq., Dean Mead and Dunbar, 215 S. Monroe St, Ste 815, Tallahassee, FL 32301.

Plaintiff Attorney: Leonard Laurenceau, Esq., Southern Poverty Law Center, 2 S. Biscayne Blvd., Suite 3750 Miami, FL 33131.

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable:
 Bureau/Comparable:
 Section/Subsection:

AGENCY OVERVIEW

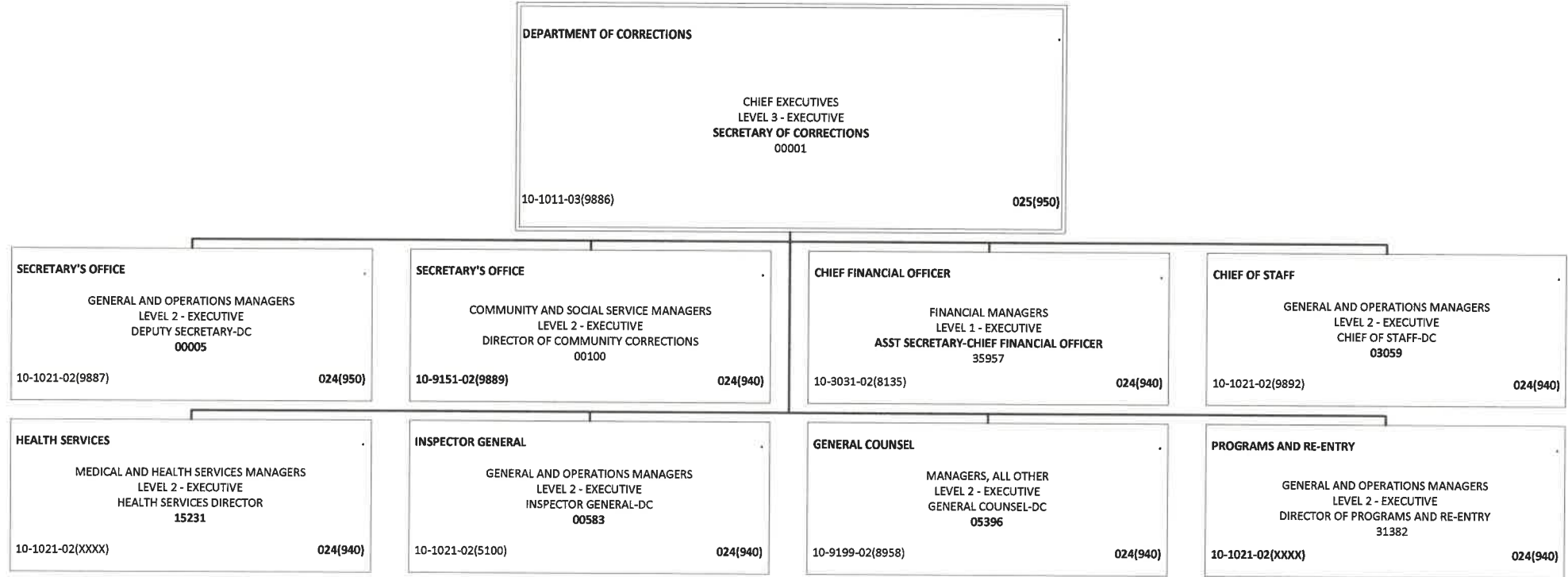
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 Bureau/Comparable:
 Section/Subsection:

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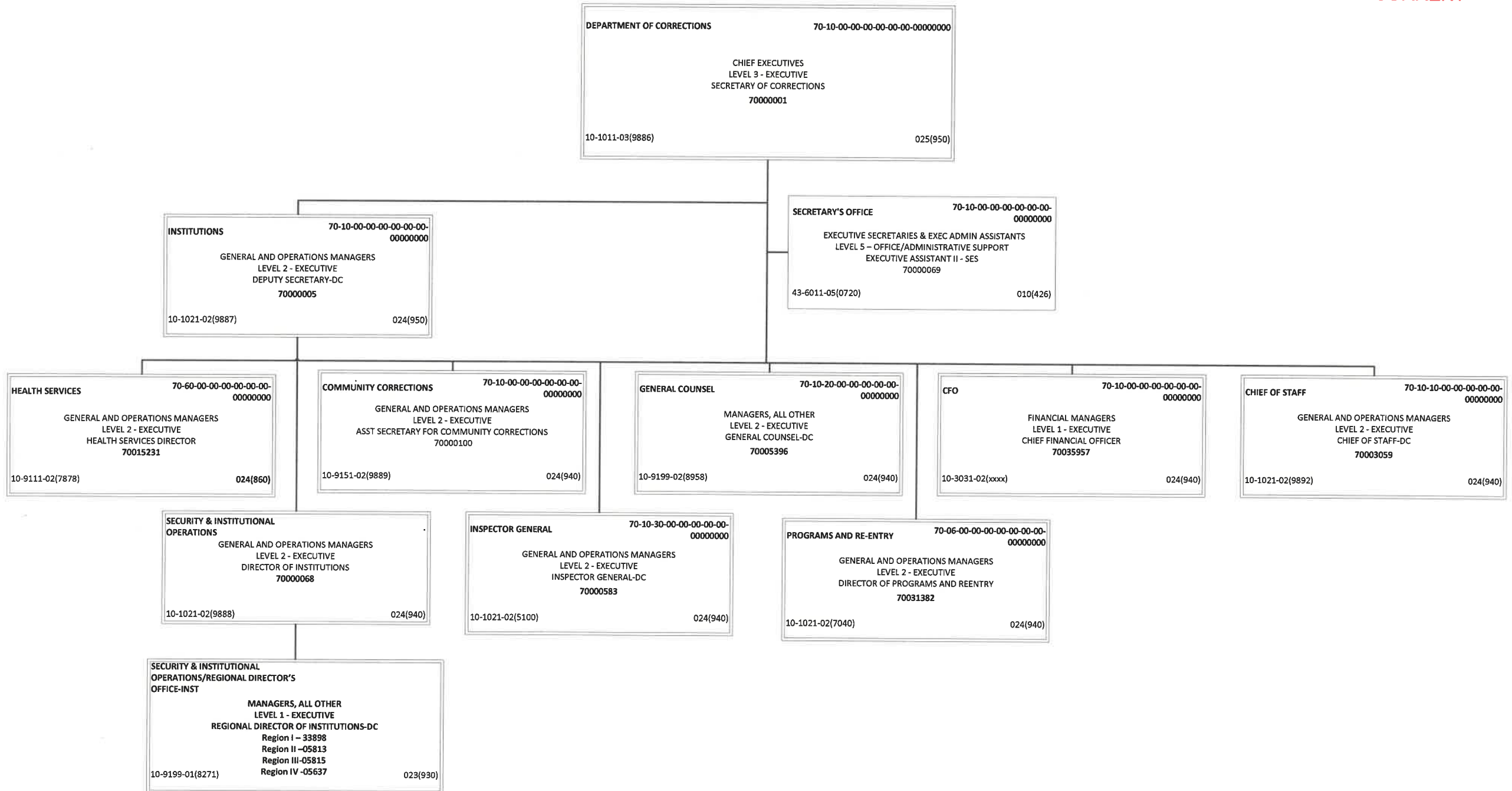
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable:
 Bureau/Comparable:
 Section/Subsection:

SECRETARY'S OFFICE OVERVIEW

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

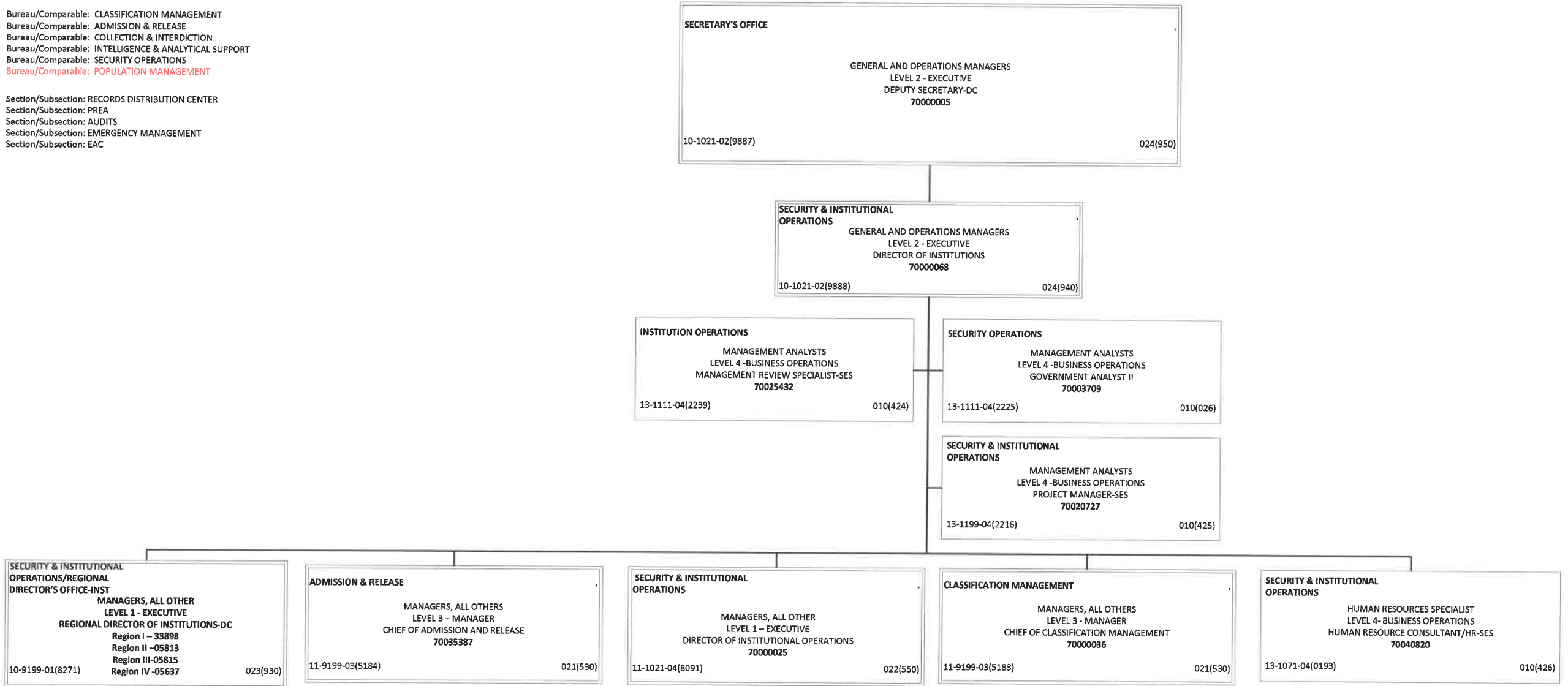
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Bureau/Comparable: CLASSIFICATION MANAGEMENT
Bureau/Comparable: ADMISSION & RELEASE
Bureau/Comparable: COLLECTION & INTERDICTION
Bureau/Comparable: INTELLIGENCE & ANALYTICAL SUPPORT
Bureau/Comparable: SECURITY OPERATIONS
Bureau/Comparable: POPULATION MANAGEMENT

Section/Subsection: RECORDS DISTRIBUTION CENTER
Section/Subsection: PREA
Section/Subsection: AUDITS
Section/Subsection: EMERGENCY MANAGEMENT
Section/Subsection: EAC

DIRECTOR OF INSTITUTIONS OVERVIEW

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

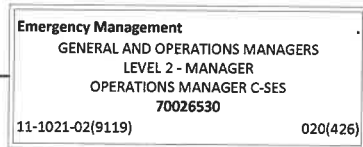
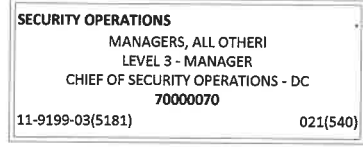
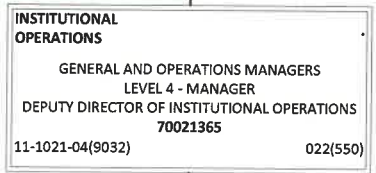
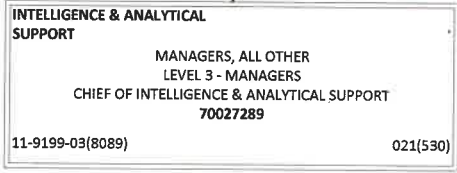
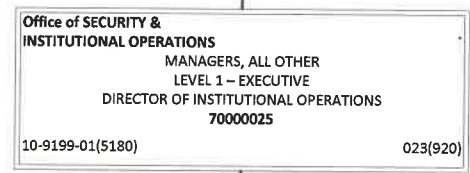
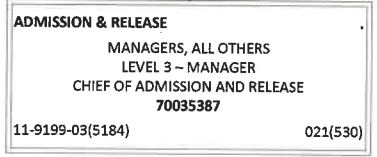
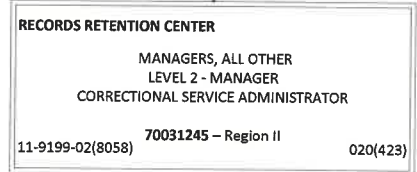
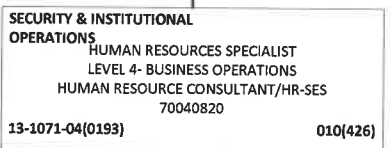
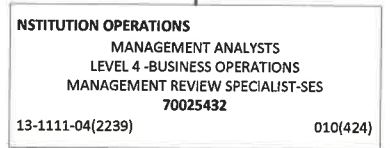
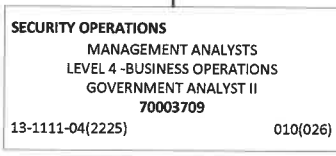
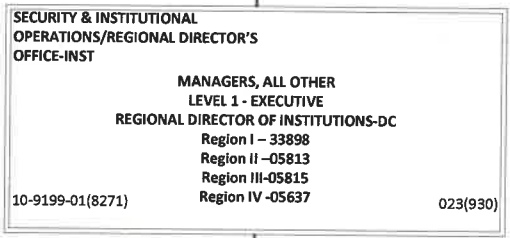
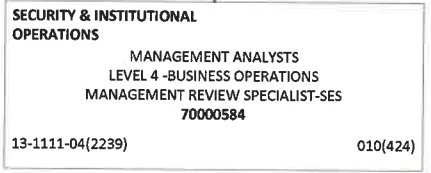
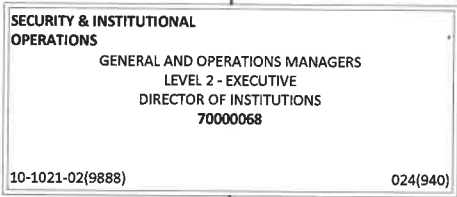
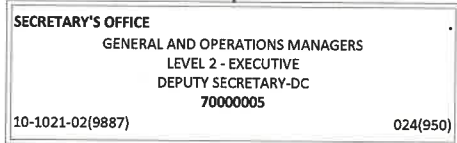
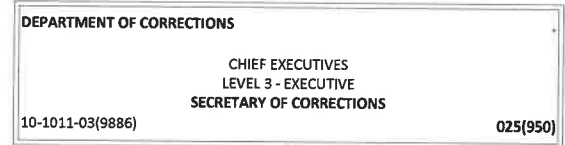
OVERVIEW

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Bureau/Comparable: CLASSIFICATION MANAGEMENT
 Bureau/Comparable: ADMISSION & RELEASE
 Bureau/Comparable: COLLECTION & INTERDICTION
 Bureau/Comparable: INTELLIGENCE & ANALYTICAL SUPPORT
 Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: RECORDS DISTRIBUTION CENTER
 Section/Subsection: POPULATION MANAGEMENT
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 Section/Subsection: AUDITS
 Section/Subsection: EMERGENCY MANAGEMENT
 Section/Subsection: EAC



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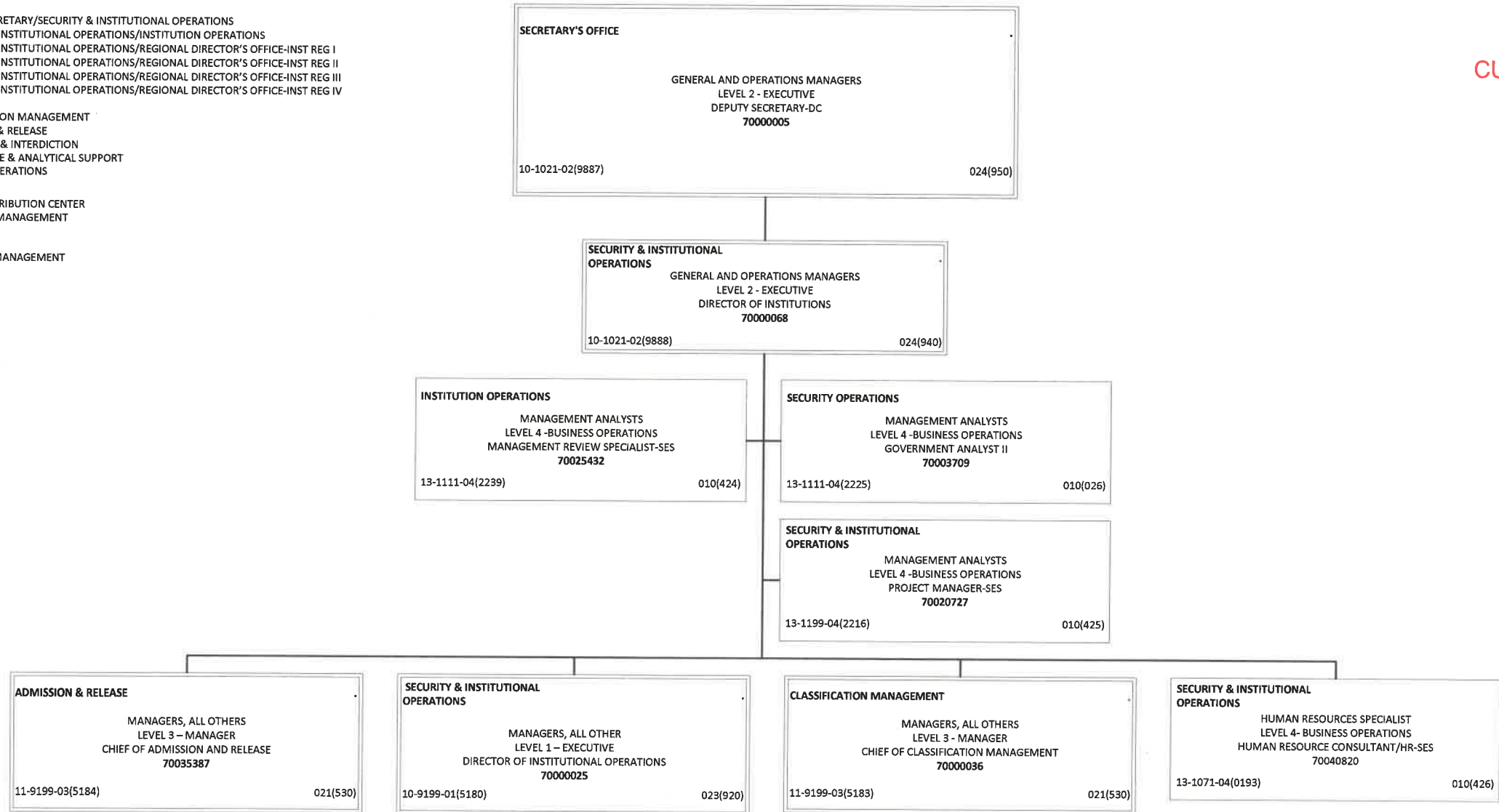
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Name of Agency: DEPARTMENT OF CORRECTIONS

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 Bureau/Comparable: INTELLIGENCE & ANALYTICAL SUPPORT
 Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: RECORDS DISTRIBUTION CENTER
 Section/Subsection: POPULATION MANAGEMENT
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Name of Agency: DEPARTMENT OF CORRECTIONS

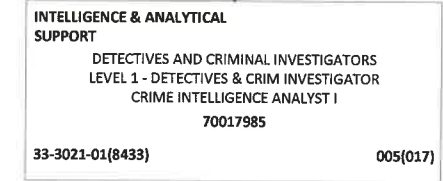
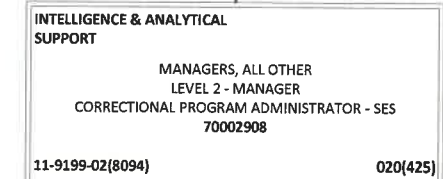
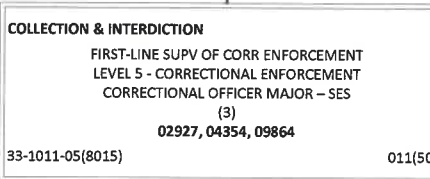
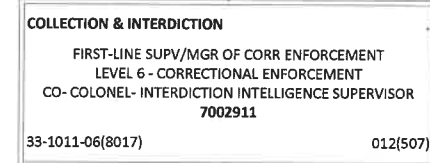
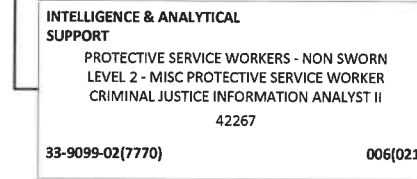
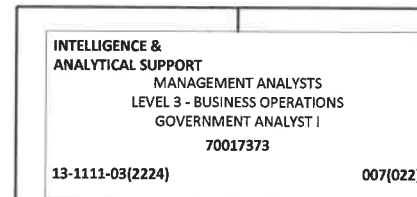
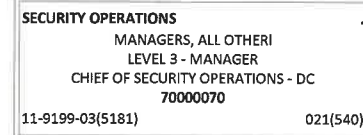
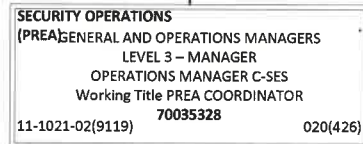
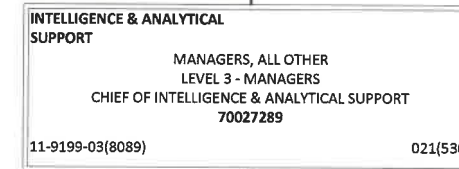
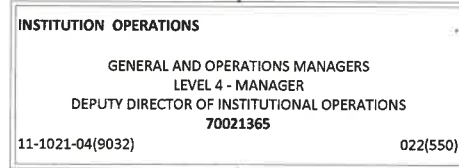
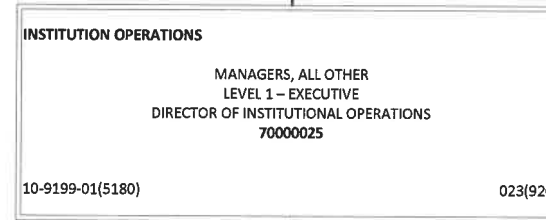
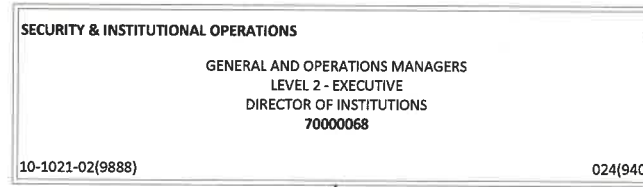
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Bureau/Comparable: COLLECTION & INTERDICTION
Bureau/Comparable: INTELLIGENCE & ANALYTICAL SUPPORT
Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: POPULATION MANAGEMENT
Section/Subsection: PREA
Section/Subsection: AUDITS
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Section/Subsection: EAC

DIR. INSITUTIONAL OPERATIONS - DIRECTOR

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

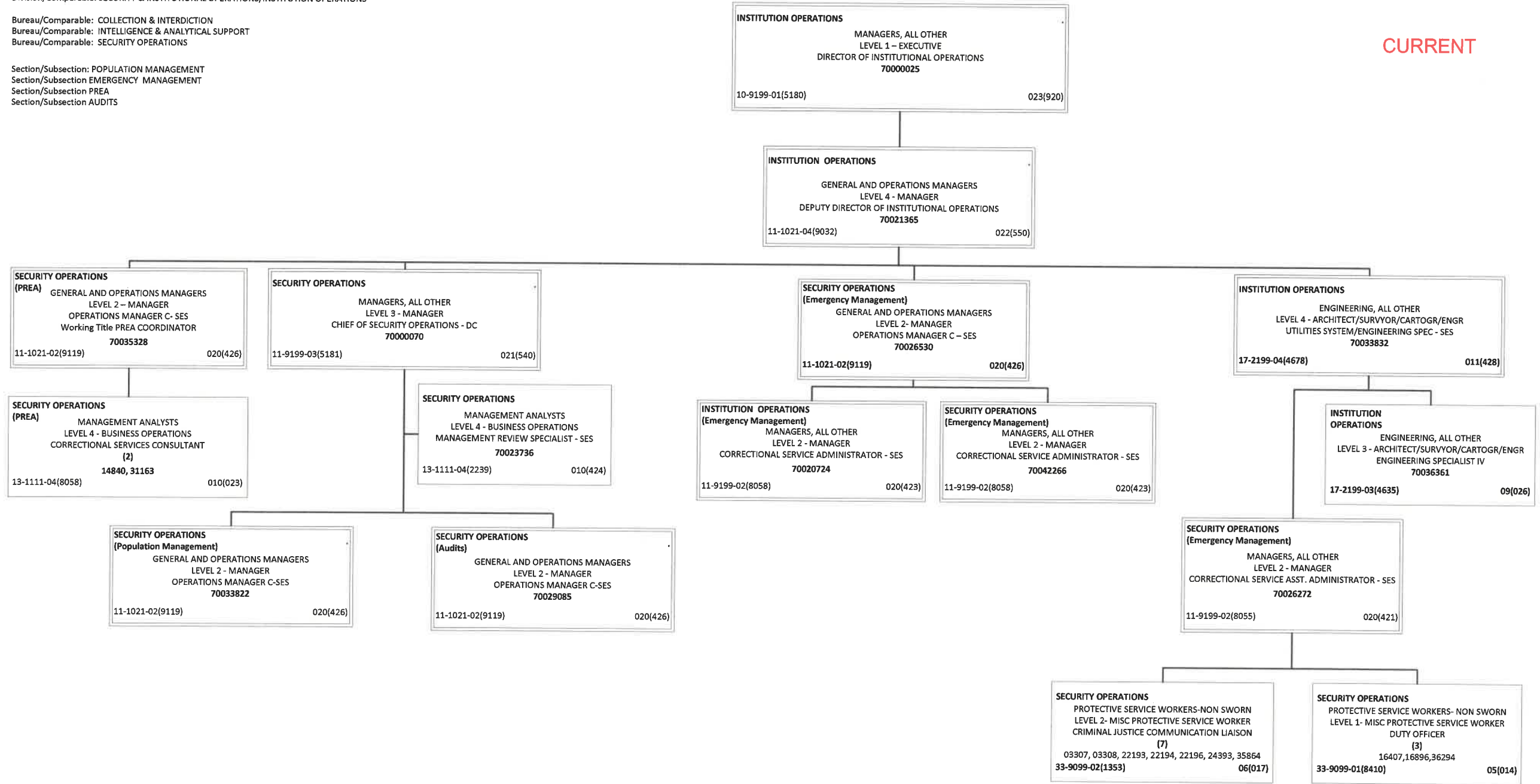
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Bureau/Comparable: COLLECTION & INTERDICTION
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Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: POPULATION MANAGEMENT
Section/Subsection EMERGENCY MANAGEMENT
Section/Subsection PREA
Section/Subsection AUDITS

DEPUTY DIR. INSTITUTIONAL OPERATIONS

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: AUDITS

Section/Subsection: POPULATION MANAGEMENT

CHIEF SECURITY OPERATIONS

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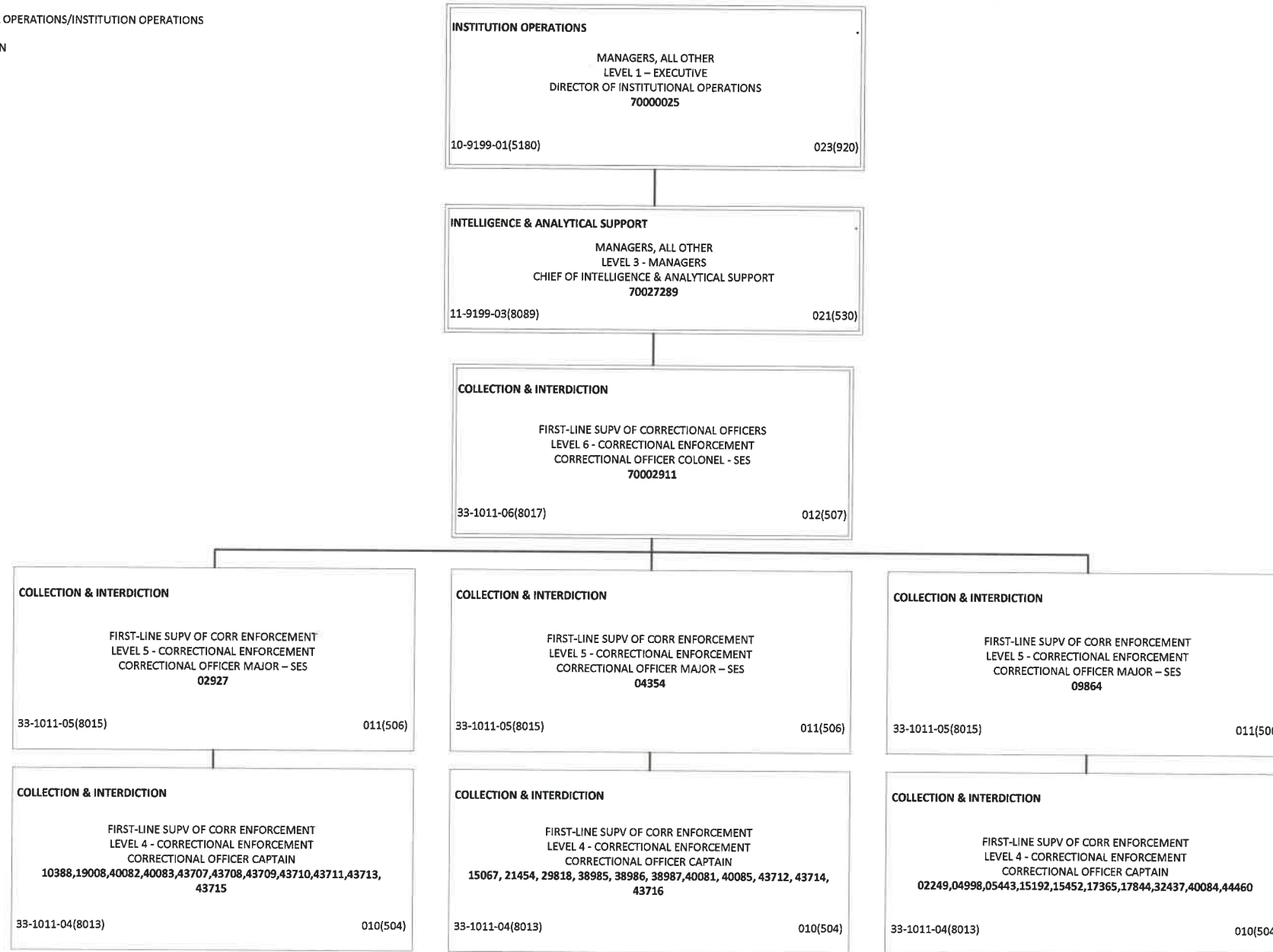
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Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

Bureau/Comparable: COLLECTION & INTERDICTION

COLLECTION & INTERDICTION

CURRENT



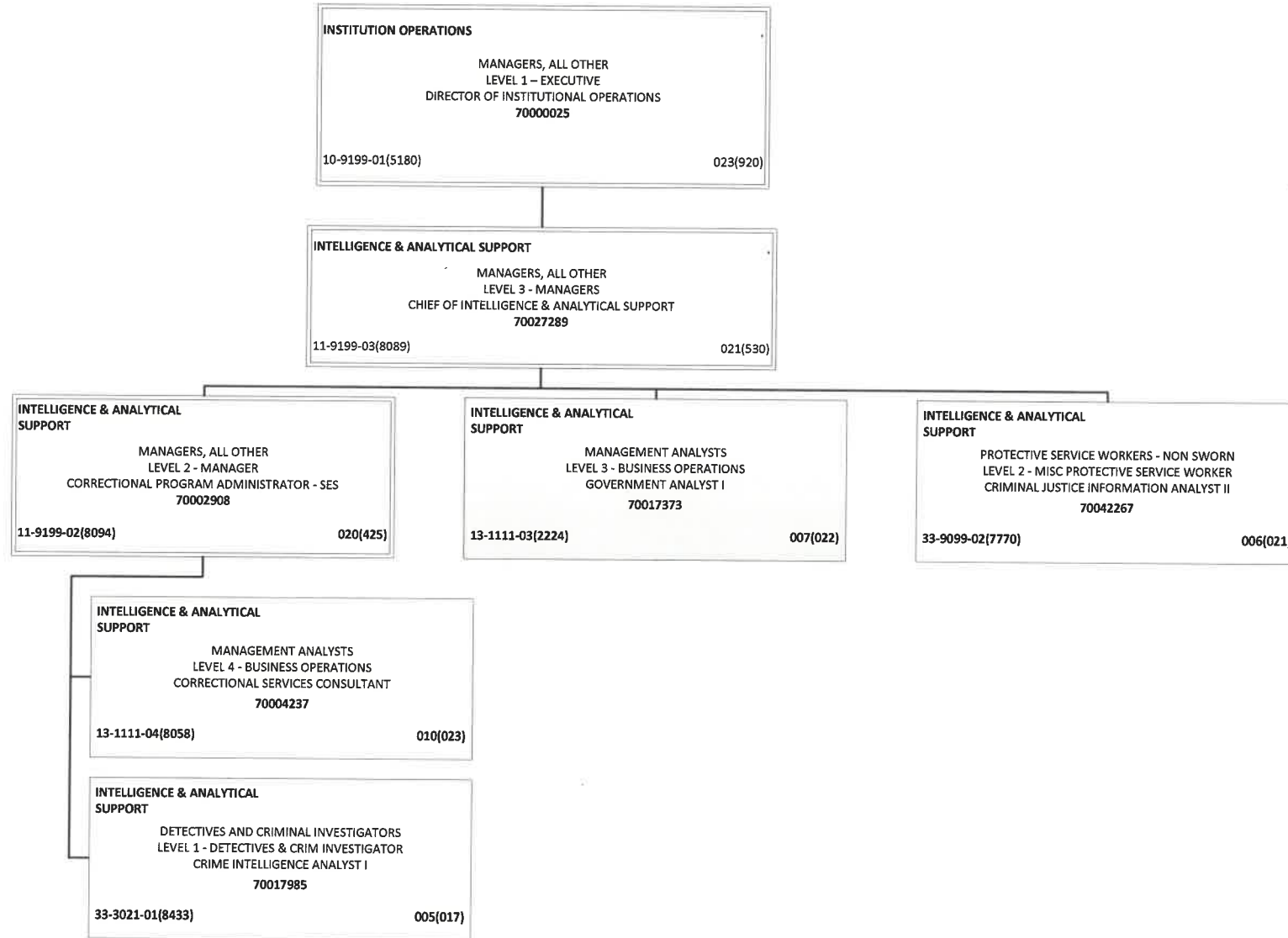
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Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

Bureau/Comparable: INTELLIGENCE & ANALYTICAL SUPPORT

INTELLIGENCE & ANALYTICAL SUPPORT

CURRENT



Position 27289, Operations Manager C – SES was reclassified to Chief of Intelligence & Analytical Support, effective 08/07/2020.

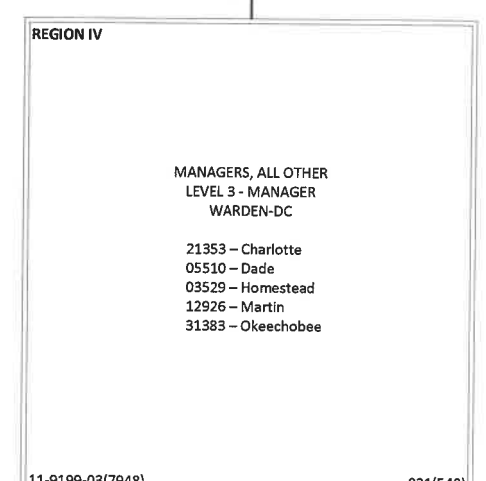
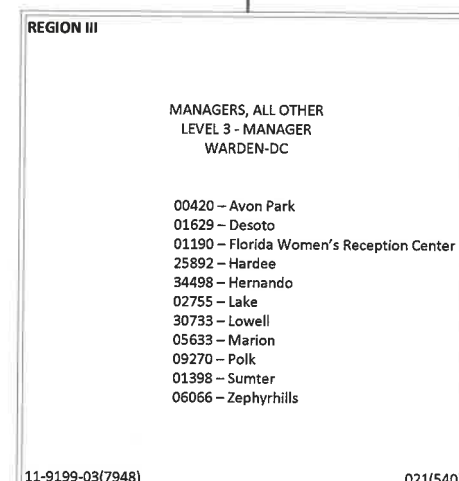
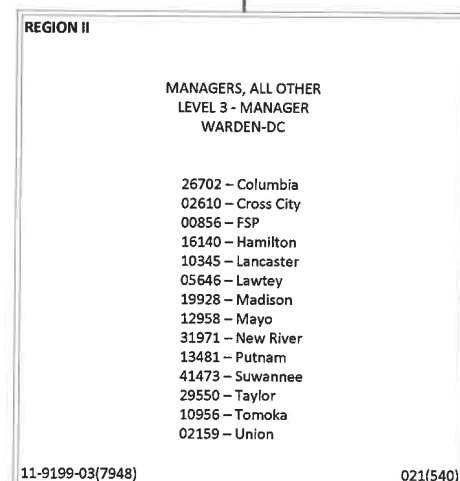
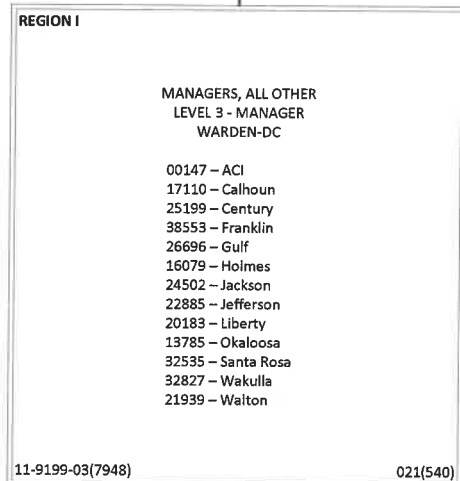
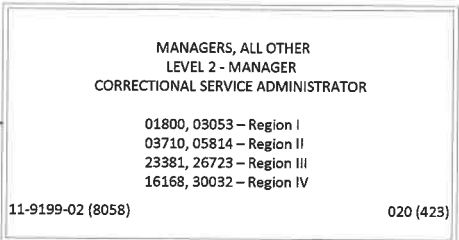
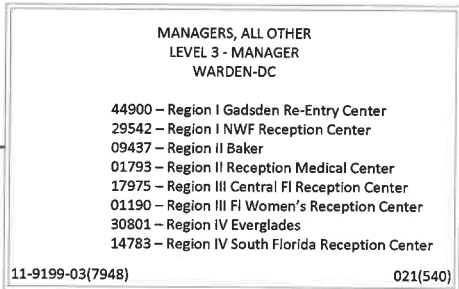
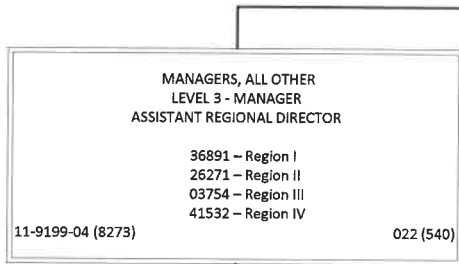
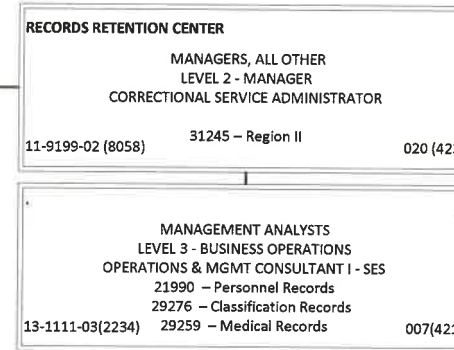
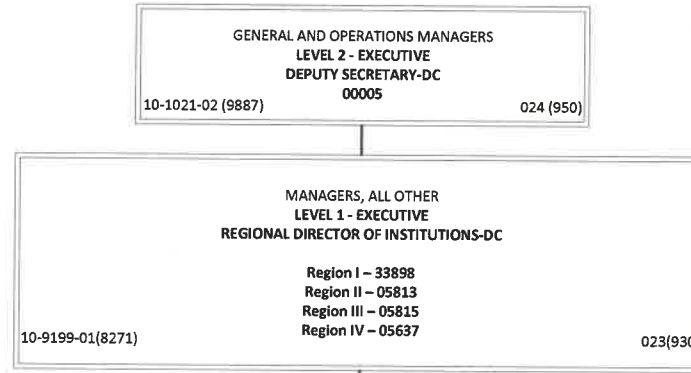
Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG I
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG III
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG IV

Bureau/Comparable: WARDEN'S OFFICE
Section/Subsection: Records Retention Center

REGIONAL DIRECTOR'S OFFICE

CURRENT

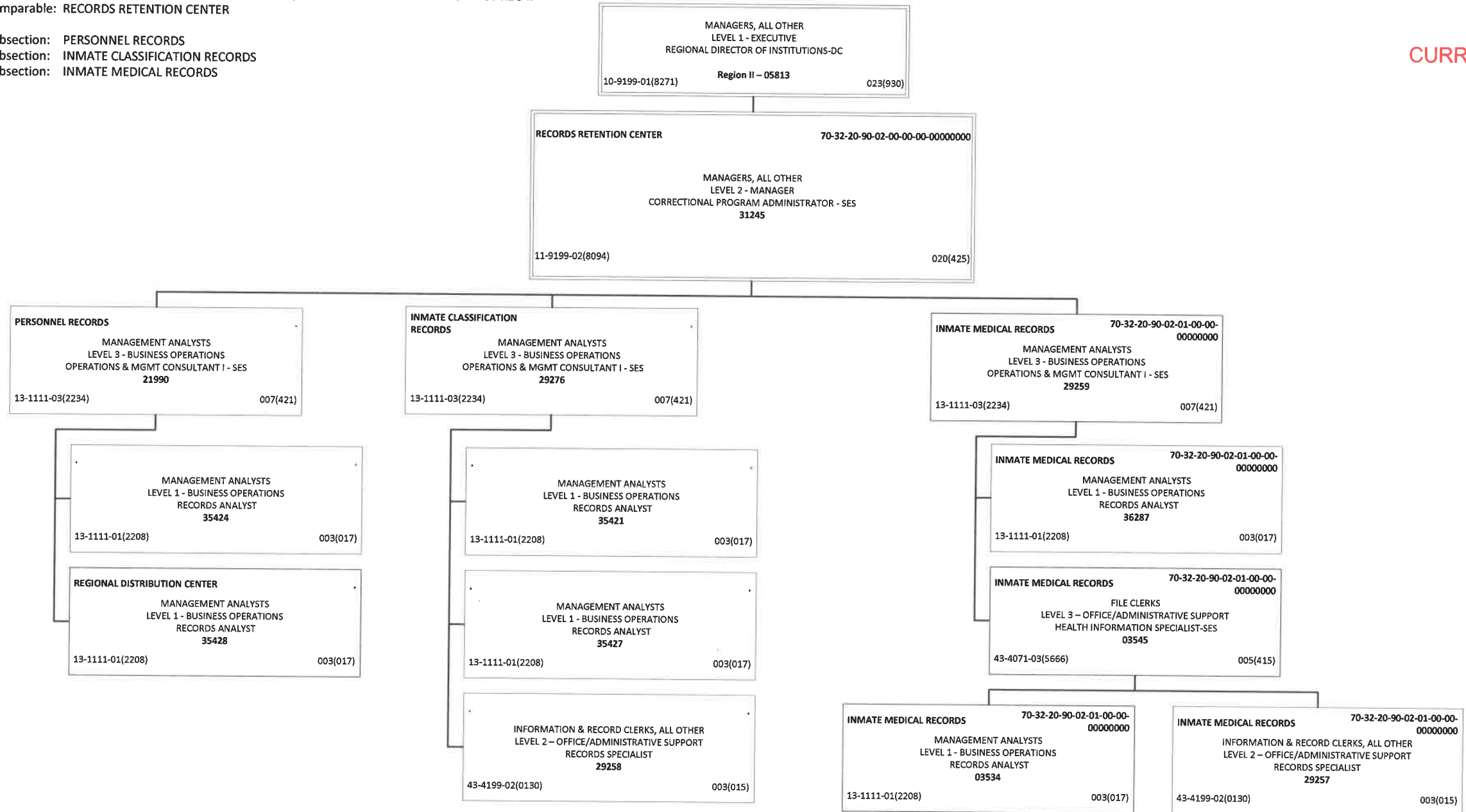


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECORDS RETENTION CENTER

Section/Subsection: PERSONNEL RECORDS
 Section/Subsection: INMATE CLASSIFICATION RECORDS
 Section/Subsection: INMATE MEDICAL RECORDS

REGIONAL DISTRIBUTION CENTER

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

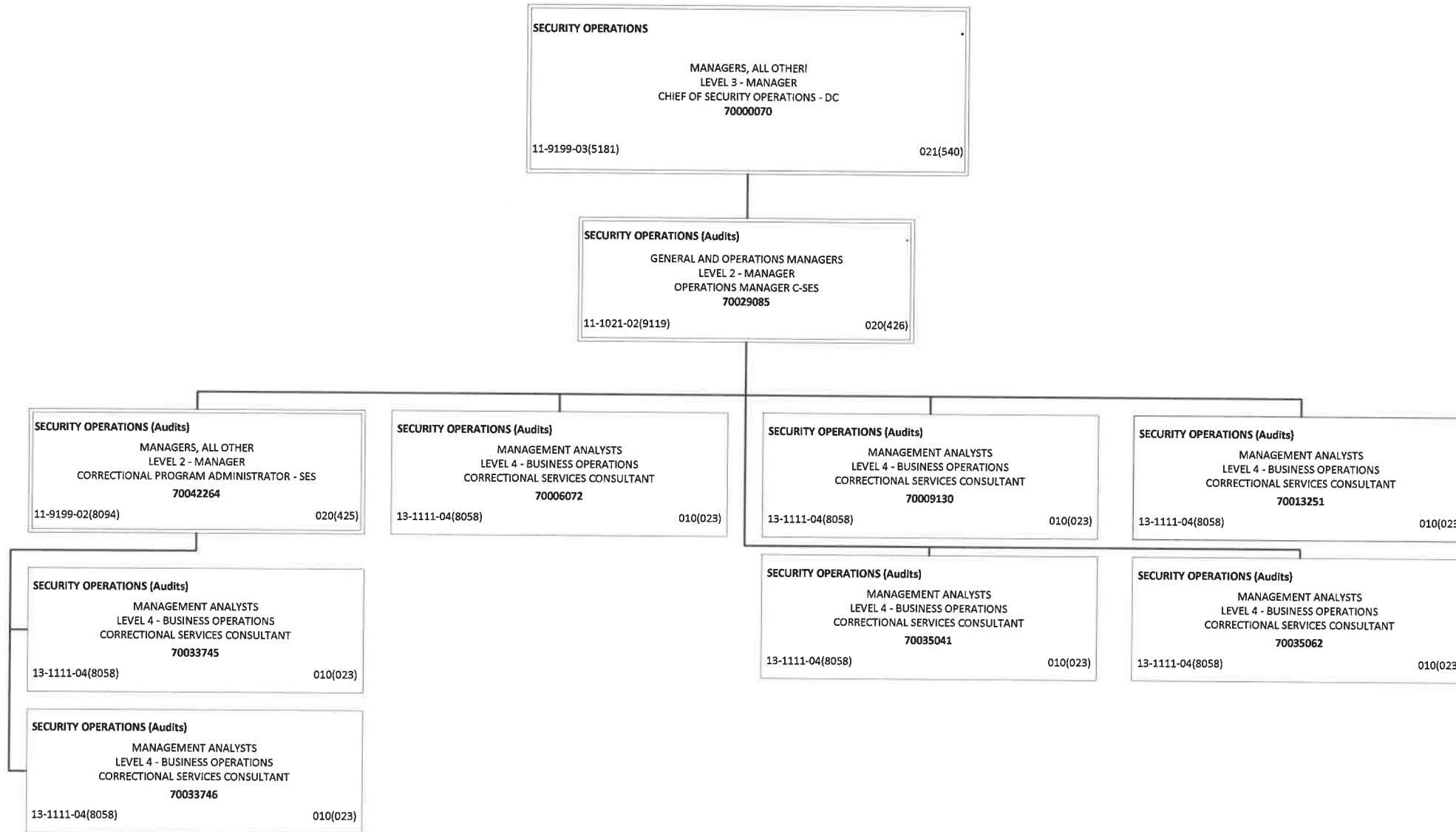
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: AUDITS

SECURITY OPERATIONS Audits (Operations Manager 29085)

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

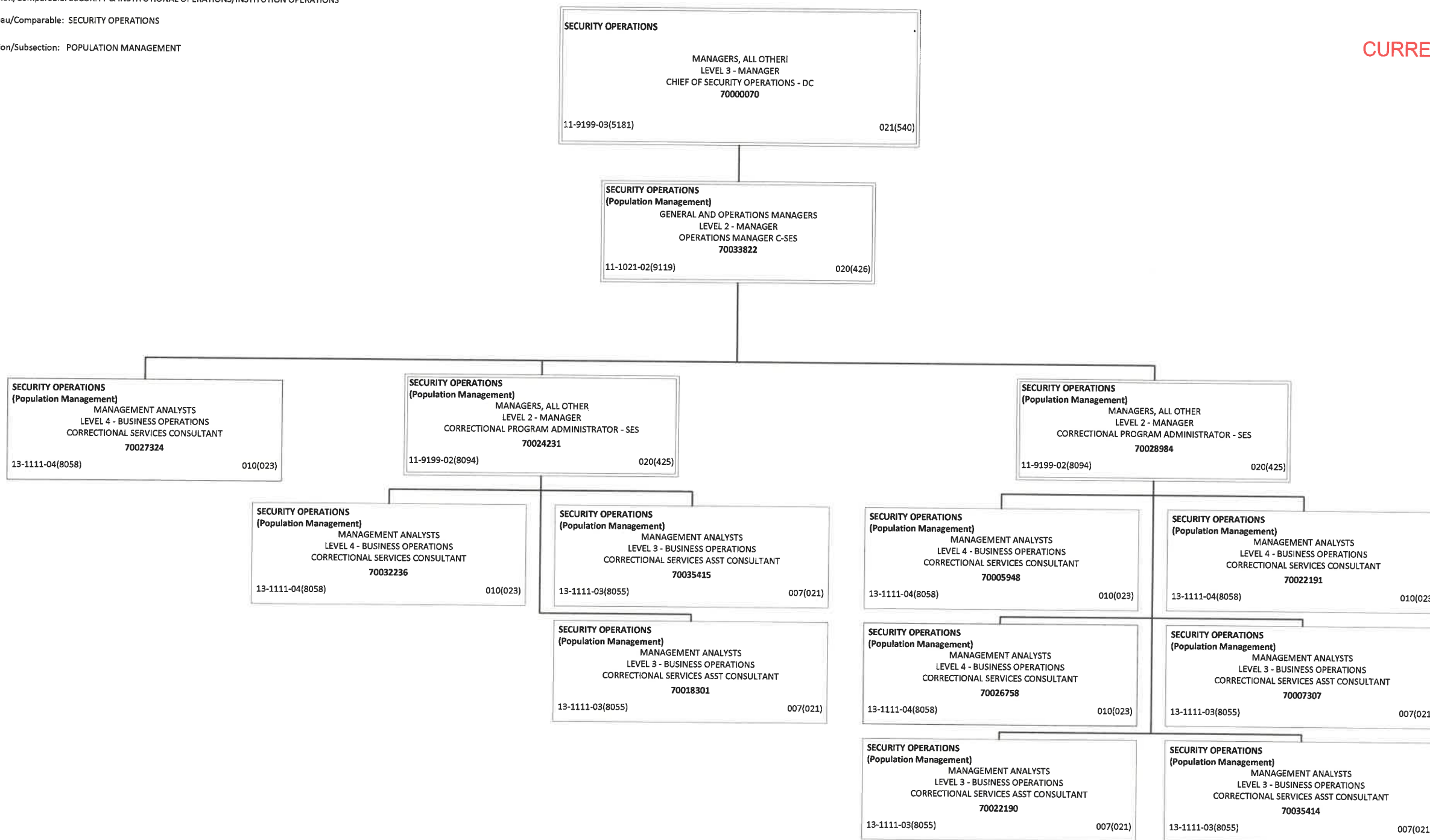
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: POPULATION MANAGEMENT

SECURITY OPERATIONS Population Management (Operations Manager 33822)

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

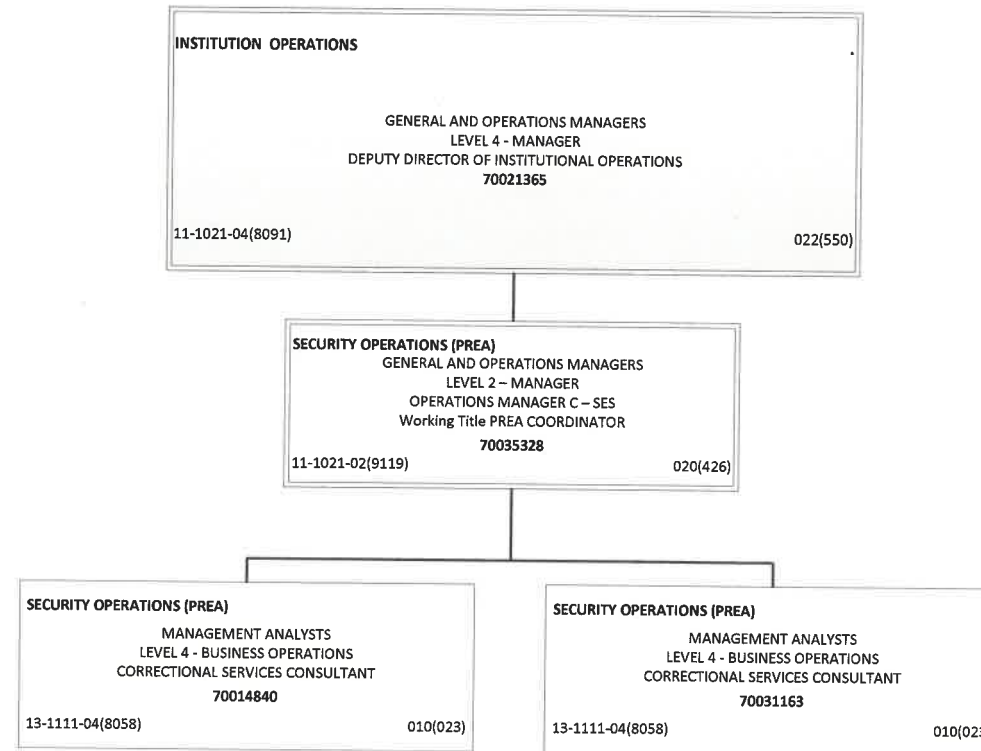
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: PREA

SECURITY OPERATIONS - PREA (35328)

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

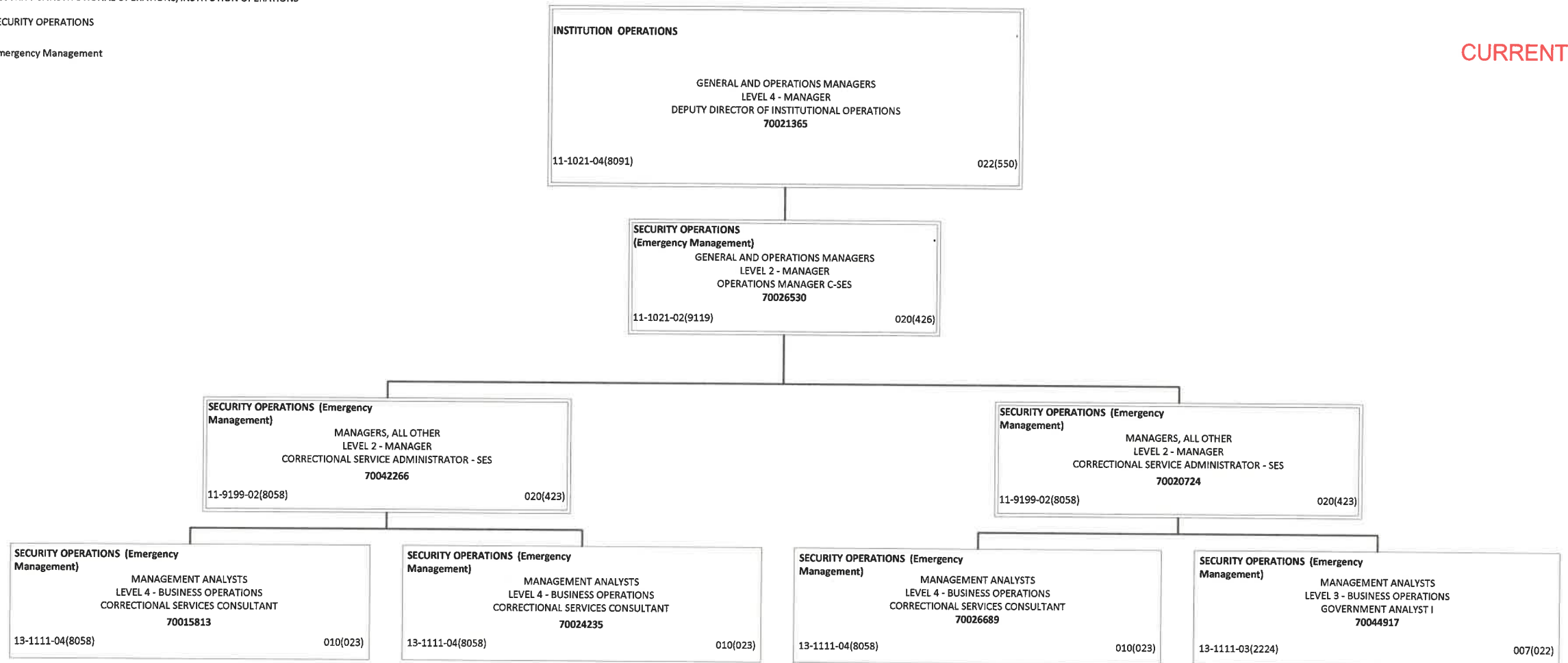
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: Emergency Management

SECURITY OPERATIONS - Emergency (Operations Manager 26530)

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

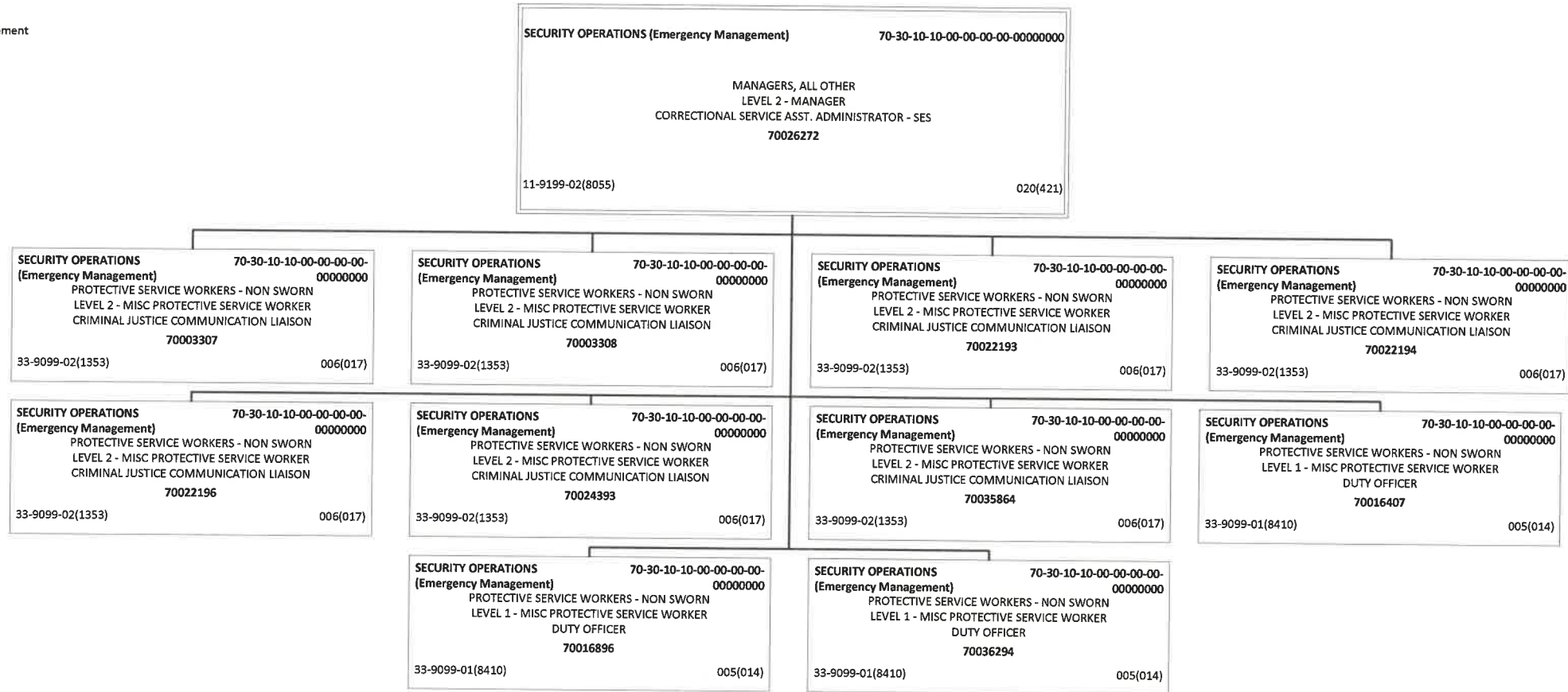
SECURITY OPERATIONS - EAC (Correctional Svc. Asst. Administrator - SES 26272)

Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: Emergency Management

CURRENT



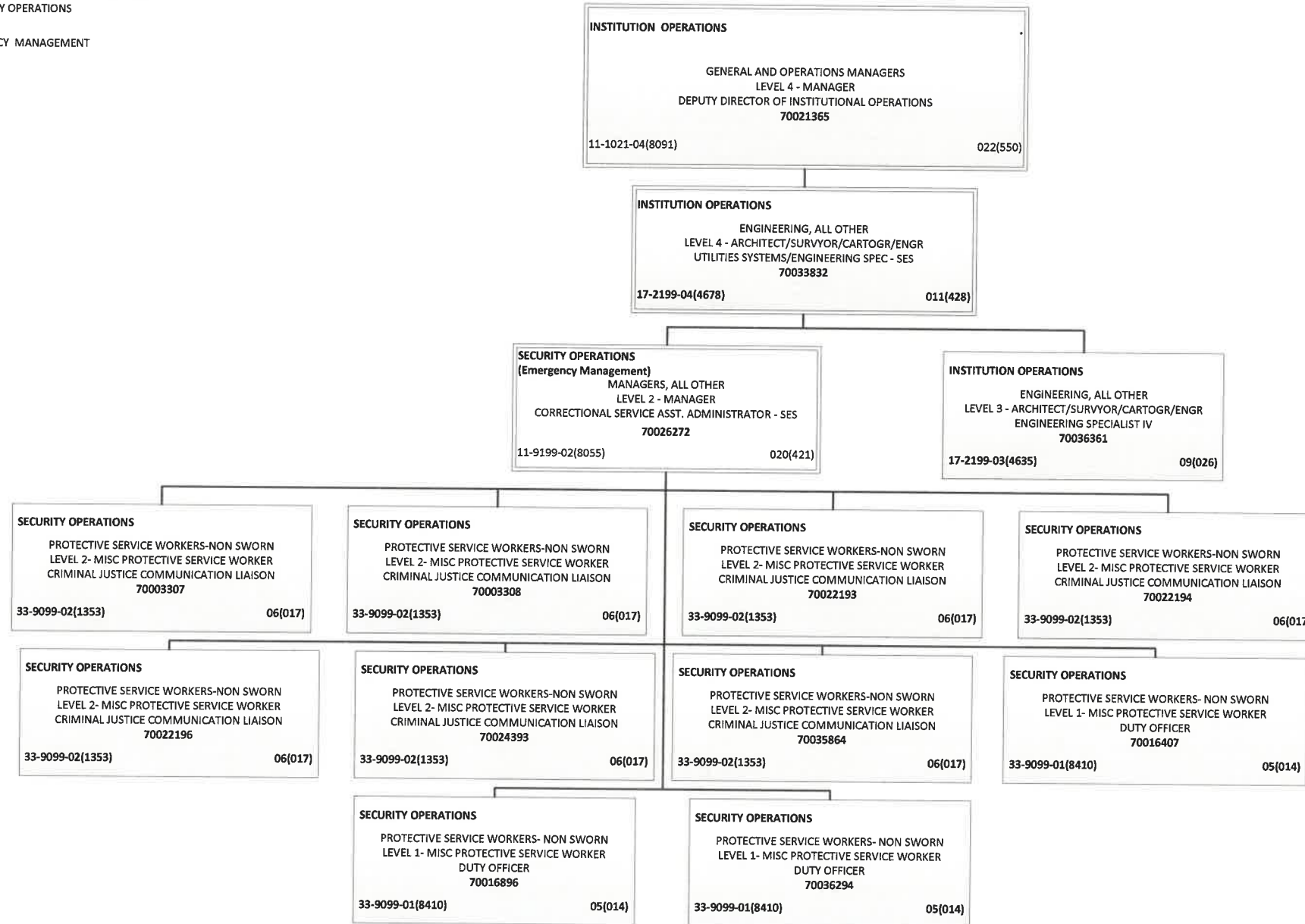
Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

Bureau/Comparable: COLLECTION & INTERDICTION
Bureau/Comparable: INTELLIGENCE & ANALYTICAL SUPPORT
Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection EMERGENCY MANAGEMENT

UTILITIES SYSTEMS/ENGINEERING SPEC-SES (33832)

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG I
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG III
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG IV

Bureau/Comparable: WARDEN'S OFFICE
Section/Subsection: Records Retention Center

REGIONAL DIRECTOR'S OFFICE OVERVIEW

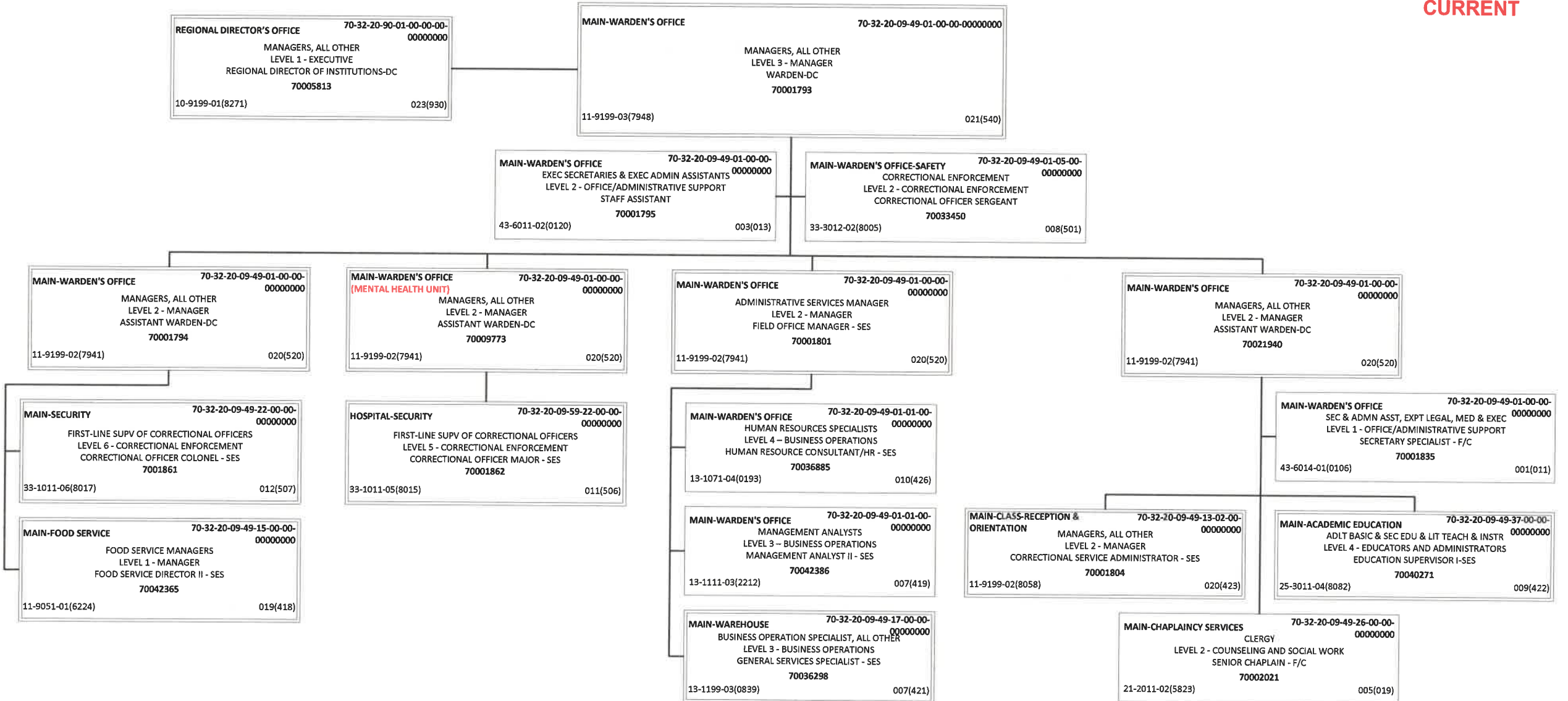
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER WARDEN'S OFFICE
 Section/Subsection:

RECEPTION & MEDICAL CENTER - WARDEN'S OFFICE

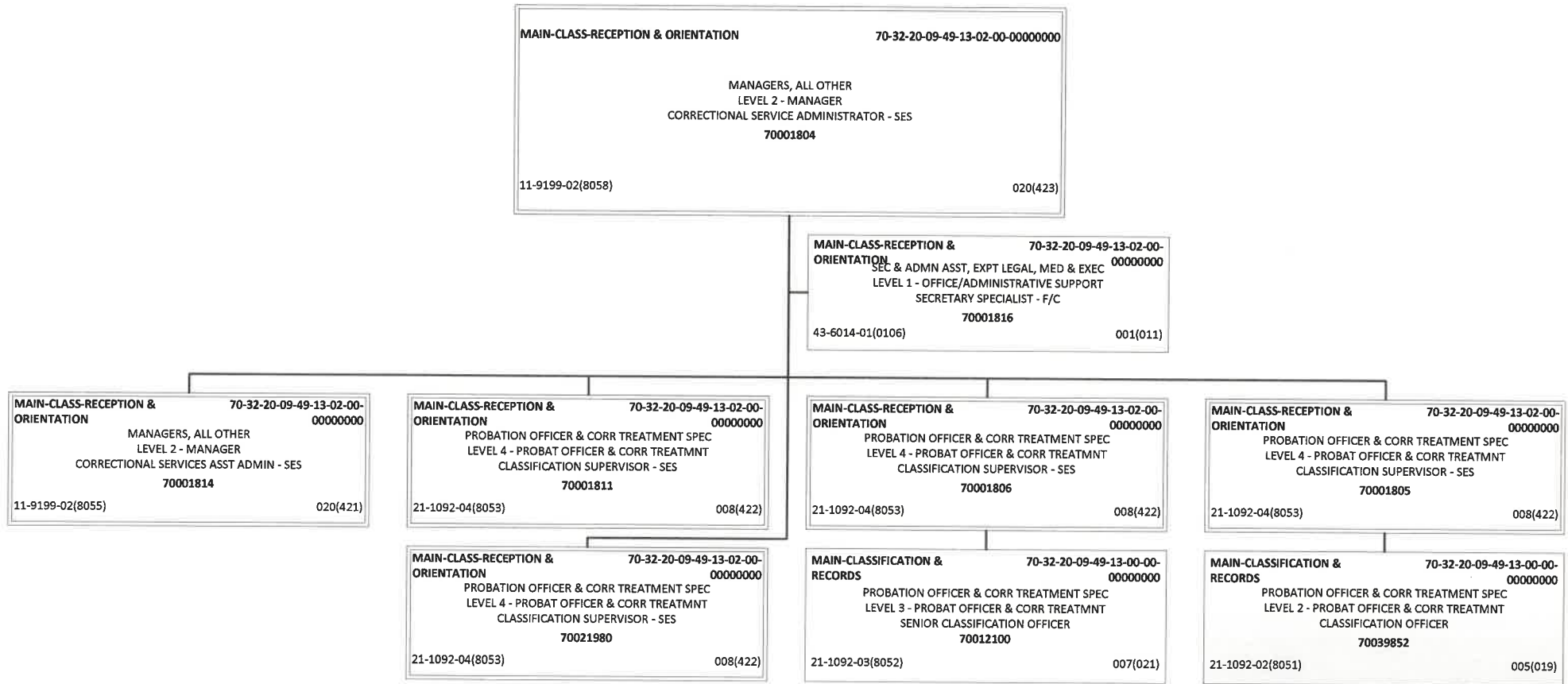
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: MAIN-CLASS-RECEPTION & ORIENTATION

RECEPTION & MEDICAL CENTER - CLASSIFICATION - RECEPTION & ORIENTATION (ADMINISTRATOR)

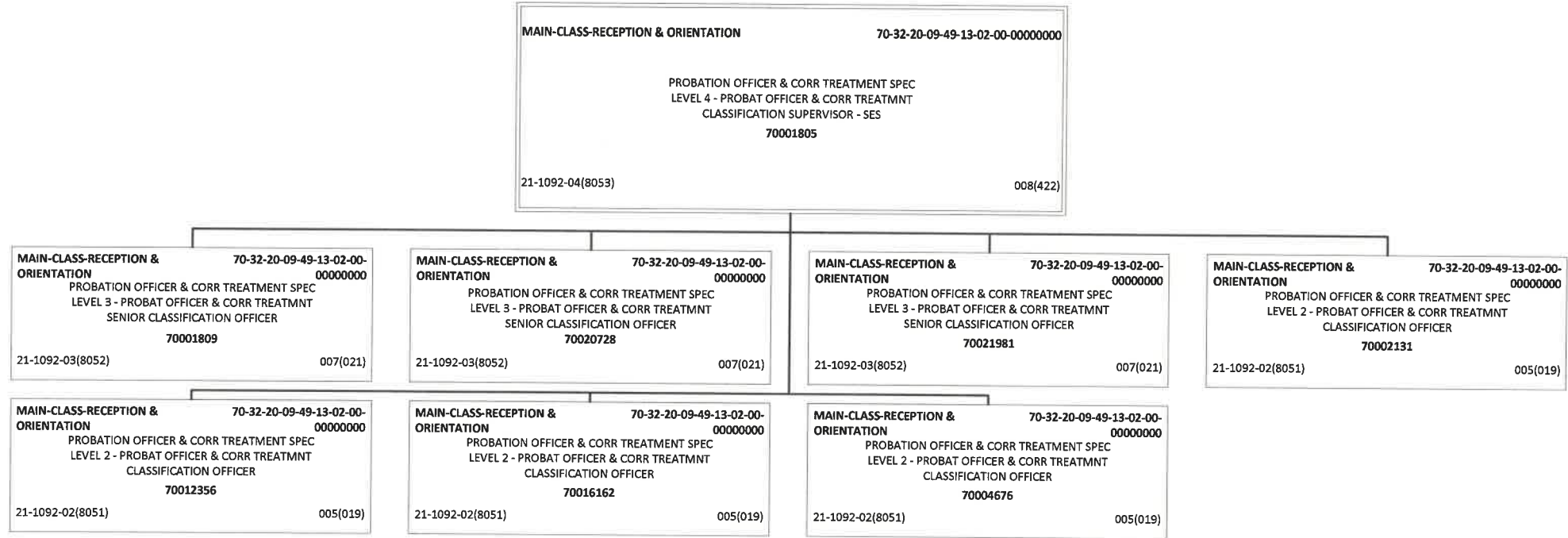
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: MAIN-CLASS-RECEPTION & ORIENTATION

RECEPTION & MEDICAL CENTER - CLASSIFICATION - RECEPTION & ORIENTATION (01805)

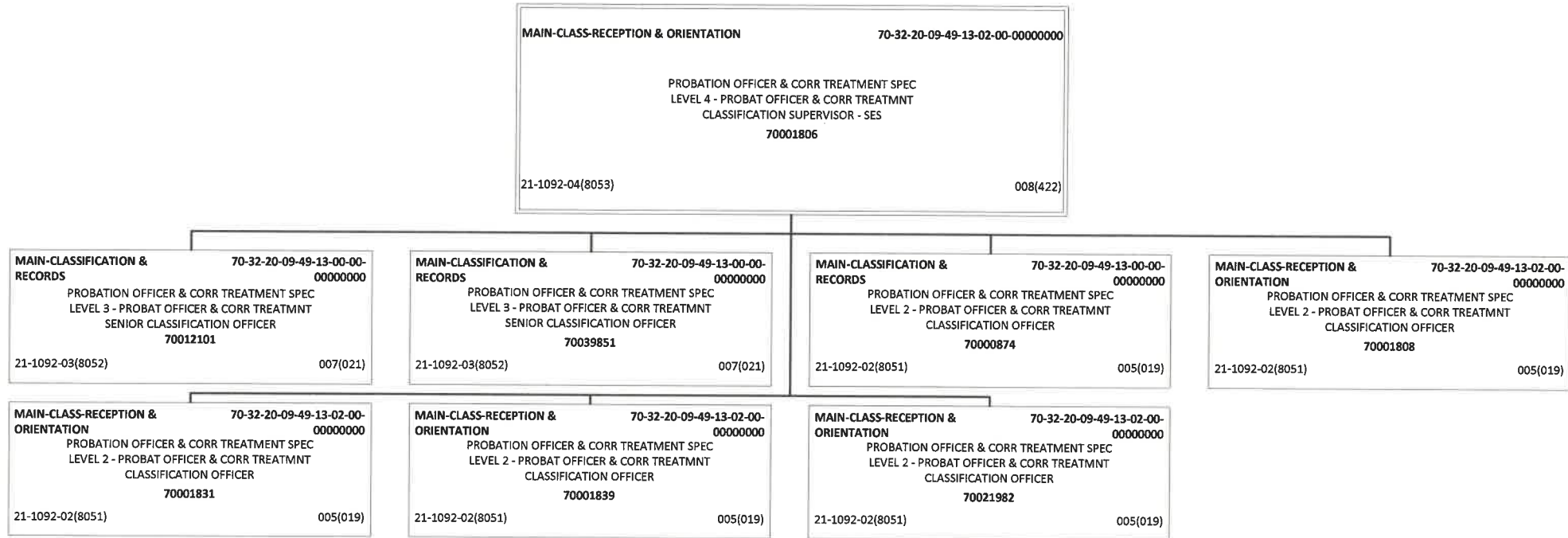
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RECEPTION & MEDICAL CENTER - CLASSIFICATION - RECEPTION & ORIENTATION (01806)

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: MAIN-CLASS-RECEPTION & ORIENTATION

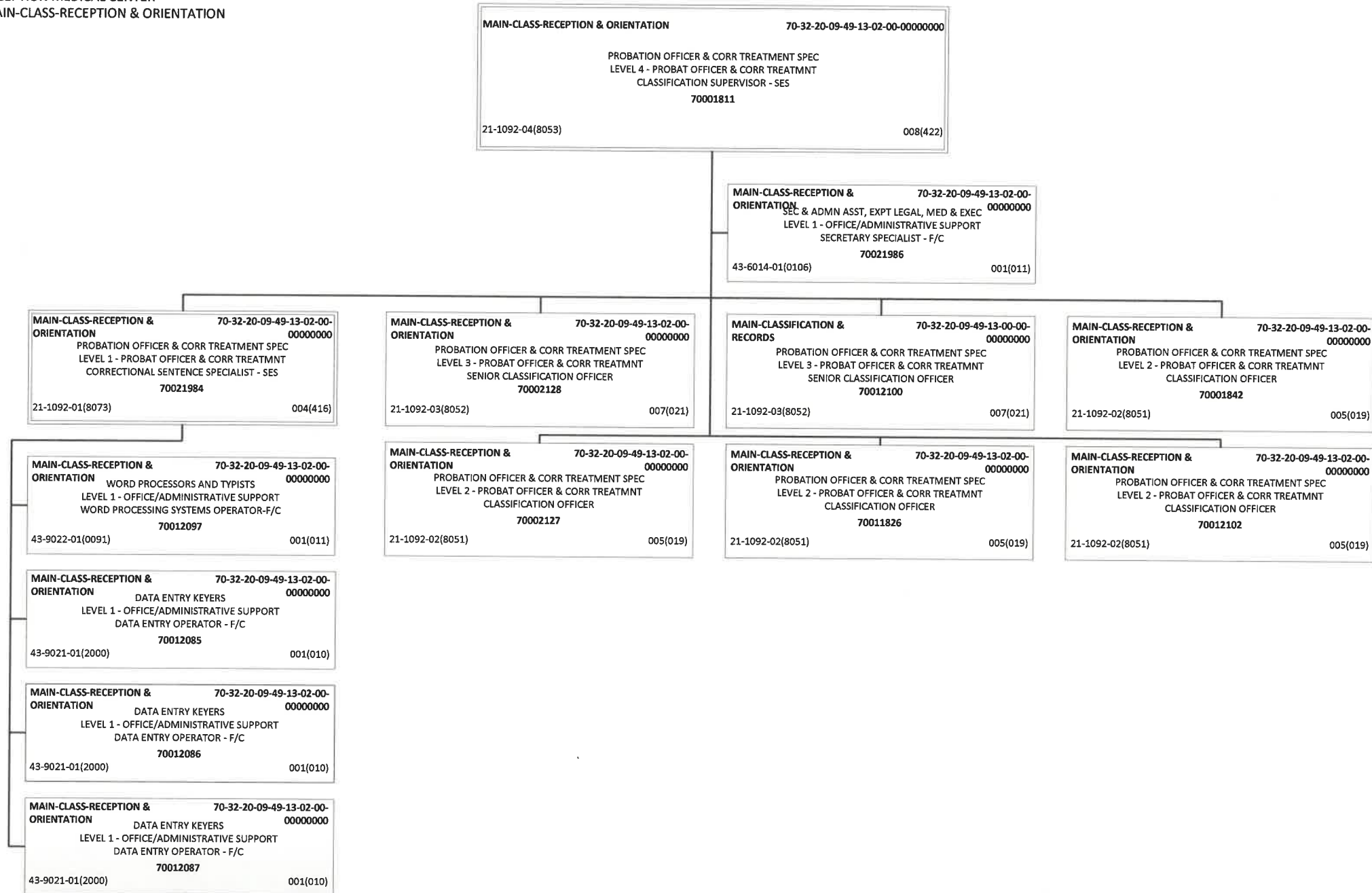
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST
 REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: MAIN-CLASS-RECEPTION & ORIENTATION

RECEPTION & MEDICAL CENTER - CLASSIFICATION - RECEPTION & ORIENTATION (01811)

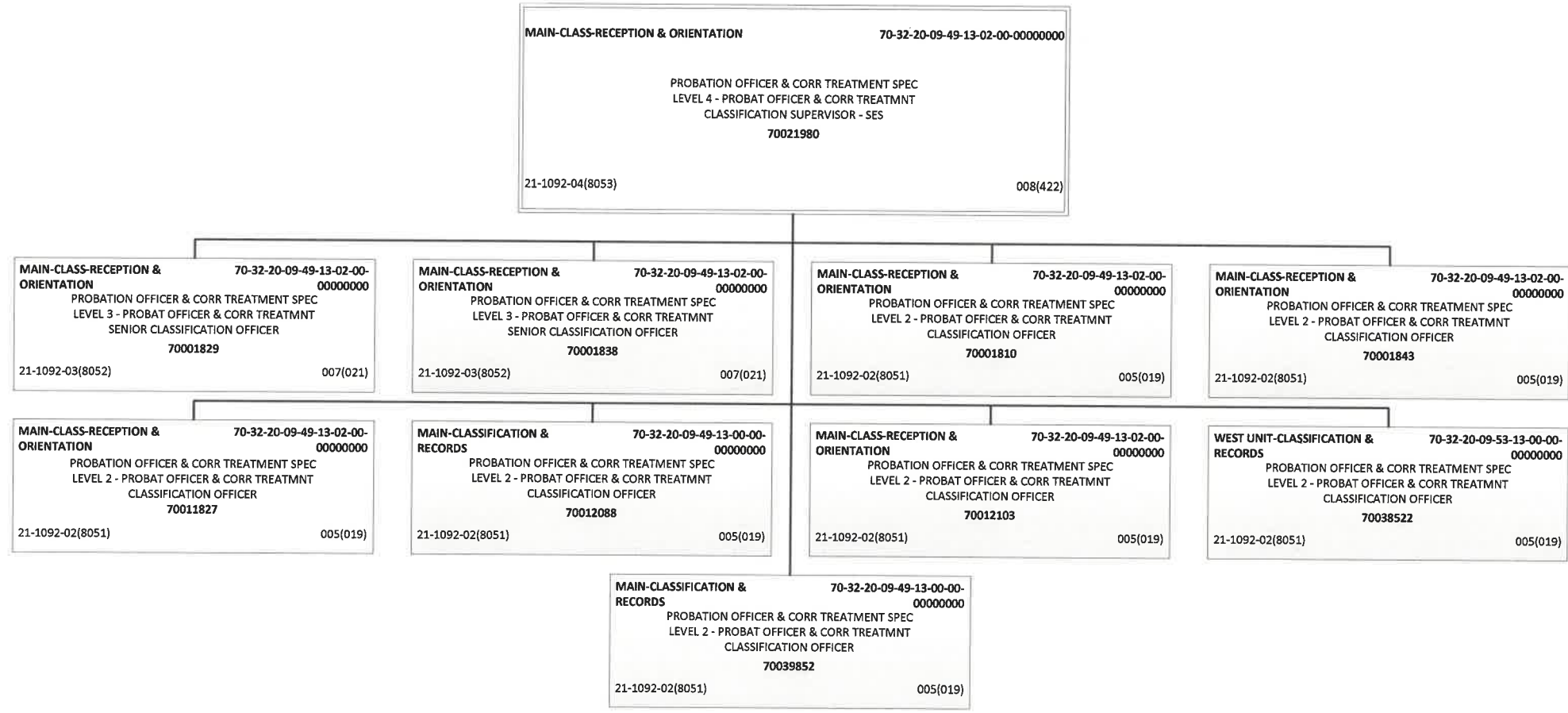
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: MAIN-CLASS-RECEPTION & ORIENTATION

RECEPTION & MEDICAL CENTER - CLASSIFICATION - RECEPTION & ORIENTATION (21980)

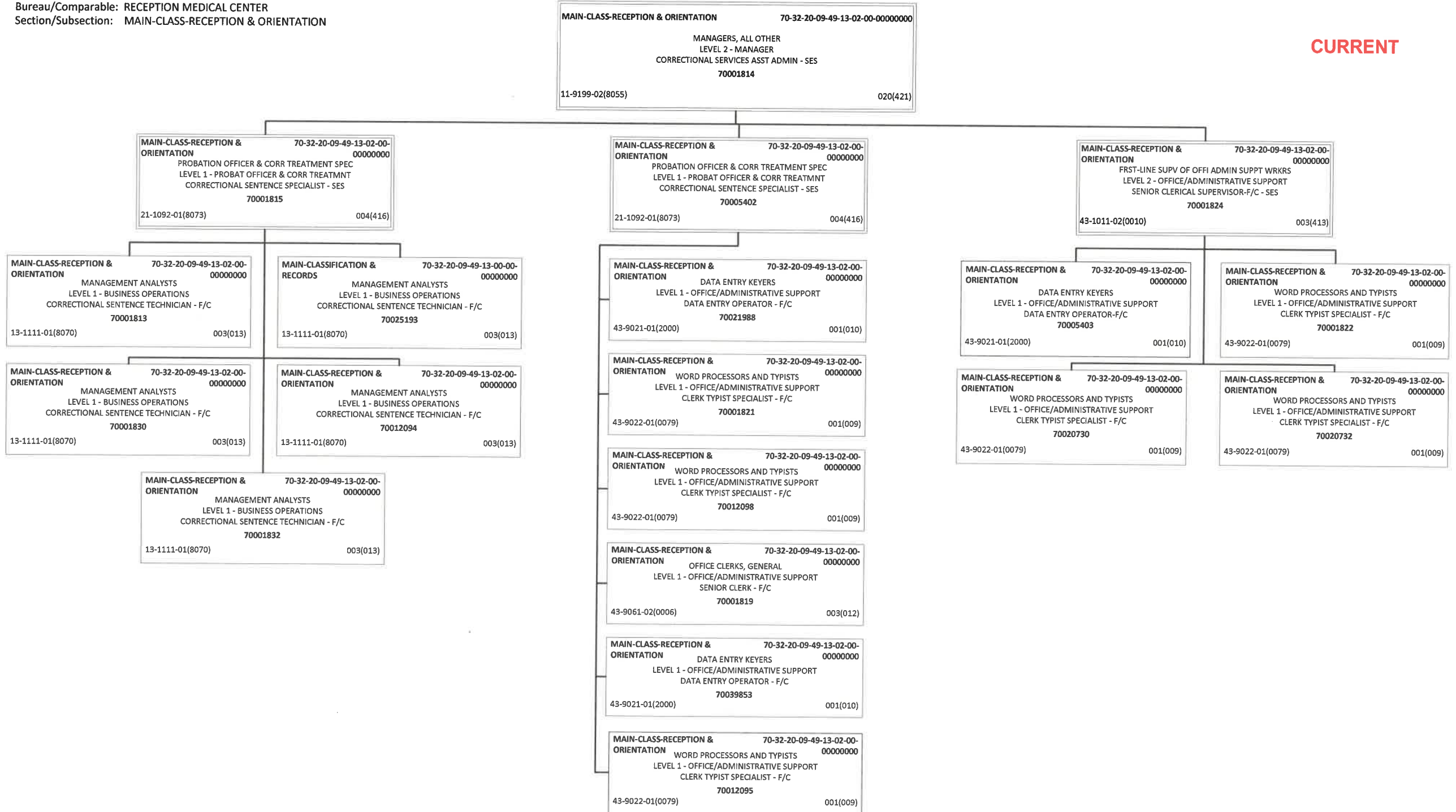
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: MAIN-CLASS-RECEPTION & ORIENTATION

RECEPTION & MEDICAL CENTER - CLASSIFICATION - RECEPTION & ORIENTATION (ASST ADMIN)

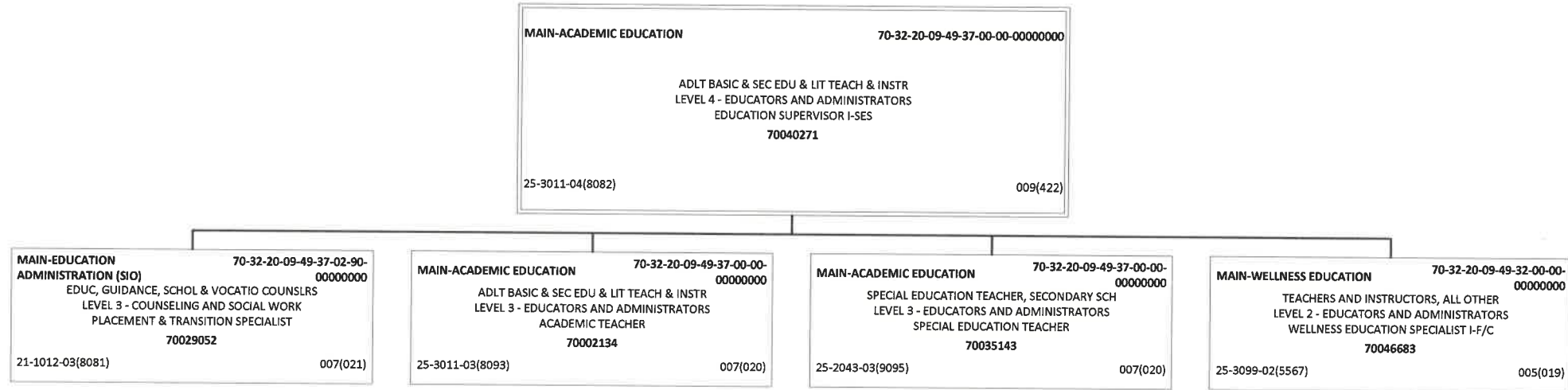
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: MAIN-ACADEMIC EDUCATION

RECEPTION & MEDICAL CENTER - ACADEMIC EDUCATION

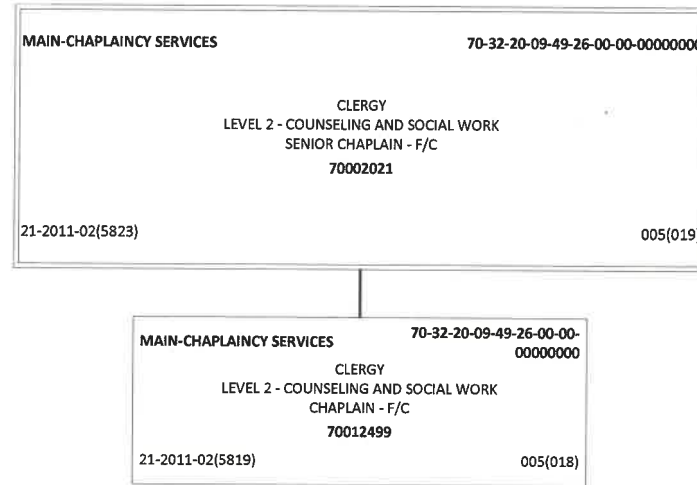
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Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
Bureau/Comparable: RECEPTION MEDICAL CENTER
Section/Subsection: MAIN-CHAPLAINCY SERVICES

RECEPTION & MEDICAL CENTER - CHAPLAINCY SERVICES

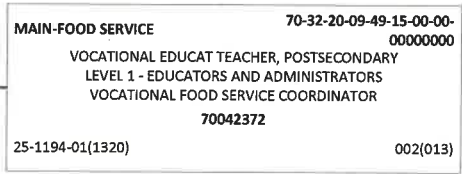
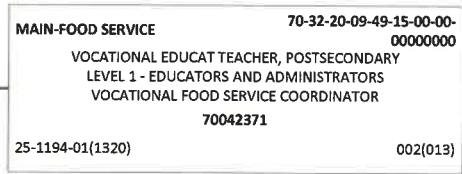
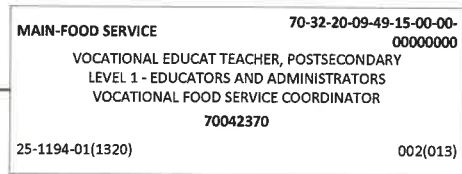
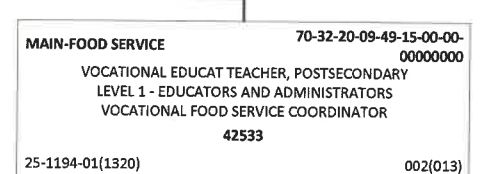
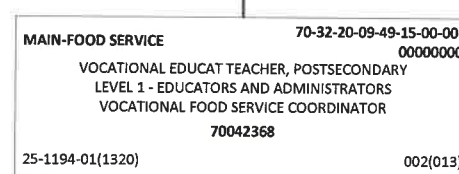
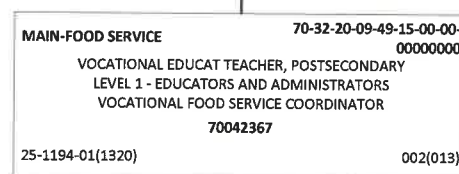
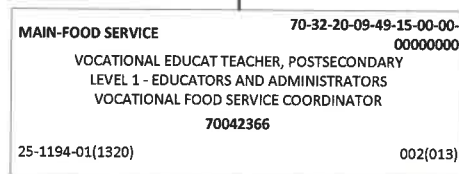
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: MAIN-FOOD SERVICE

RECEPTION & MEDICAL CENTER - FOOD SERVICE

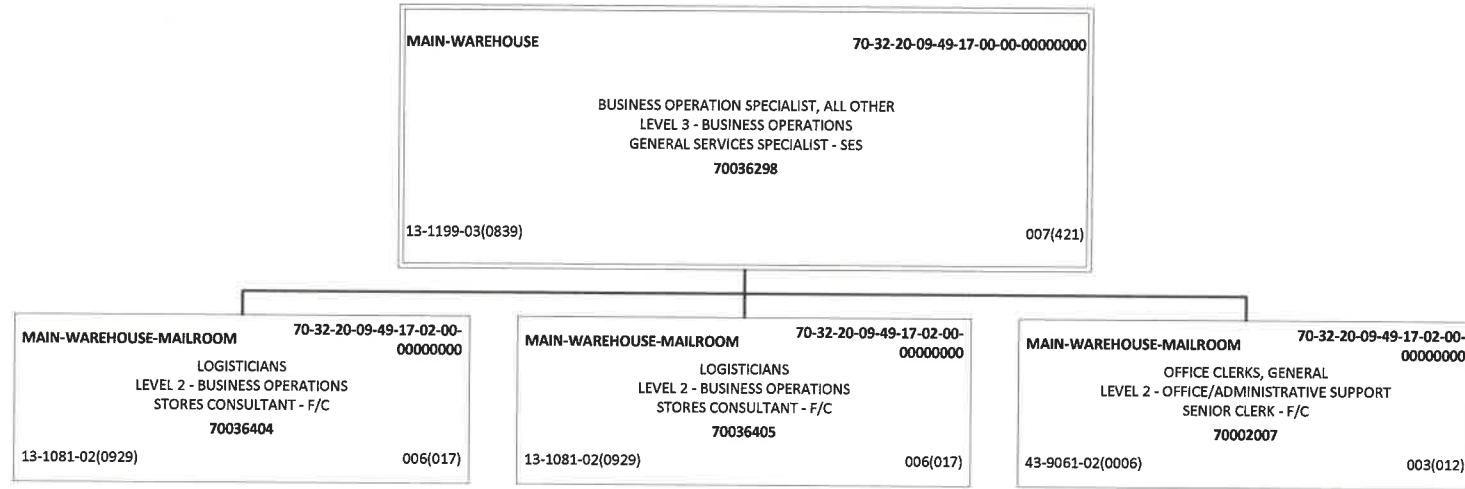
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Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
Bureau/Comparable: RECEPTION MEDICAL CENTER
Section/Subsection: MAIN-WAREHOUSE

RECEPTION & MEDICAL CENTER - WAREHOUSE

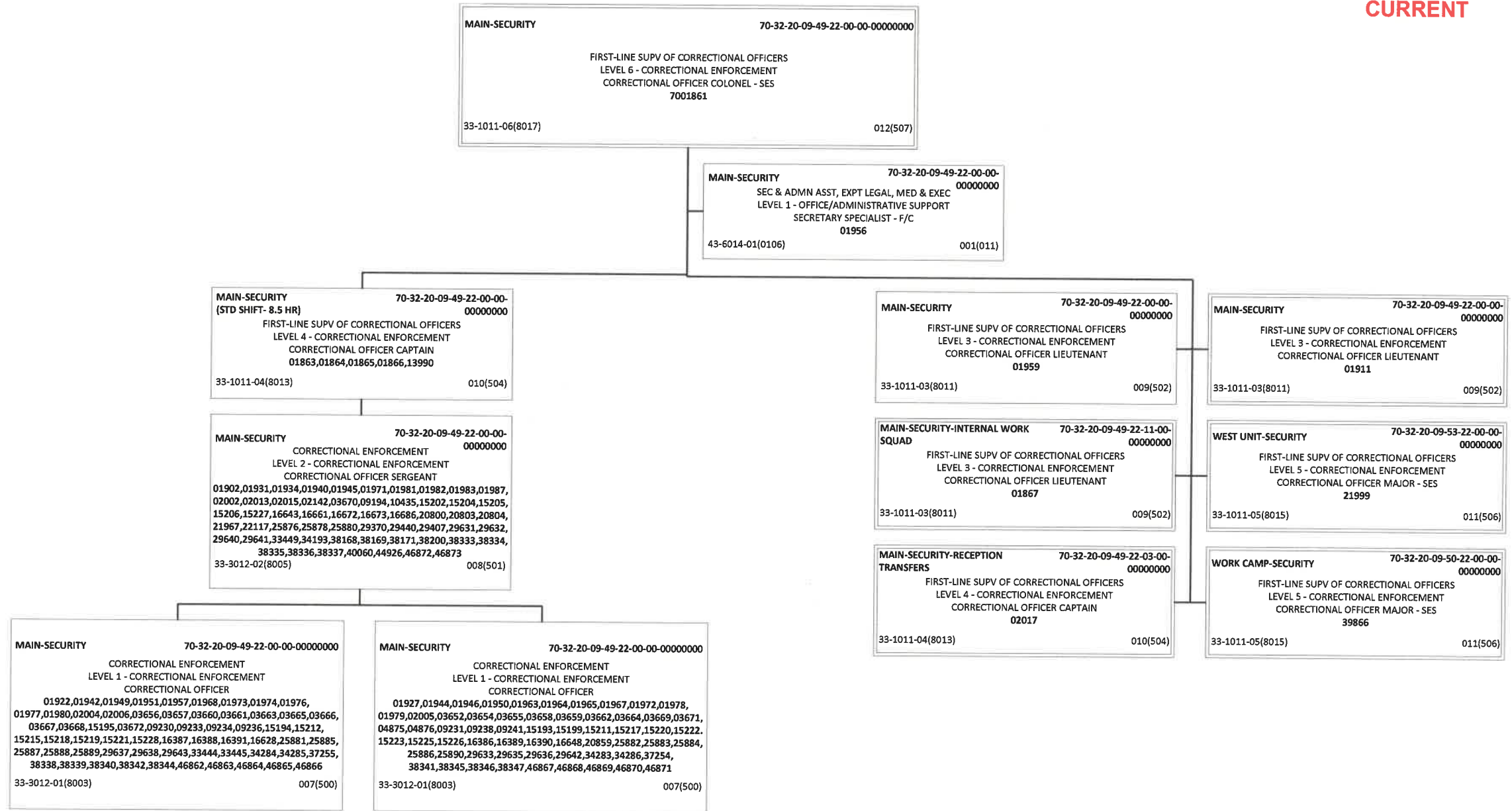
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: MAIN-SECURITY

RECEPTION & MEDICAL CENTER - SECURITY MAIN

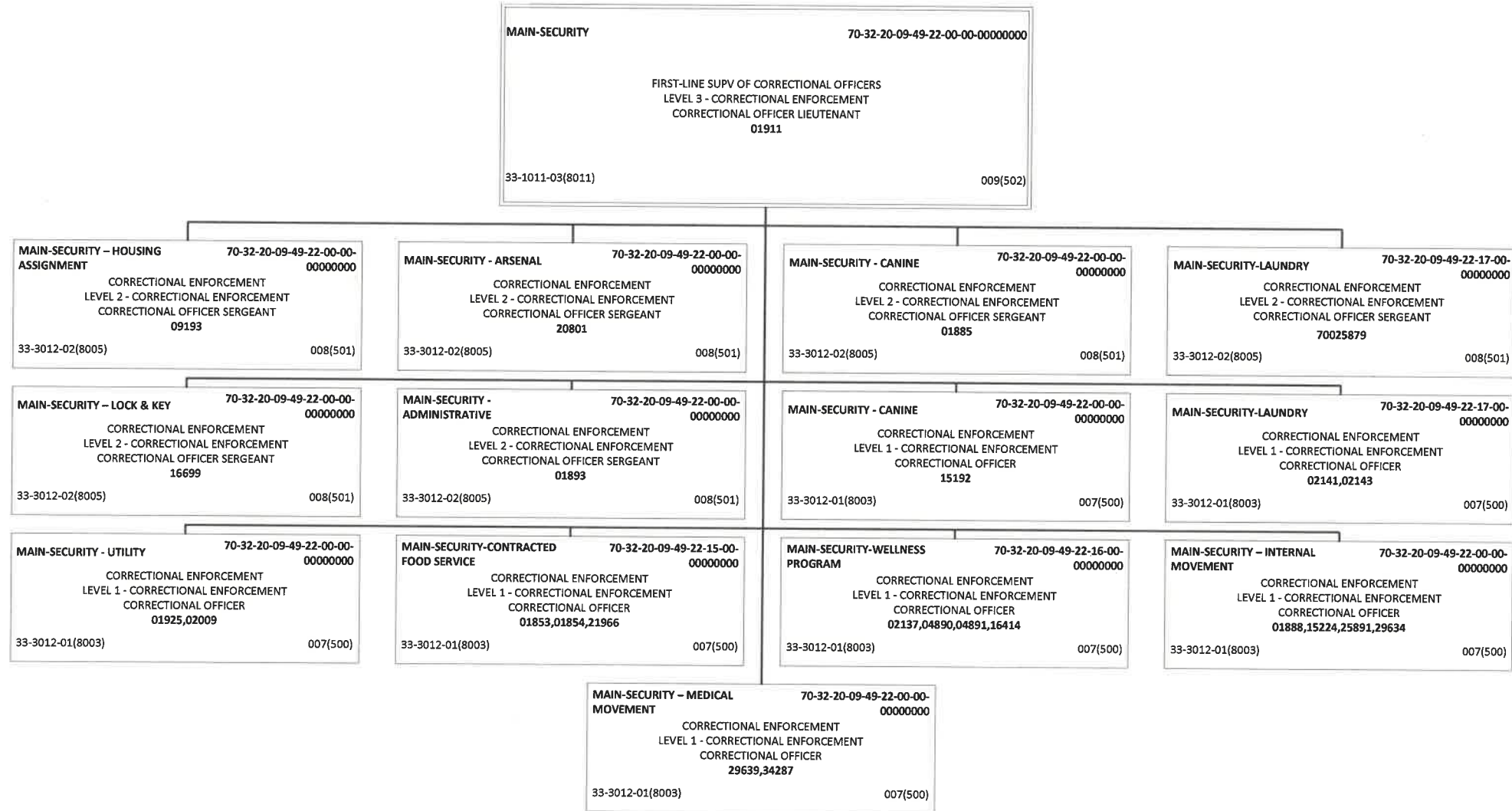
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: MAIN-SECURITY

RECEPTION & MEDICAL CENTER - SECURITY MAIN - ADMIN

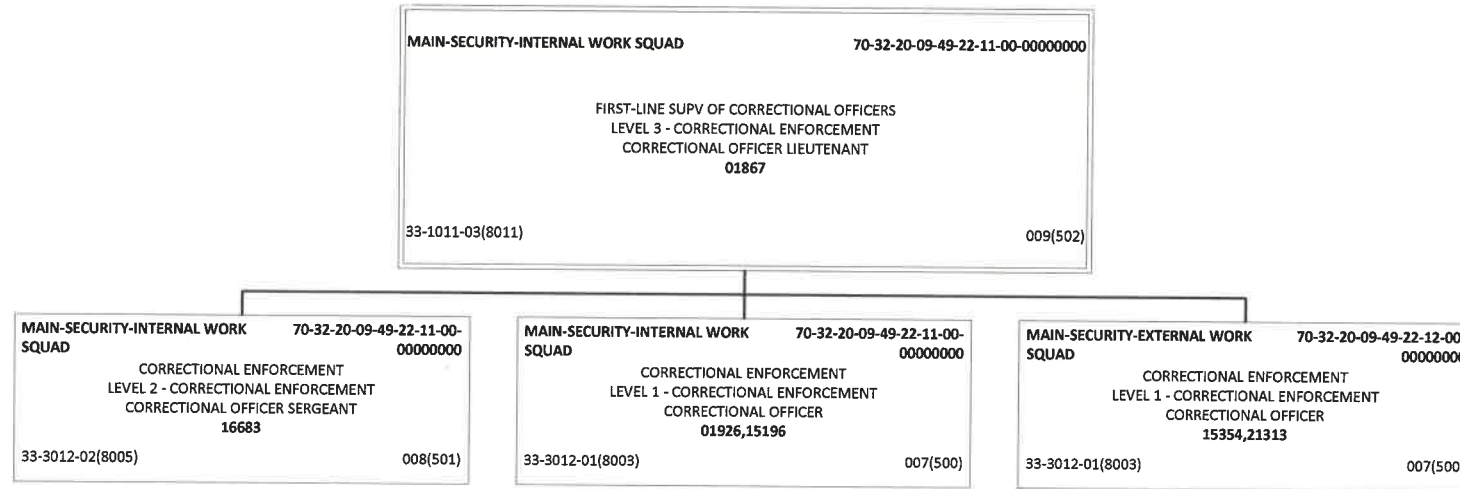
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: MAIN-SECURITY-INTERNAL WORK SQUAD

RECEPTION & MEDICAL CENTER - SECURITY MAIN - WORK SQUAD

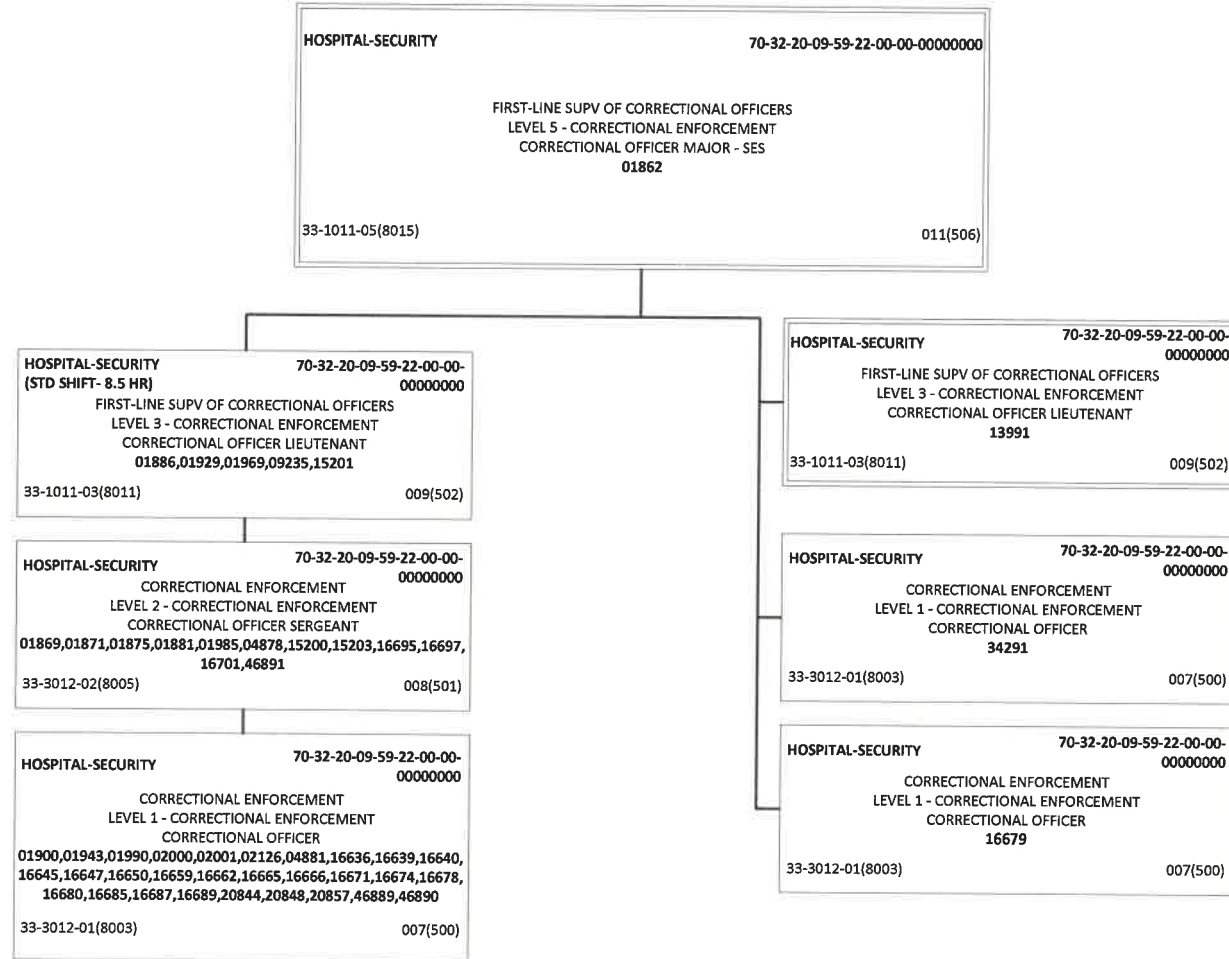
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: HOSPITAL-SECURITY

RECEPTION & MEDICAL CENTER - SECURITY HOSPITAL

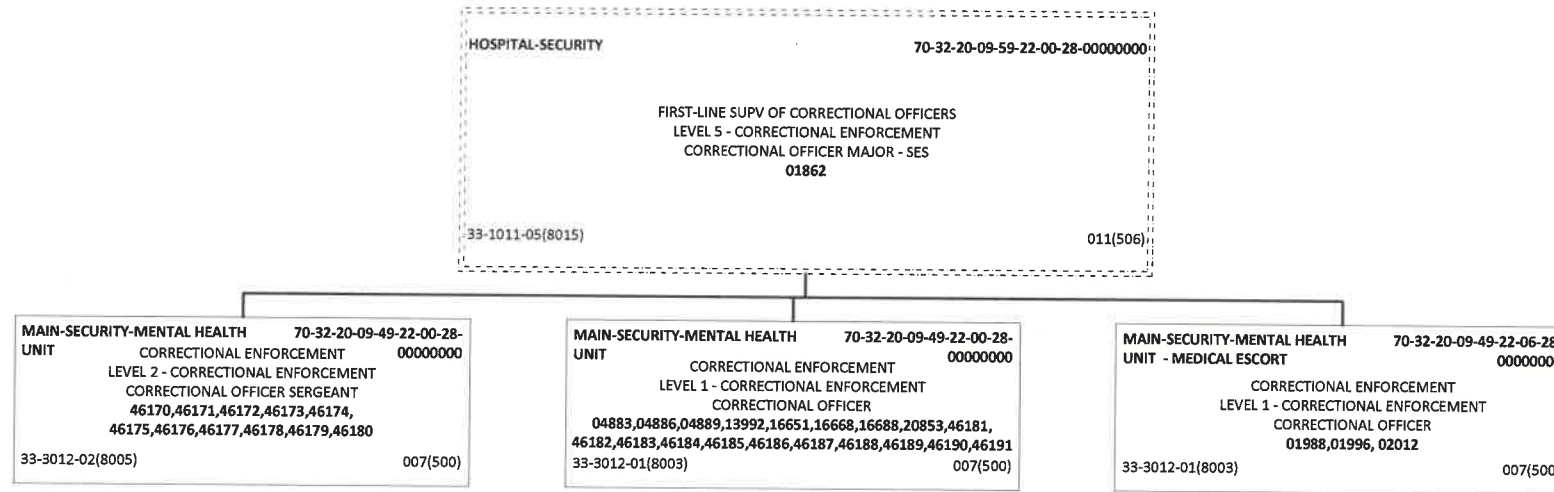
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: MAIN-SECURITY-MENTAL HEALTH UNIT

RECEPTION & MEDICAL CENTER - MENTAL HEALTH UNIT

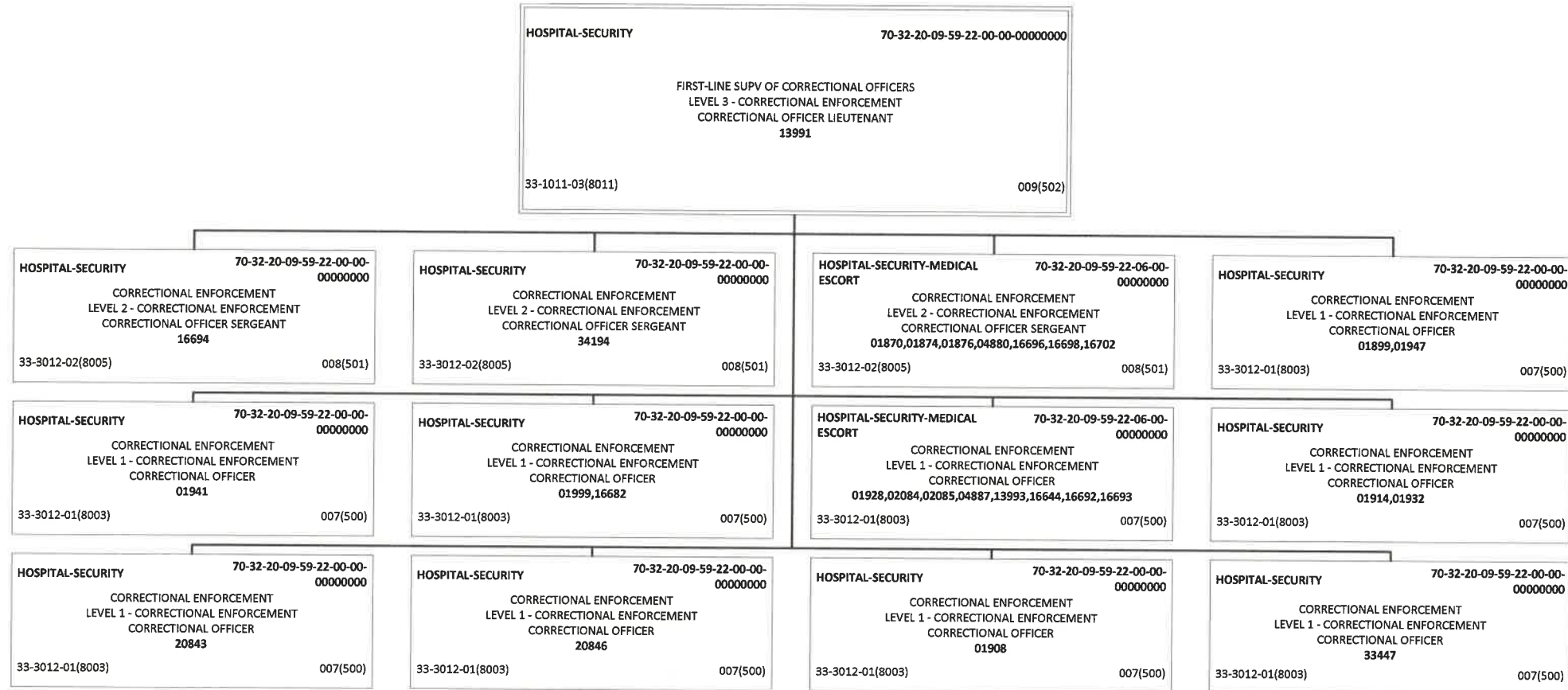
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: HOSPITAL-SECURITY (Administration)

RECEPTION & MEDICAL CENTER - SECURITY HOSPITAL - ADMIN

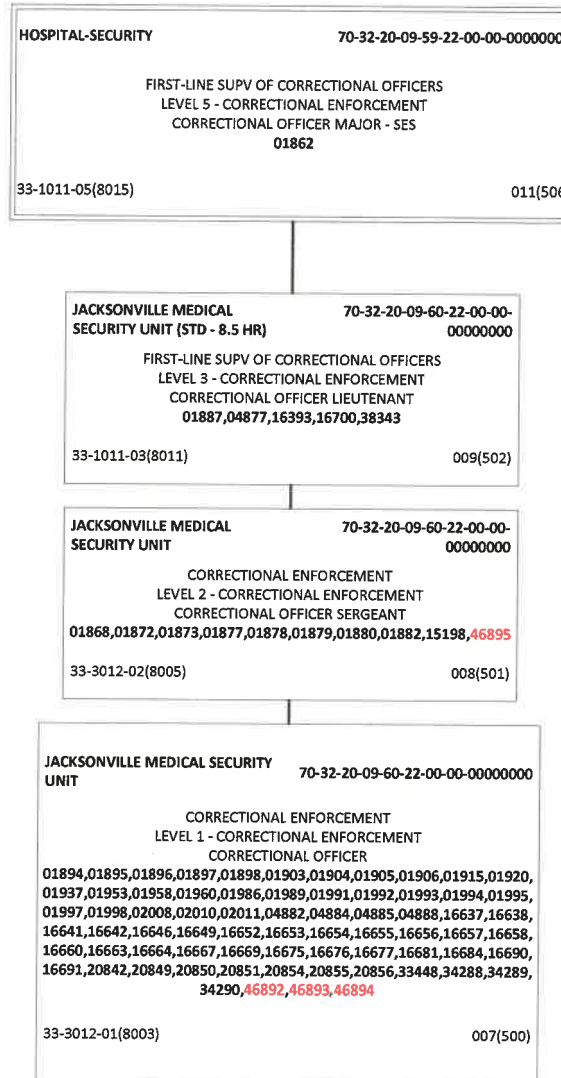
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: HOSPITAL-SECURITY (Jacksonville Medical Security)

RECEPTION & MEDICAL CENTER - SECURITY HOSPITAL - JACKSONVILLE MEDICAL SECURITY UNIT

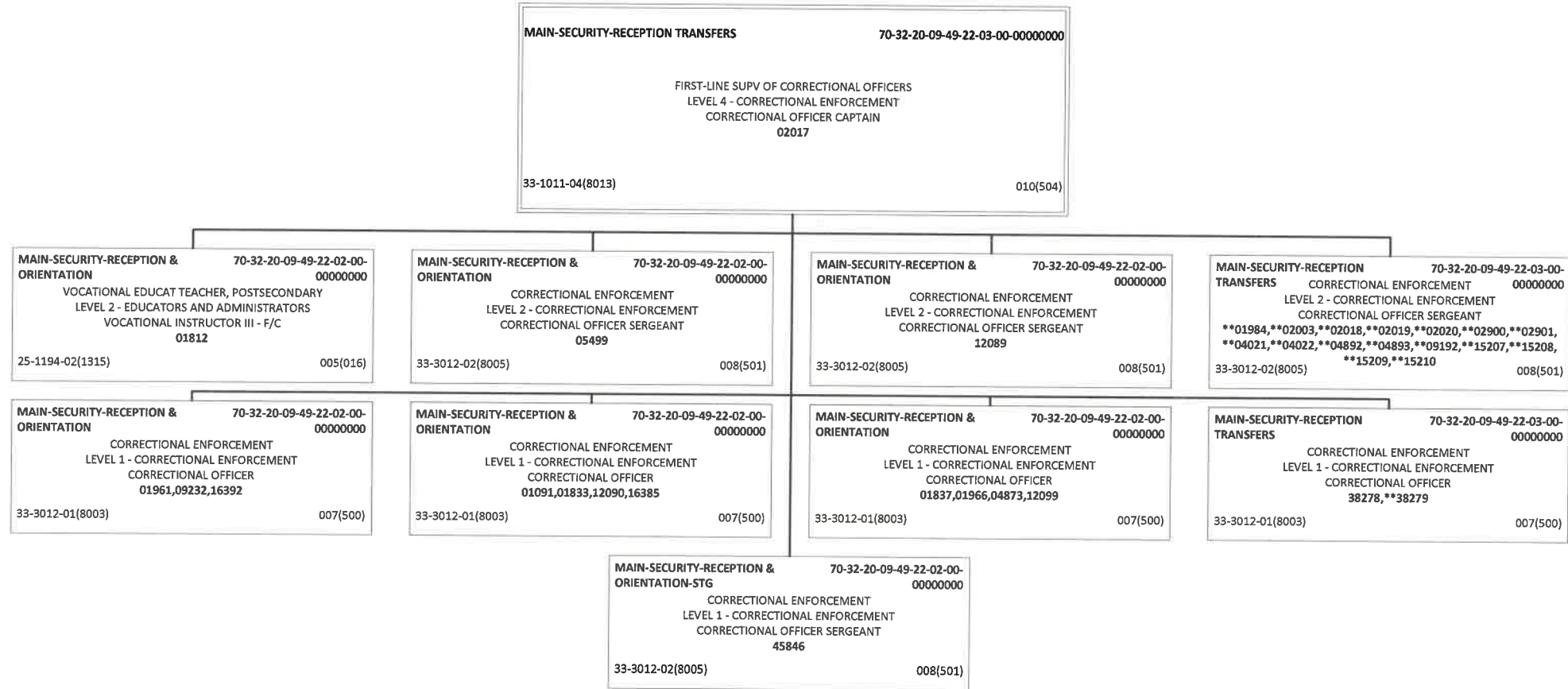
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: MAIN-SECURITY-RECEPTION TRANSFERS

RECEPTION & MEDICAL CENTER - SECURITY MAIN - RECEPTION TRANSFERS

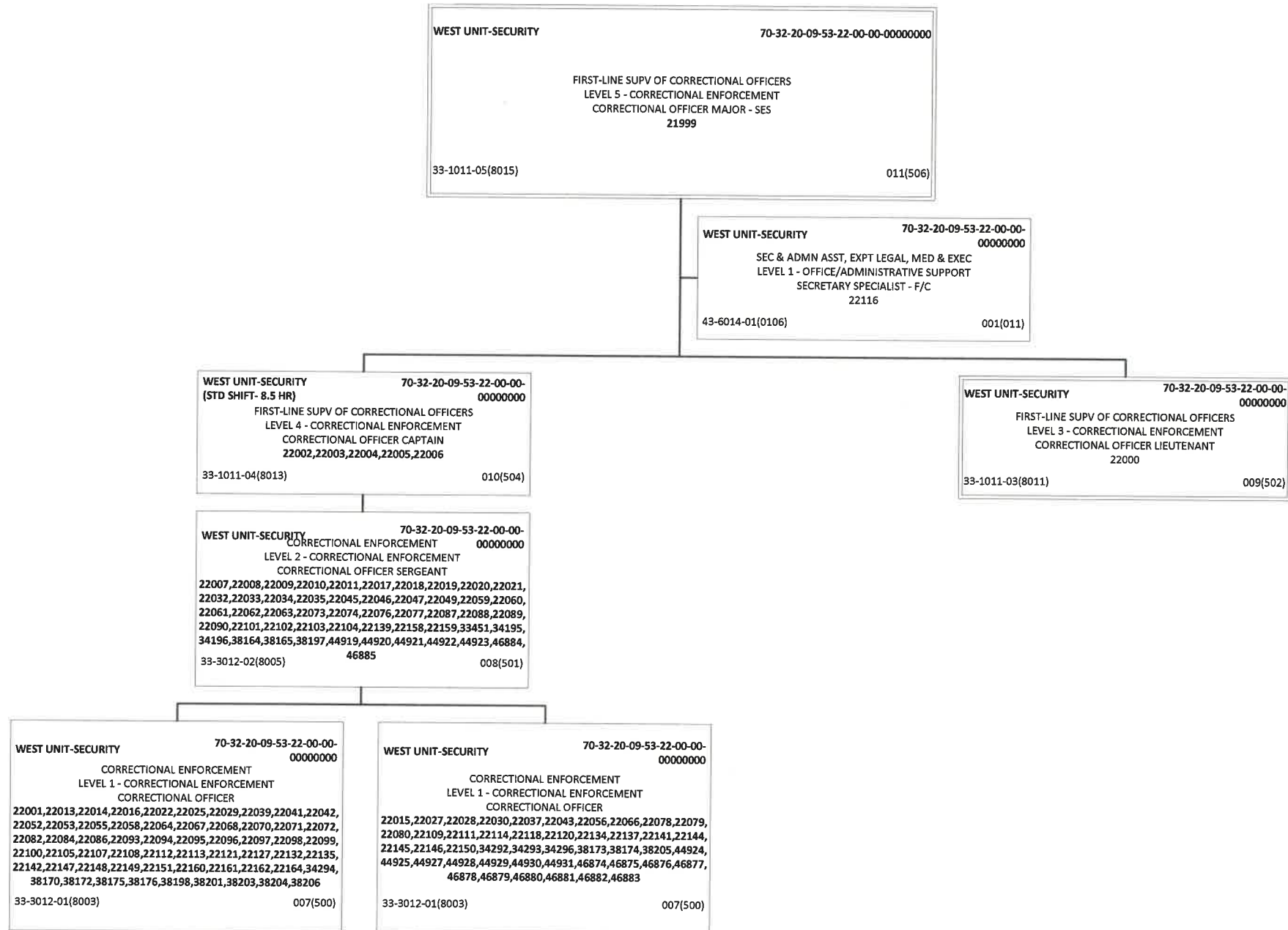
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: WEST UNIT-SECURITY

RECEPTION & MEDICAL CENTER - SECURITY - WEST UNIT

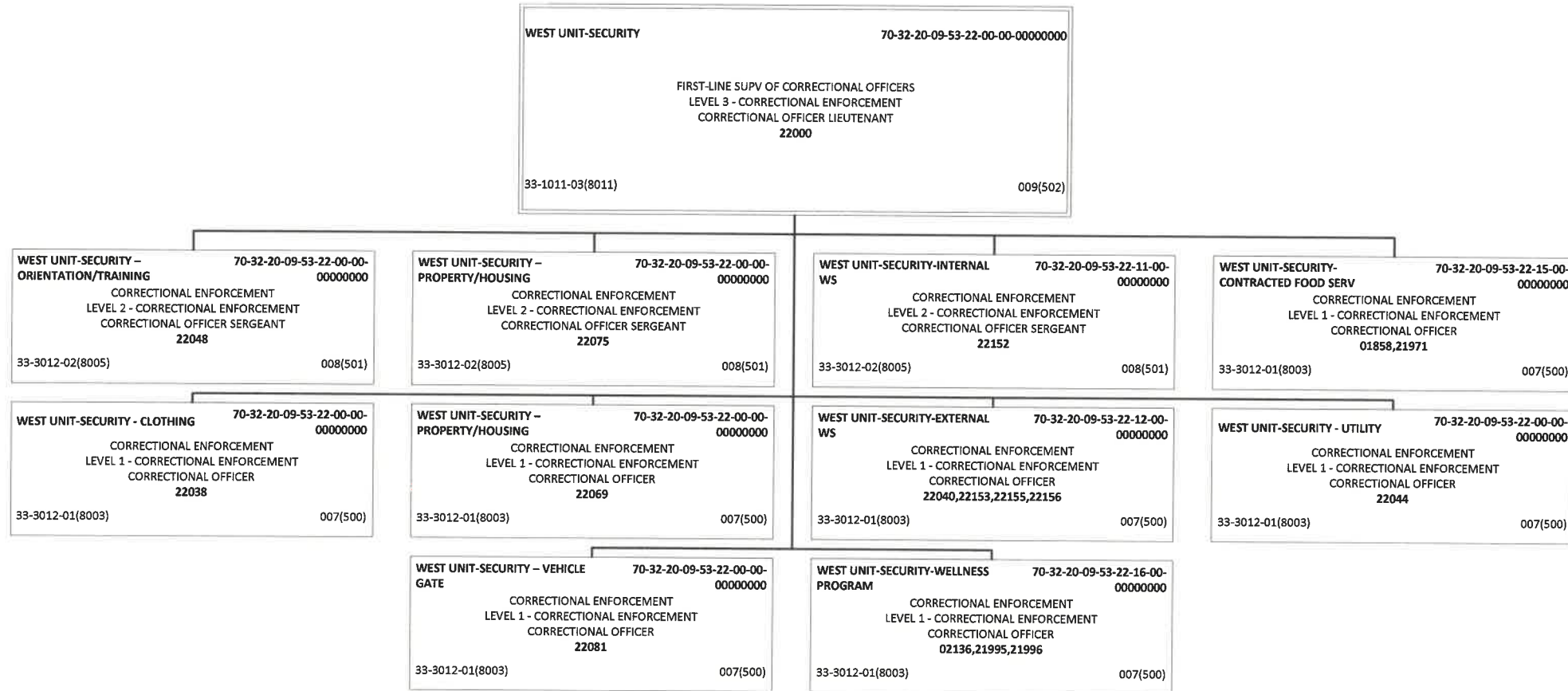
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: WEST UNIT-SECURITY

RECEPTION & MEDICAL CENTER - SECURITY - WEST UNIT - ADMIN

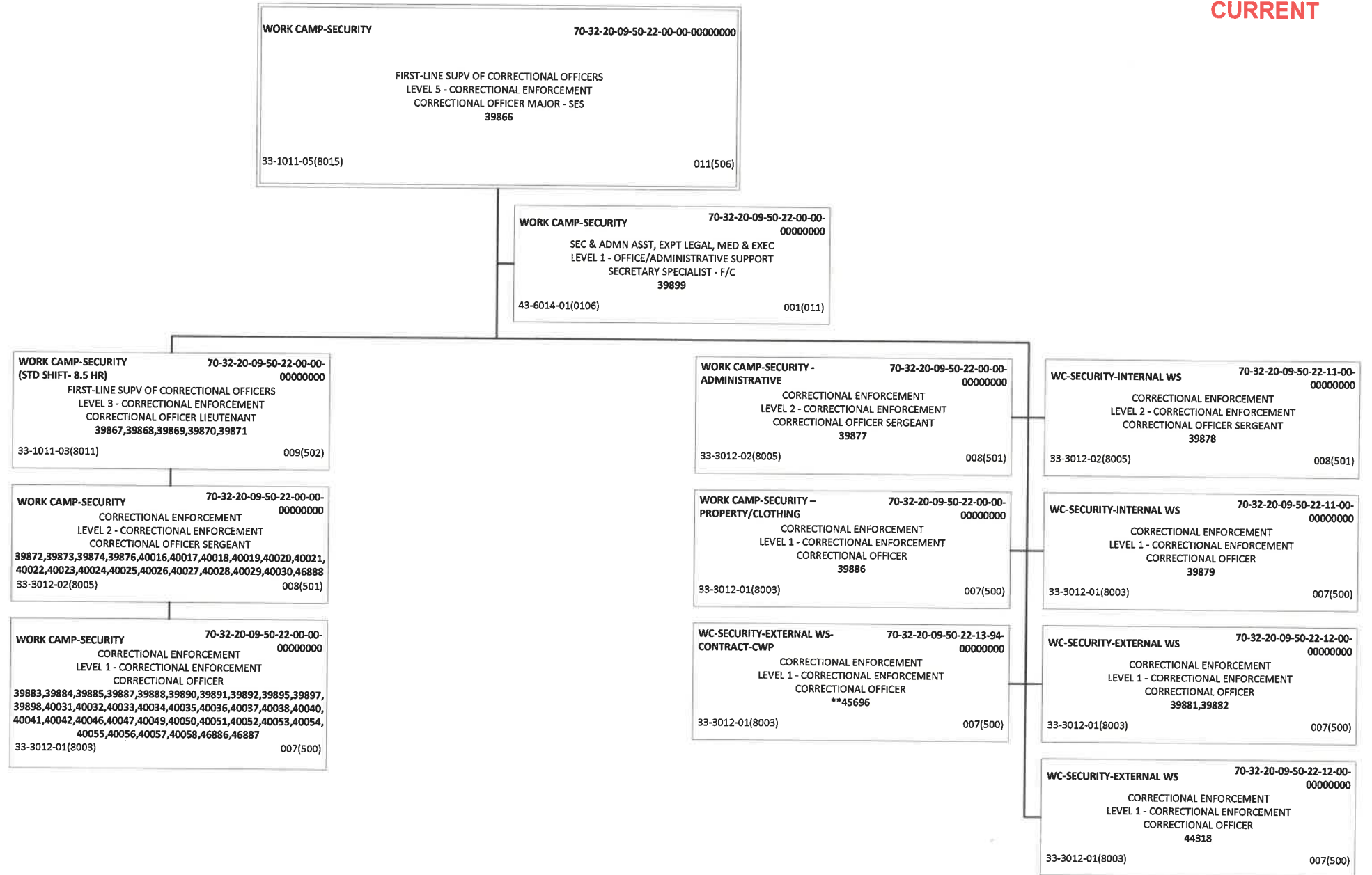
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: WORK CAMP-SECURITY

RECEPTION & MEDICAL CENTER - SECURITY - WORK CAMP

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
 Bureau/Comparable: CLASSIFICATION MANAGEMENT
 Section/Subsection: State Classification
 Section/Subsection: Central Records
 Section/Subsection: Community Release Programs Unit
 Section/Subsection: State Classification Unit
 Section/Subsection: Electronic Monitoring Unit
 Section/Subsection: Classification Services, System Development
 Section/Subsection: Public Records

CLASSIFICATION MANAGEMENT OVERVIEW

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
 Bureau/Comparable: CLASSIFICATION MANAGEMENT
 Section/Subsection: Community Release Programs
 Section/Subsection: State Classification
 Section/Subsection: Electronic Monitoring

OPERATIONS MANAGER C- SES (32218)

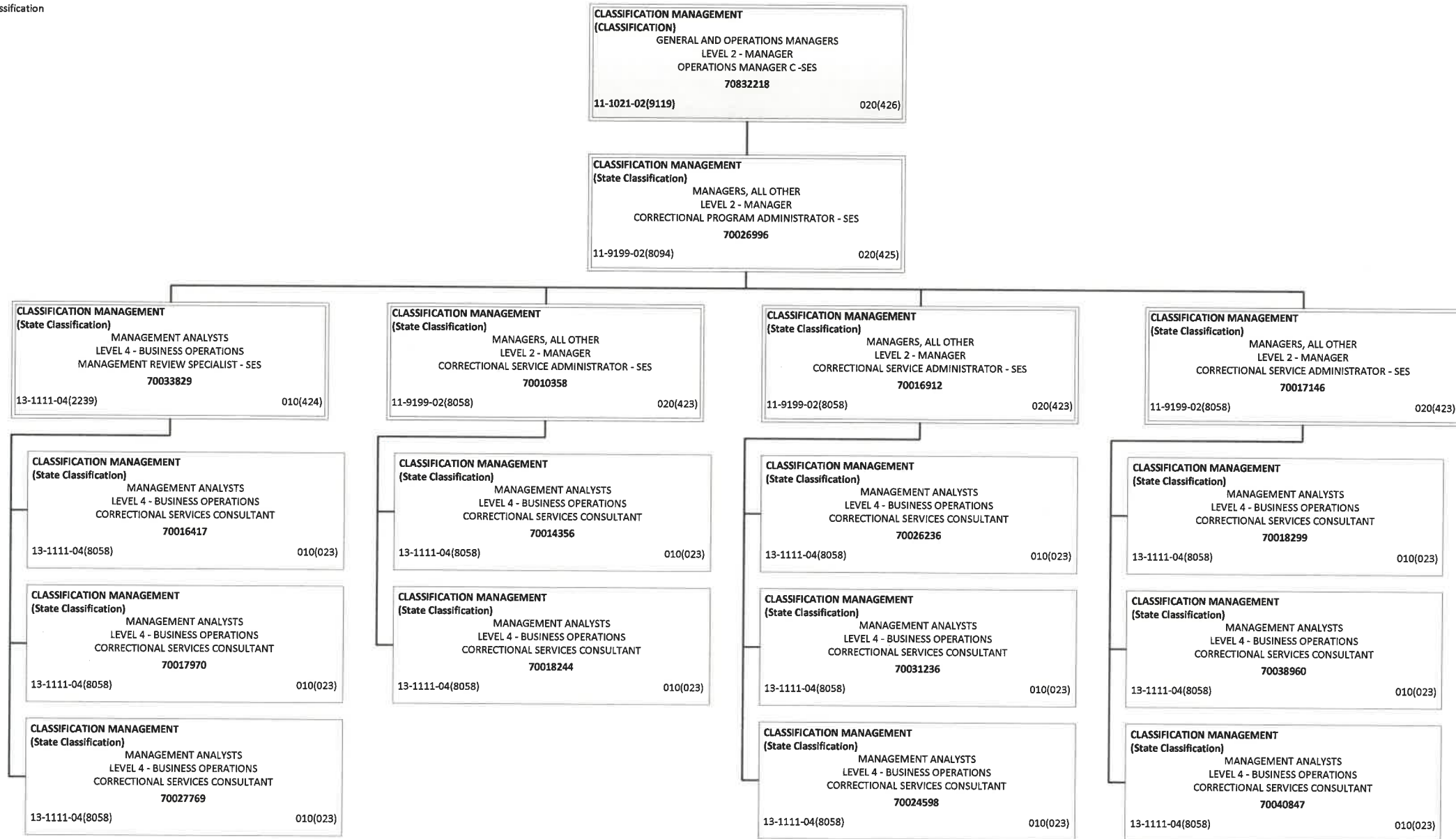
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
 Bureau/Comparable: CLASSIFICATION MANAGEMENT
 Section/Subsection: State Classification

CPA-SES (26996) STATE CLASSIFICATION

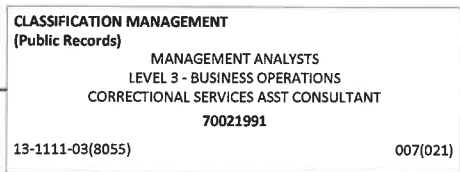
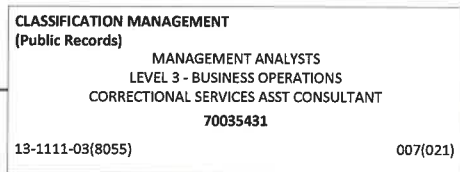
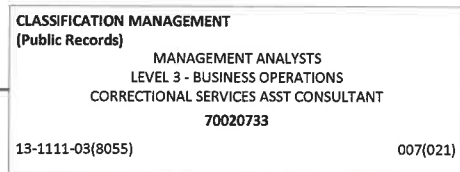
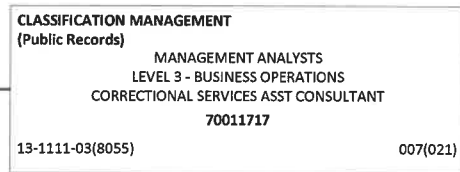
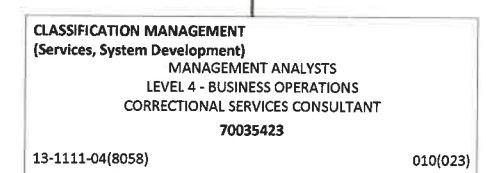
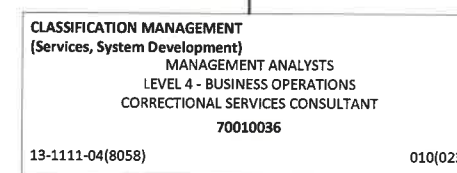
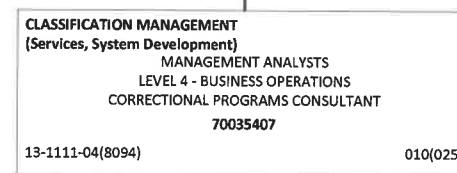
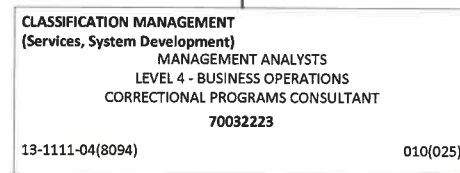
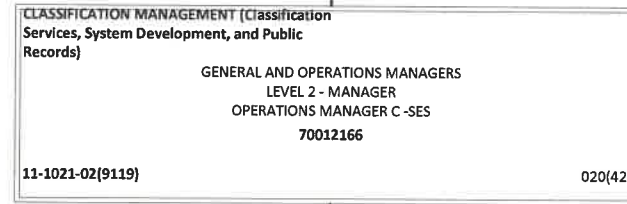
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
 Bureau/Comparable: CLASSIFICATION MANAGEMENT
 Section/Subsection: Classification Services, System Development
 Section/Subsection: Public Records

OPERATIONS MANAGER C- SES (12166) SYSTEM DEV. PUBLIC RECORDS

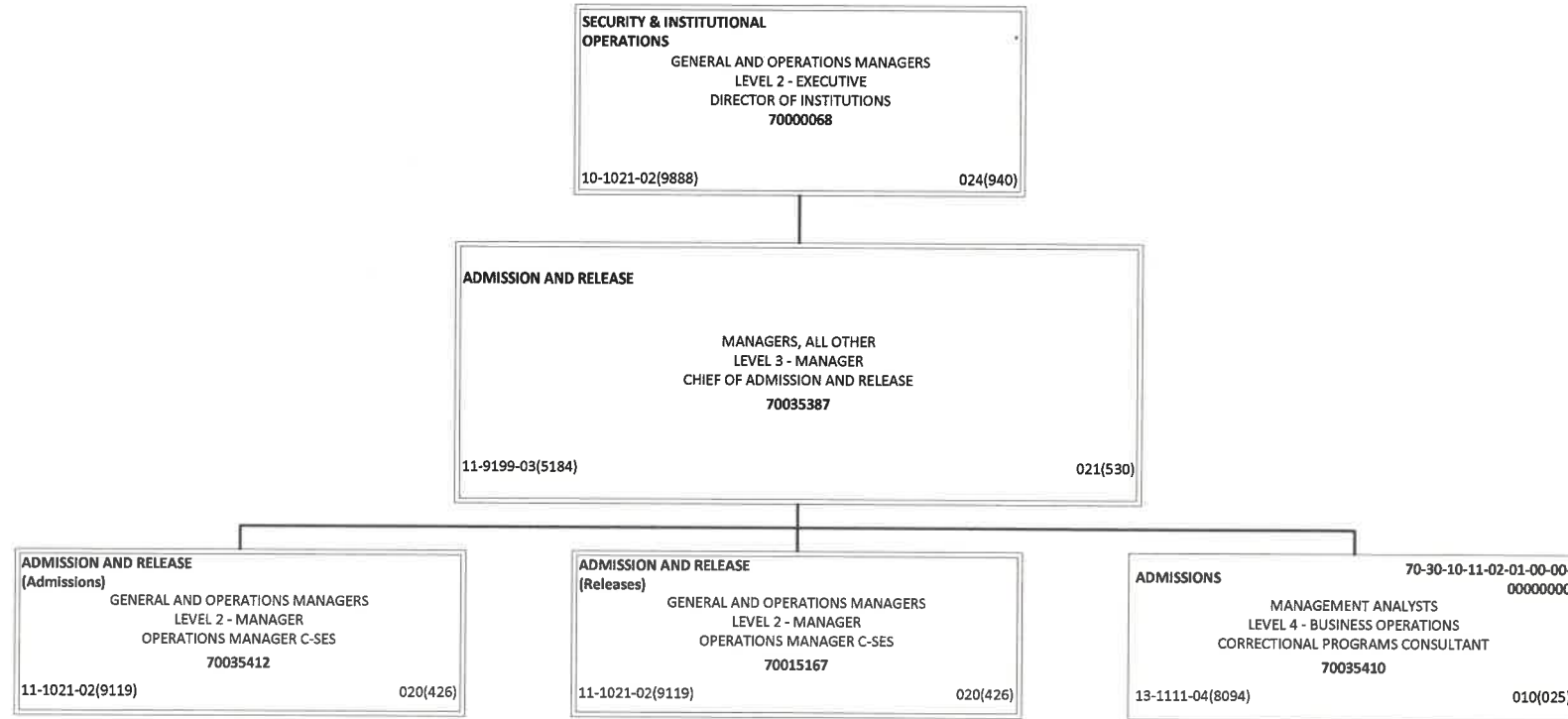
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
Bureau/Comparable: ADMISSION AND RELEASE
Section/Subsection:

ADMISSIONS AND RELEASES

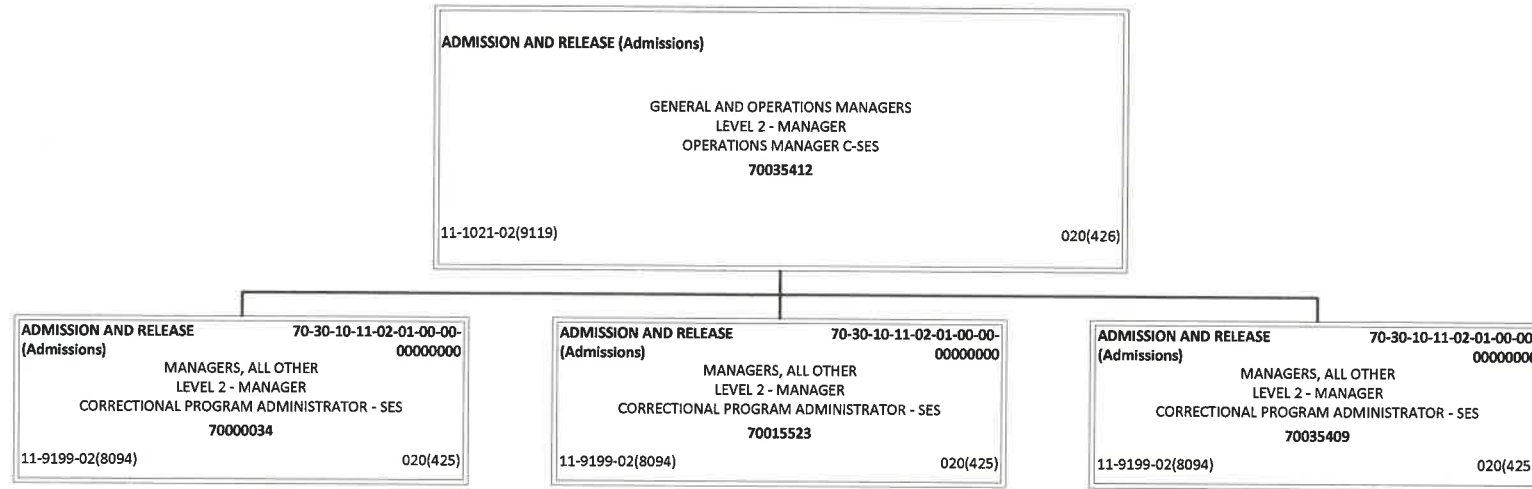
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
Bureau/Comparable: ADMISSION AND RELEASE
Section/Subsection: Admissions

ADMISSIONS (Operations Manager 35412)

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
 Bureau/Comparable: ADMISSION AND RELEASE
 Section/Subsection: Admissions

ADMISSIONS (Correctional Program Administrator 00034)

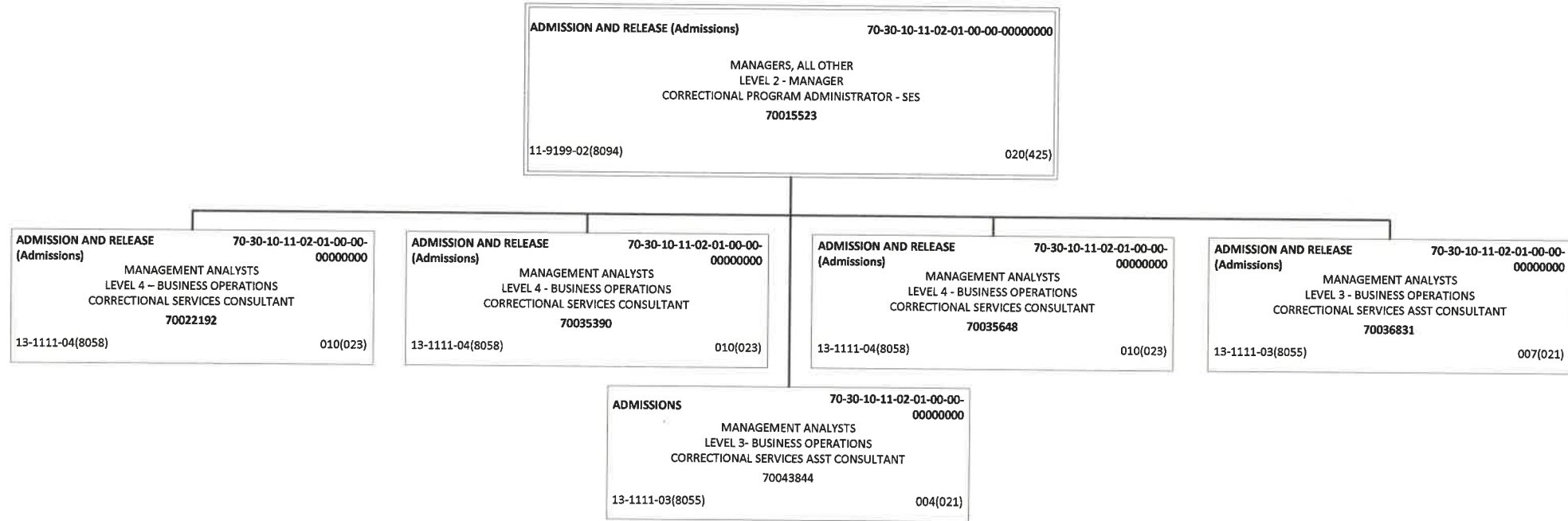
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
 Bureau/Comparable: ADMISSION AND RELEASE
 Section/Subsection: Admissions

ADMISSIONS (Correctional Program Administrator 15523)

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

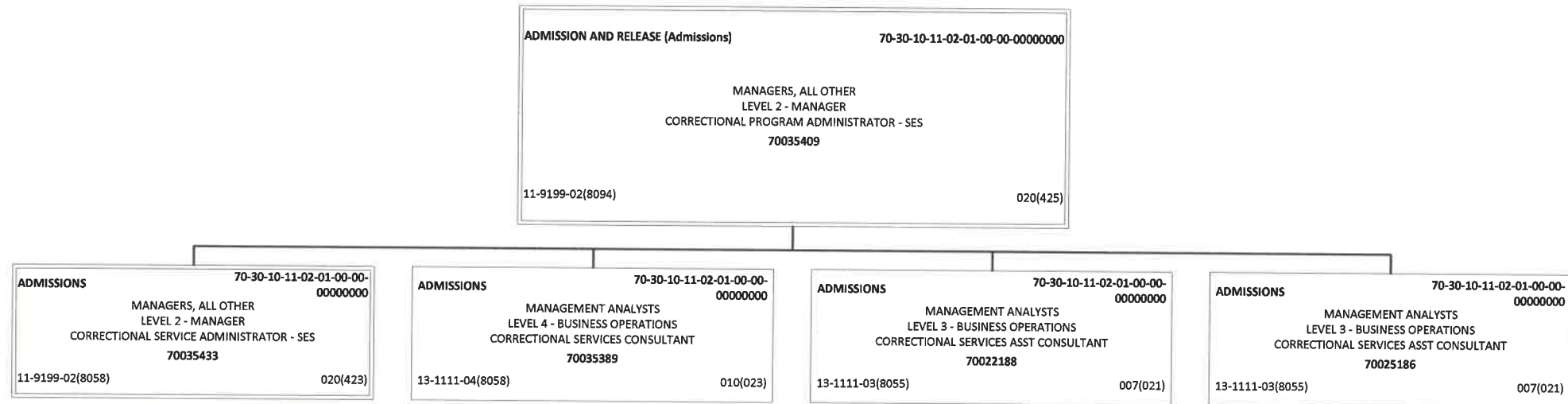
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS

Bureau/Comparable: ADMISSION AND RELEASE

Section/Subsection: Admissions

ADMISSIONS (Correctional Program Administrator 35409)

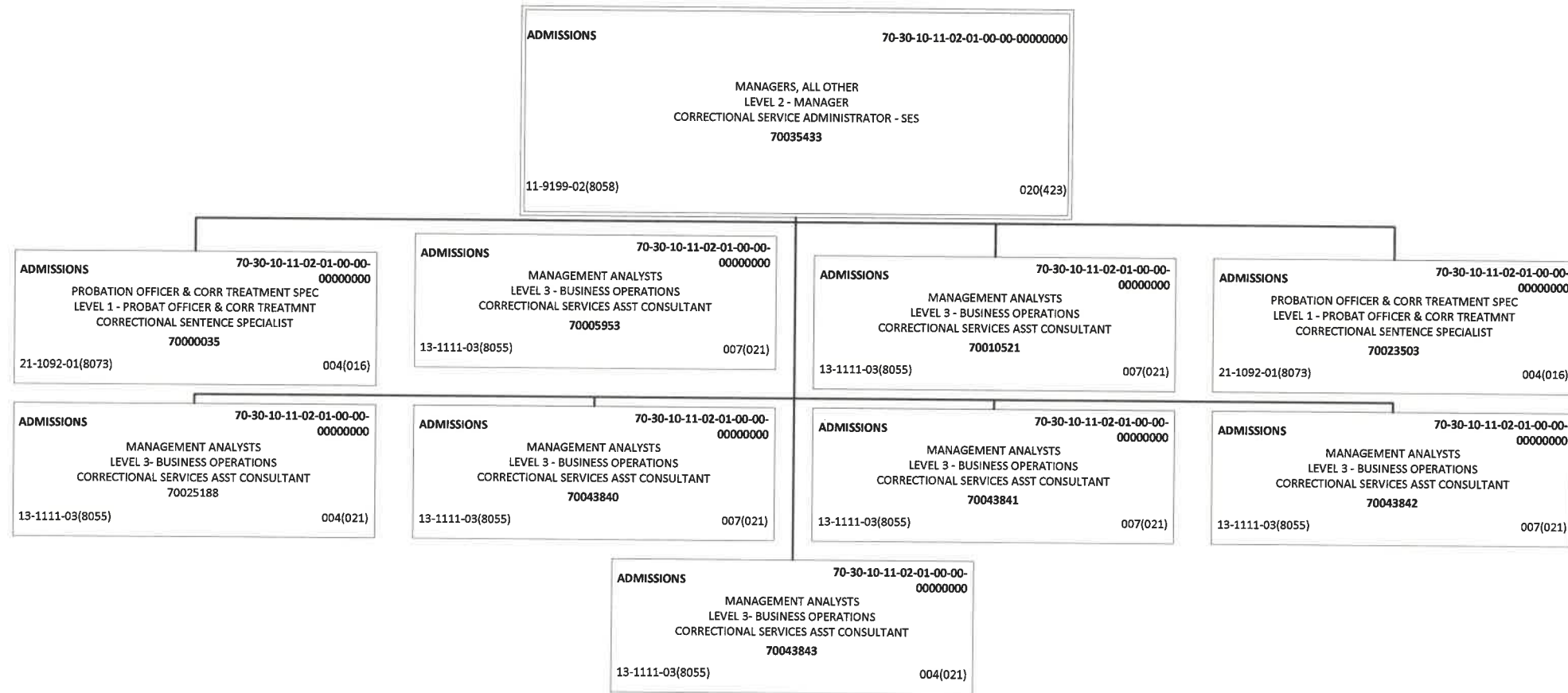
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
Bureau/Comparable: ADMISSION AND RELEASE
Section/Subsection: Admissions

ADMISSIONS (Correctional Service Administrator 35433)

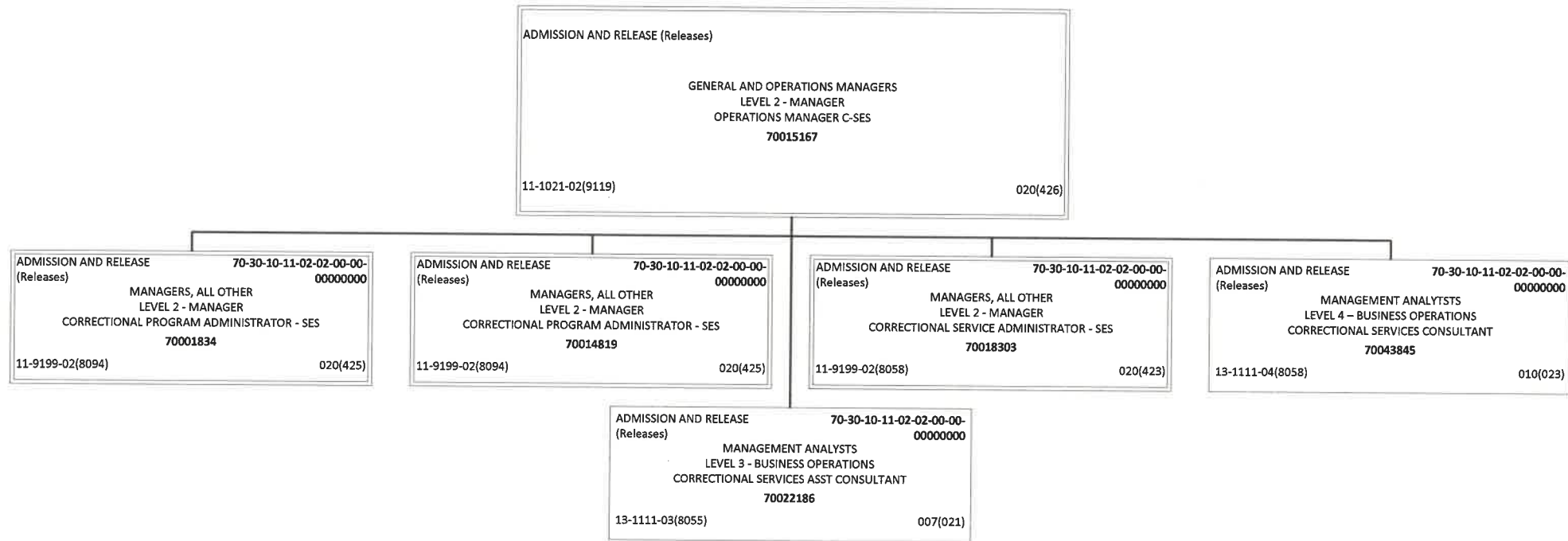
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
 Bureau/Comparable: ADMISSION AND RELEASE
 Section/Subsection: Releases

RELEASES (Operations Manager 15167)

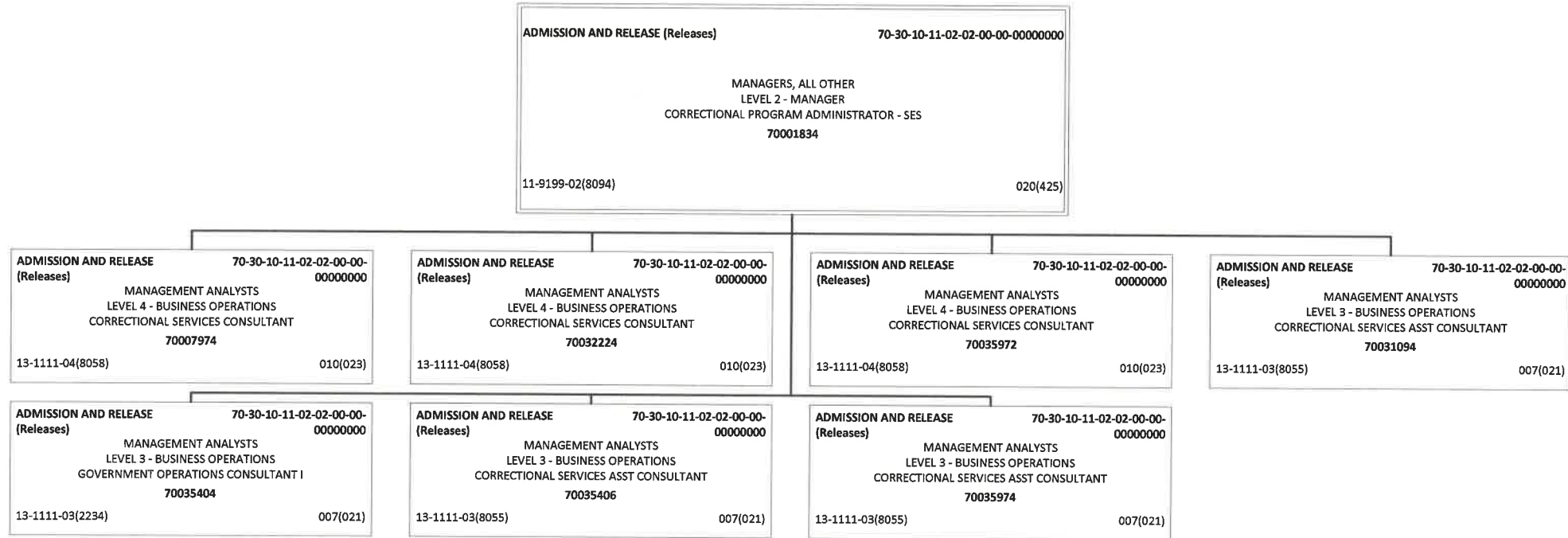
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
 Bureau/Comparable: ADMISSION AND RELEASE
 Section/Subsection: Releases

RELEASES (Correctional Program Administrator 01834)

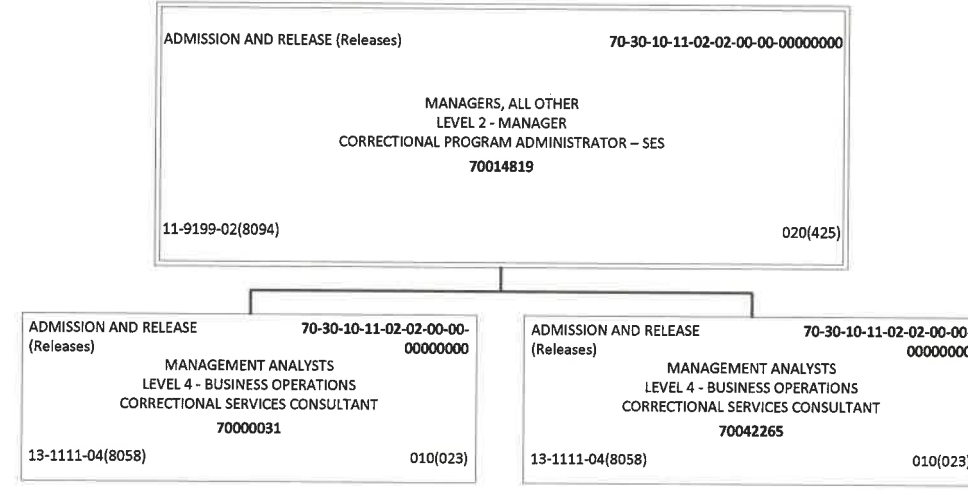
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
Bureau/Comparable: ADMISSION AND RELEASE
Section/Subsection: Releases

RELEASES (Correctional Service Administrator 14819)

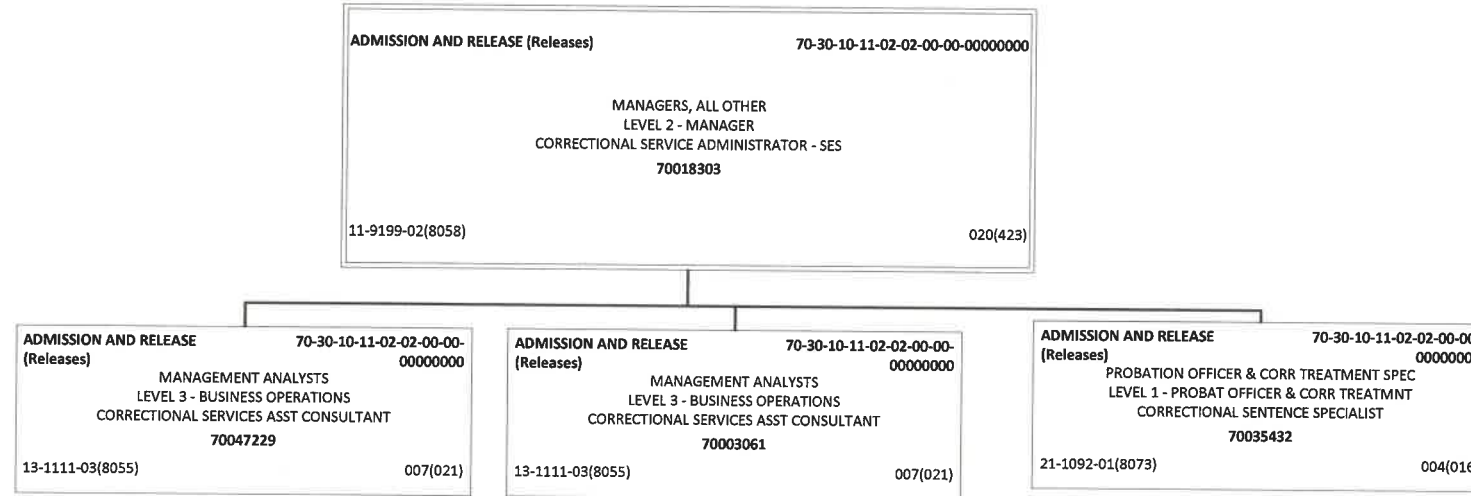
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
Bureau/Comparable: ADMISSION AND RELEASE
Section/Subsection: Releases

RELEASES (Correctional Service Administrator 18303)

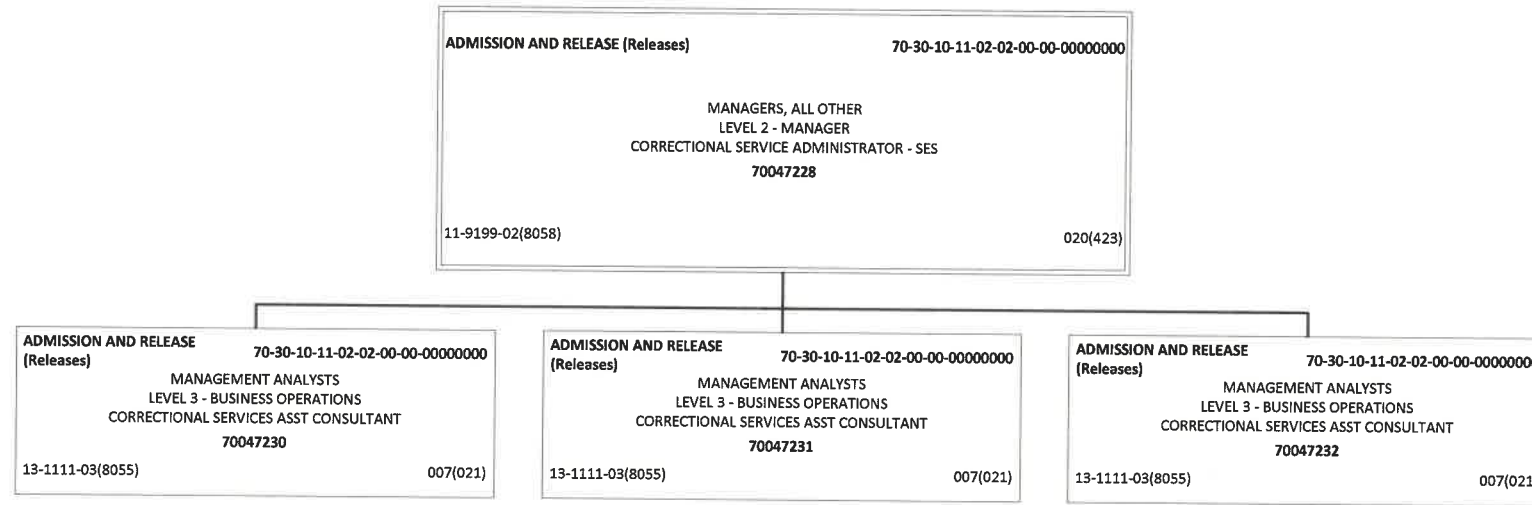
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
Bureau/Comparable: ADMISSION AND RELEASE
Section/Subsection: Releases

RELEASES (Correctional Services Administrator 47228)

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS
 Bureau/Comparable: COMMUNITY PROGRAMS
 Bureau/Comparable: P&P FIELD SERVICES & INTERSTATE COMPACT
 Section/Subsection:

COMMUNITY CORRECTIONS

CURRENT

COMMUNITY CORRECTIONS 70-40-00-00-00-00-00-00000000
 COMMUNITY AND SOCIAL SERVICE MANAGERS
 LEVEL 2 - EXECUTIVE
 ASST SECRETARY FOR COMMUNITY CORRECTIONS
 70000100
 10-9151-02(9889) 024(940)

**REGIONAL DIRECTOR'S OFF-
COMM CORR REG III** 70-40-00-00-00-00-00-00000000
 MANAGEMENT ANALYST
 LEVEL 4 - BUSINESS OPERATIONS
 MANAGEMENT REVIEW SPECIALIST - SES
 70008057
 13-1111-04(2239) 00(424)

COMMUNITY CORRECTIONS 70-40-00-00-00-00-00-00000000
 COMMUNITY AND SOCIAL SERVICE MANAGERS
 LEVEL 1 - EXECUTIVE
 LEAD REGIONAL DIR OF COMMUNITY CORRECTIONS-DC
 70023981
 10-9151-01(8272) 023(930)

**REGIONAL DIRECTOR'S OFF-
COMM CORR REG III** 70-43-30-90-01-00-00-00-00000000
 COMMUNITY AND SOCIAL SERVICE MANAGERS
 LEVEL 1 - EXECUTIVE
 REGIONAL DIR OF COMMUNITY CORRECTIONS-DC
 70033980
 10-9151-01(8272) 023(930)

BUSINESS OPERATIONS 70-30-10-12-00-00-00-00-00000000
 GENERAL AND OPERATIONS MANAGERS
 LEVEL 2 - MANAGER
 OPERATIONS & MGMT CONSULTANT MGR - SES
 70035145
 11-1021-02(2238) 020(425)

**REGIONAL DIRECTORS OFF-
COMM CORR REG IV** 70-44-40-90-01-00-00-00-00000000
 COMMUNITY AND SOCIAL SERVICE MANAGERS
 LEVEL 1 - EXECUTIVE
 REGIONAL DIR OF COMMUNITY CORRECTIONS-DC
 70033892
 10-9151-01(8272) 023(930)

**REGIONAL DIRECTOR'S OFF-
COMM CORR REG II** 70-43-20-90-01-00-00-00-00000000
 COMMUNITY AND SOCIAL SERVICE MANAGERS
 LEVEL 1 - EXECUTIVE
 REGIONAL DIR OF COMMUNITY CORRECTIONS-DC
 70023578
 10-9151-01(8272) 023(930)

COMMUNITY PROGRAMS 70-40-10-14-00-00-00-00-00000000
 MANAGERS, ALL OTHER
 LEVEL 3 - MANAGER
 ASSISTANT DIR OF TRANSITION SERVICES-DC
 70037180
 11-9199-03(7146) 021(540)

**REGIONAL DIRECTOR'S OFF-
COMM CORR REG III** 70-43-30-90-01-00-00-00-00000000
 COMMUNITY AND SOCIAL SERVICE MANAGERS
 LEVEL 3 - MANAGER
 DEPUTY REG DIR OF COMMUNITY CORR
 (ASST REGIONAL DIR OF COMMUNITY CORR - working title)
 70023741
 11-9151-03(5257) 021(540)

BUSINESS OPERATIONS 70-30-10-12-00-00-00-00-00000000
 MANAGEMENT ANALYSTS
 LEVEL 4 - BUSINESS OPERATIONS
 GOVERNMENT OPERATIONS CONSULTANT II
 70012924
 13-1111-04(2236) 010(023)

**REGIONAL DIRECTORS OFF-
COMM CORR REG IV** 70-44-40-90-01-00-00-00-00000000
 COMMUNITY AND SOCIAL SERVICE MANAGERS
 LEVEL 3 - MANAGER
 DEPUTY REG DIR OF COMMUNITY CORR
 (ASST REGIONAL DIR OF COMMUNITY CORR - working title)
 70015724
 11-9151-03(5257) 021(540)

COMMUNITY PROGRAMS 70-40-10-14-00-00-00-00-00000000
 MANAGEMENT ANALYSTS
 LEVEL 3 - BUSINESS OPERATIONS
 CORRECTIONAL SERVICES ASST CONSULTANT
 70002884
 13-1111-03(8055) 020(021)

**P&P FIELD SERVICES &
INTERSTATE COMPACT** 70-40-10-13-00-00-00-00-00000000
 MANAGERS, ALL OTHER
 LEVEL 3 - MANAGER
 CHIEF OF PROBATION/PAROLE FIELD SERVICES-DC
 70005938
 11-9199-03(5191) 021(530)

BUSINESS OPERATIONS 70-30-10-12-00-00-00-00-00000000
 MANAGEMENT ANALYSTS
 LEVEL 4 - BUSINESS OPERATIONS
 GOVERNMENT OPERATIONS CONSULTANT II
 70002174
 13-1111-04(2236) 010(023)

FT LAUDERDALE CIR 17 OFFICE 70-44-40-17-00-00-00-00-00000000
 MANAGEMENT ANALYSTS
 LEVEL 4 - BUSINESS OPERATIONS
 GOVERNMENT OPERATIONS CONSULTANT II
 70008166
 13-1111-04(2236) 010(023)

**REGIONAL DIRECTOR'S OFF-
COMM CORR REG I** 70-41-10-90-01-00-00-00-00000000
 COMMUNITY AND SOCIAL SERVICE MANAGERS
 LEVEL 1 - EXECUTIVE
 REGIONAL DIR OF COMMUNITY CORRECTIONS-DC
 70015665
 10-9151-01(8272) 023(930)

PROBATION & FIELD SERVICES 70-40-10-13-01-00-00-00-00000000
 MANAGEMENT ANALYSTS
 LEVEL 4 - BUSINESS OPERATIONS
 CORRECTIONAL SERVICES CONSULTANT
 70016545
 13-1111-04(8058) 010(0023)

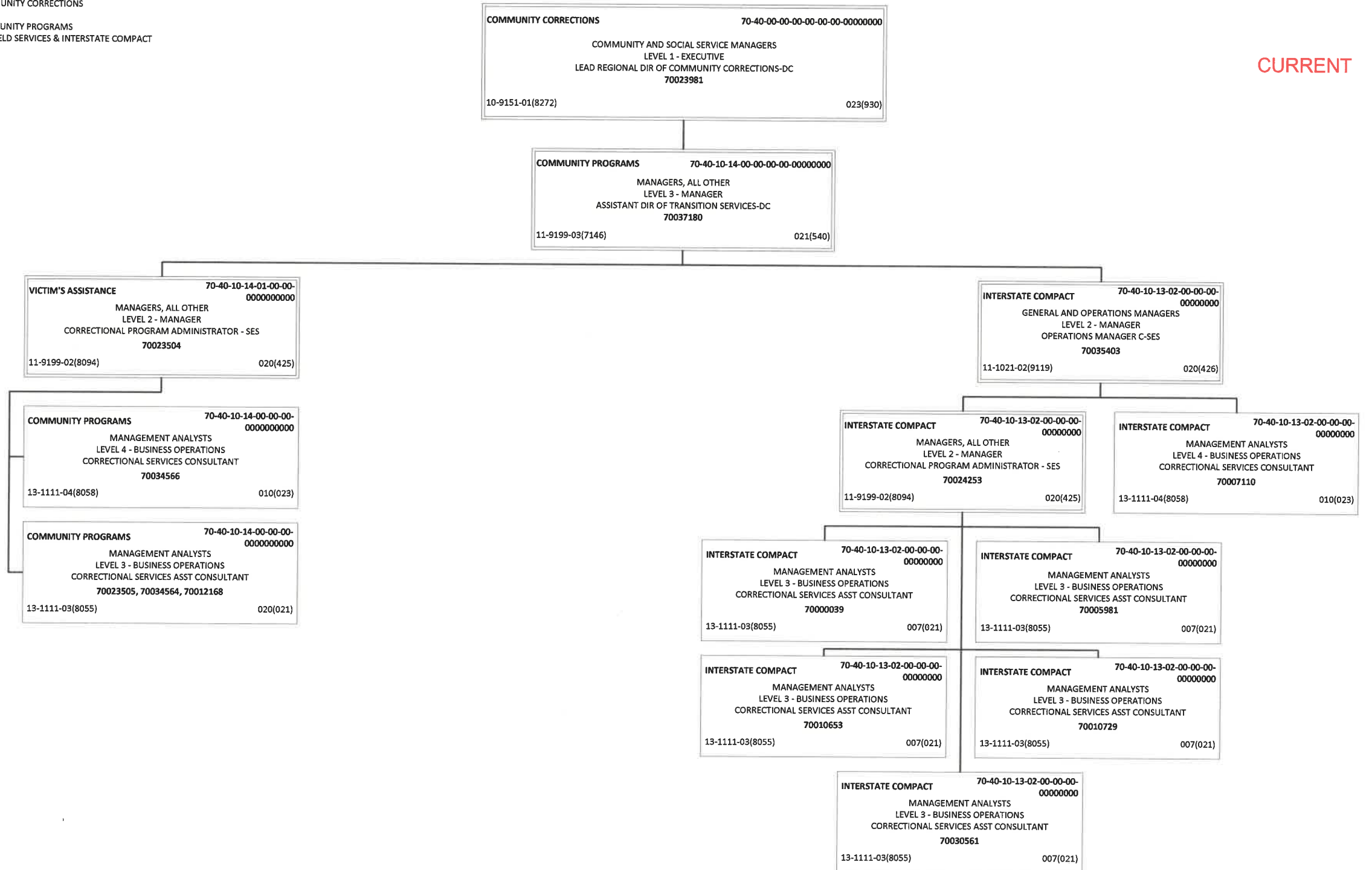
BUSINESS OPERATIONS 70-30-10-12-00-00-00-00-00000000
 MANAGEMENT ANALYSTS
 LEVEL 4 - BUSINESS OPERATIONS
 GOVERNMENT OPERATIONS CONSULTANT II
 70032544
 13-1111-04(2236) 010(023)

BUSINESS OPERATIONS 70-30-10-12-00-00-00-00-00000000
 MANAGEMENT ANALYSTS
 LEVEL 4 - BUSINESS OPERATIONS
 GOVERNMENT OPERATIONS CONSULTANT III
 70014248
 13-1111-04(2238) 010(025)

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS
 Bureau/Comparable: COMMUNITY PROGRAMS
 Bureau/Comparable: P&P FIELD SERVICES & INTERSTATE COMPACT
 Section/Subsection:

COMMUNITY CORRECTIONS (PROGRAMS)

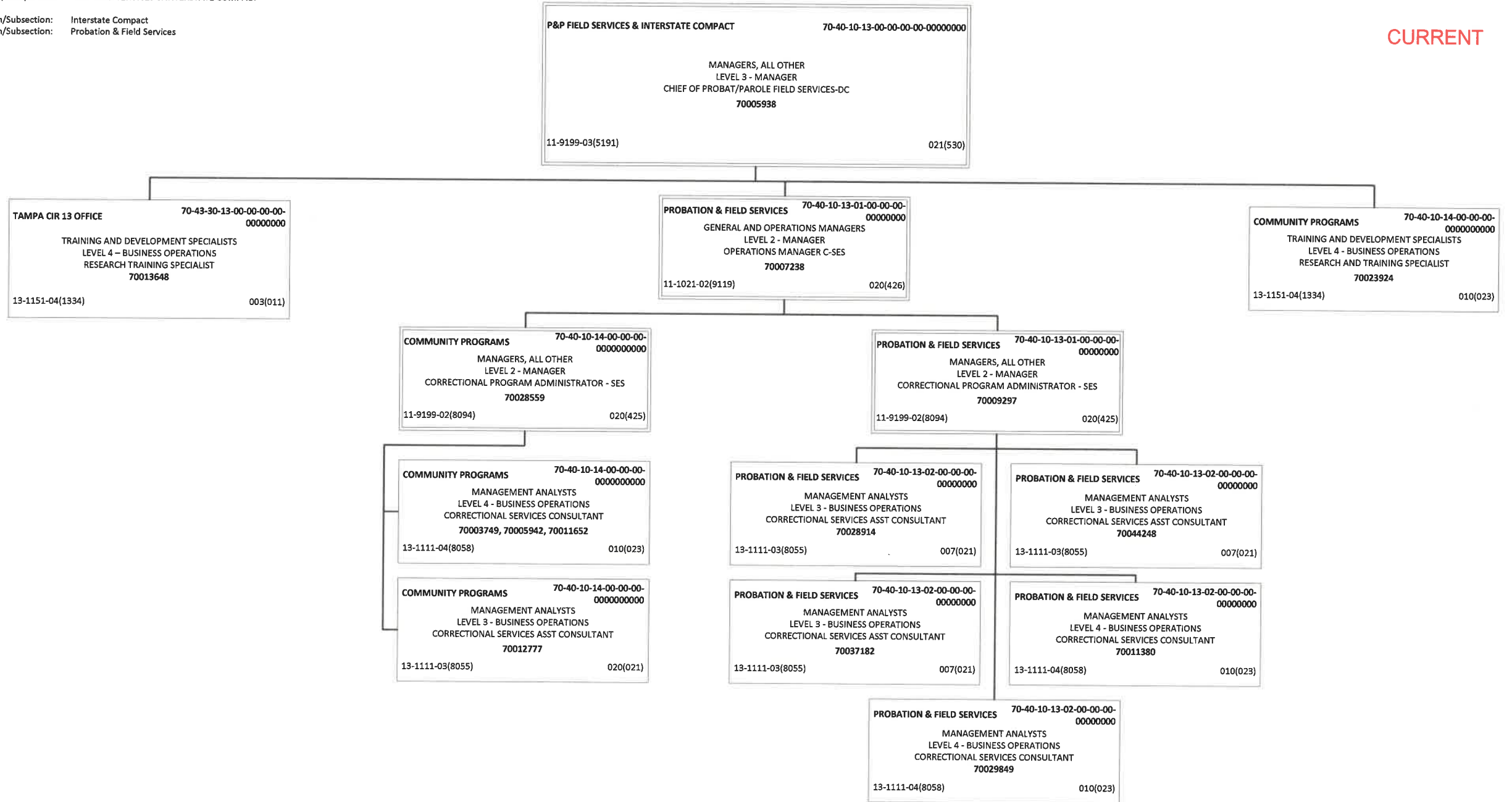
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS
 Bureau/Comparable: P&P FIELD SERVICES & INTERSTATE COMPACT
 Section/Subsection: Interstate Compact
 Section/Subsection: Probation & Field Services

P&P FIELD SERVICES & INTERSTATE COMPACT

CURRENT



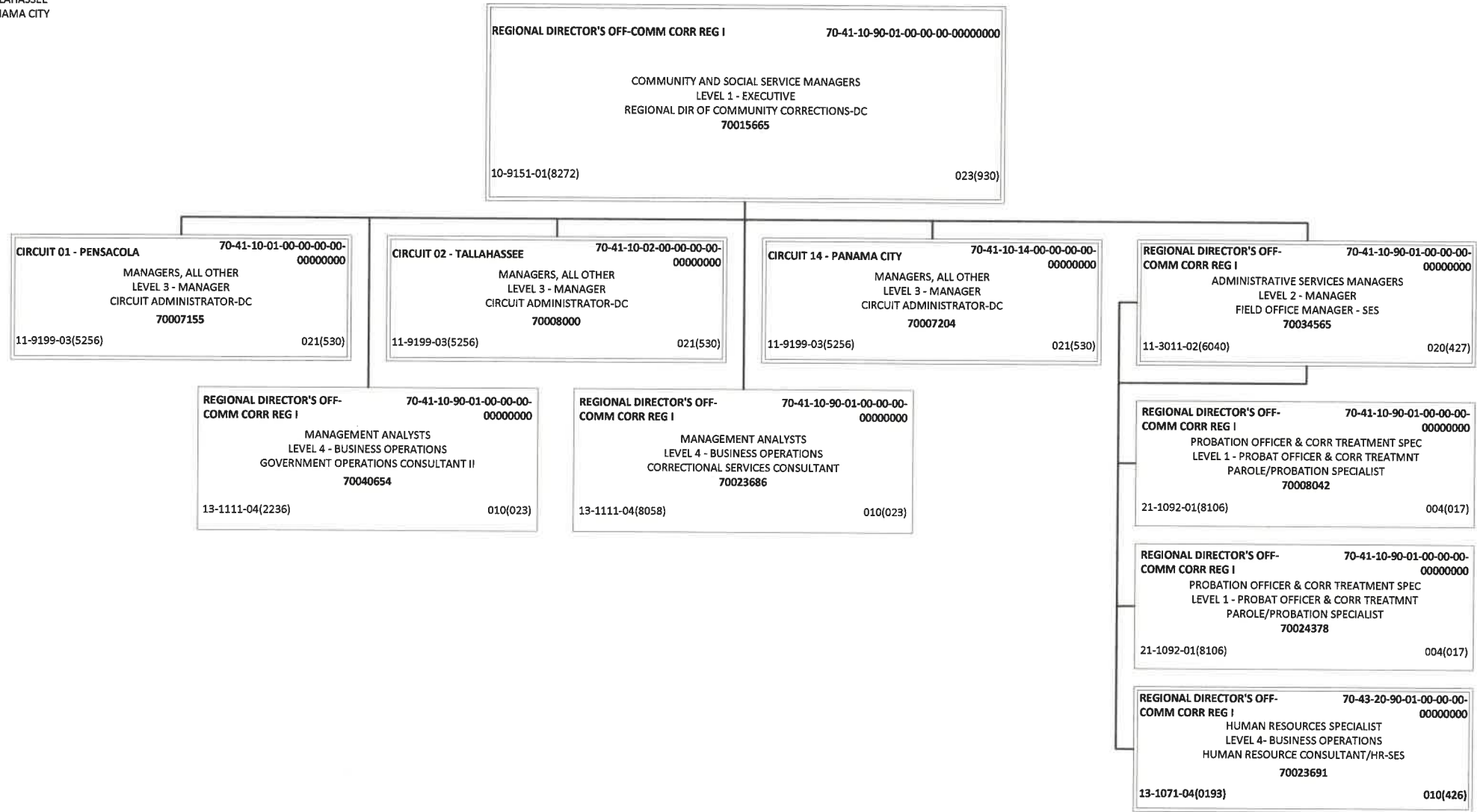
Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS/REGIONAL DIRECTOR'S OFF
 COMM CORR REG I

Bureau/Comparable: CIRCUIT 01 - PENSACOLA
 Bureau/Comparable: CIRCUIT 02 - TALLAHASSEE
 Bureau/Comparable: CIRCUIT 14 - PANAMA CITY

Section/Subsection:

REGION I

CURRENT



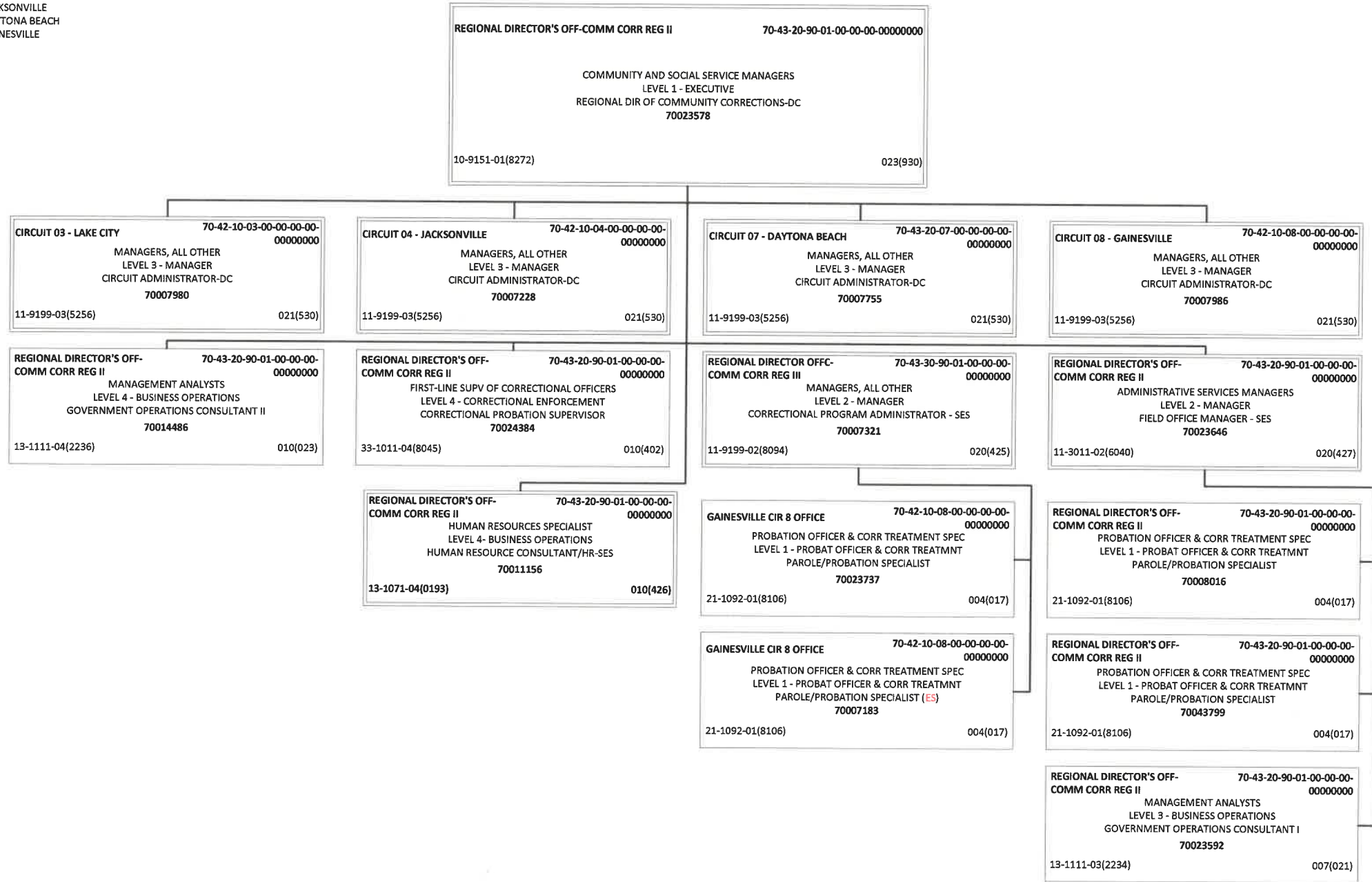
Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS/REGIONAL DIRECTOR'S OFF
 COMM CORR REG II

Bureau/Comparable: CIRCUIT 03 - LAKE CITY
 Bureau/Comparable: CIRCUIT 04 - JACKSONVILLE
 Bureau/Comparable: CIRCUIT 07 - DAYTONA BEACH
 Bureau/Comparable: CIRCUIT 08 - GAINESVILLE

Section/Subsection:

REGION II

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS/REGIONAL DIRECTOR'S OFF COMM CORR REG III

Bureau/Comparable: CIRCUIT 05 - TAVARES
 Bureau/Comparable: CIRCUIT 06 - CLEARWATER
 Bureau/Comparable: CIRCUIT 09 - ORLANDO
 Bureau/Comparable: CIRCUIT 10 - LAKELAND
 Bureau/Comparable: CIRCUIT 12 - SARASOTA
 Bureau/Comparable: CIRCUIT 13 - TAMPA
 Bureau/Comparable: CIRCUIT 18 - SANFORD

Section/Subsection:

REGION III

CURRENT



REGIONAL DIRECTOR OFF-COMM CORR REG III - LEASING
 70-43-30-90-01-90-00-00-00000000
 MANAGEMENT ANALYSTS
 LEVEL 4 - BUSINESS OPERATIONS
 GOVERNMENT OPERATIONS CONSULTANT II
 70002174
 13-1111-04(2236) 010(023)

REGIONAL DIRECTOR'S OFF-COMM CORR REG III - LEASING
 70-43-30-90-01-90-00-00-00000000
 MANAGEMENT ANALYSTS
 LEVEL 4 - BUSINESS OPERATIONS
 GOVERNMENT OPERATIONS CONSULTANT II
 70002544
 13-1111-03(2236) 010(023)

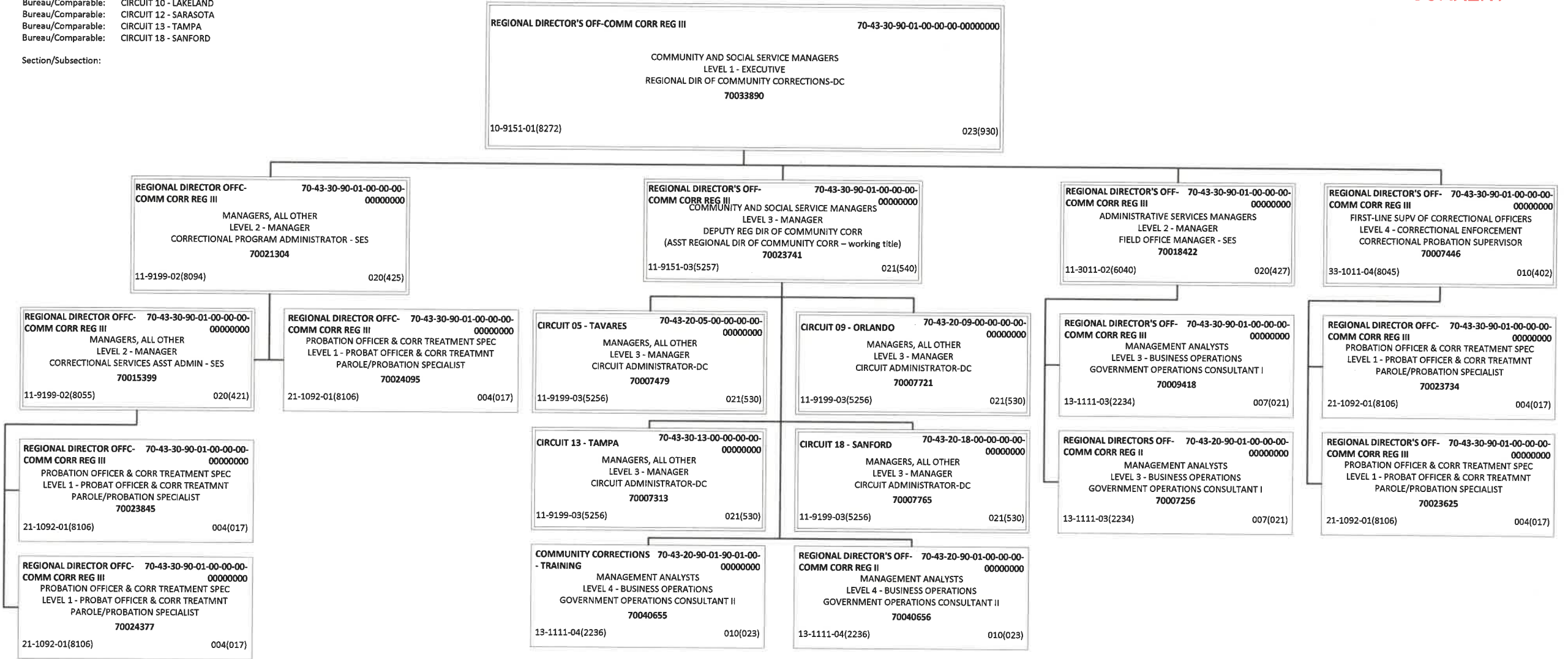
REGION III (cont.)

CURRENT

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS/REGIONAL DIRECTOR'S OFF COMM CORR REG III

Bureau/Comparable: CIRCUIT 05 - TAVARES
 Bureau/Comparable: CIRCUIT 06 - CLEARWATER
 Bureau/Comparable: CIRCUIT 09 - ORLANDO
 Bureau/Comparable: CIRCUIT 10 - LAKELAND
 Bureau/Comparable: CIRCUIT 12 - SARASOTA
 Bureau/Comparable: CIRCUIT 13 - TAMPA
 Bureau/Comparable: CIRCUIT 18 - SANFORD

Section/Subsection:



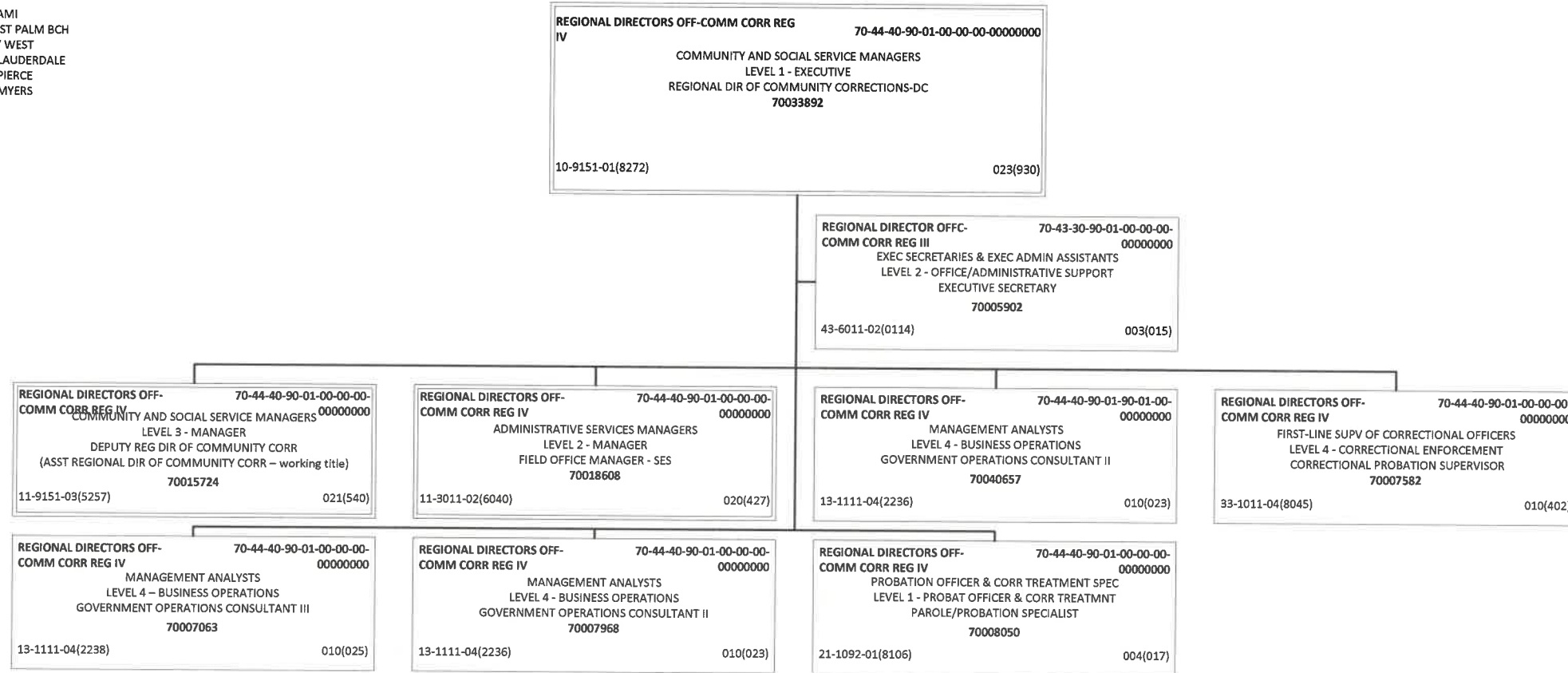
REGION IV

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS/REGIONAL DIRECTOR'S OFF COMM CORR REG IV

Bureau/Comparable: CIRCUIT 11 - MIAMI
 Bureau/Comparable: CIRCUIT 15 - WEST PALM BCH
 Bureau/Comparable: CIRCUIT 16 - KEY WEST
 Bureau/Comparable: CIRCUIT 17 - FT LAUDERDALE
 Bureau/Comparable: CIRCUIT 19 - FT PIERCE
 Bureau/Comparable: CIRCUIT 20 - FT MYERS

Section/Subsection:

CURRENT



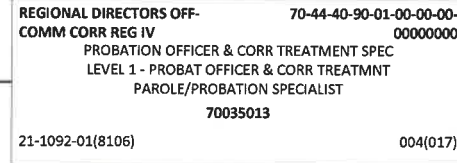
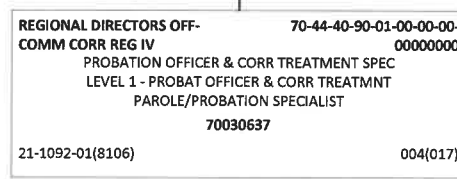
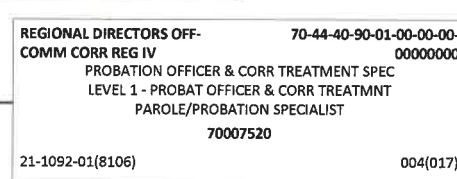
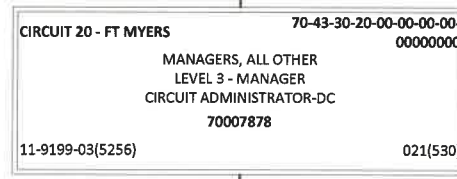
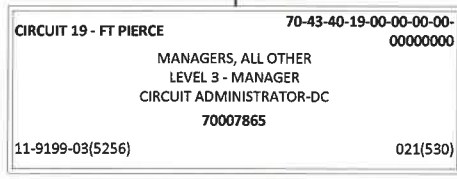
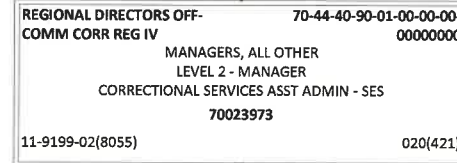
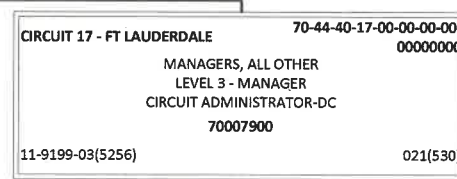
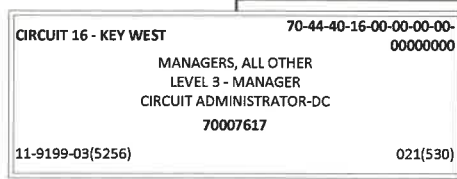
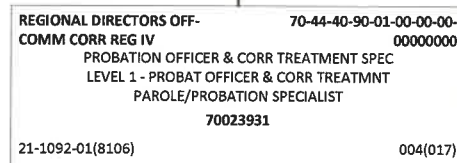
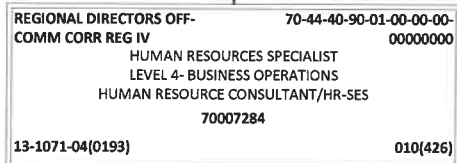
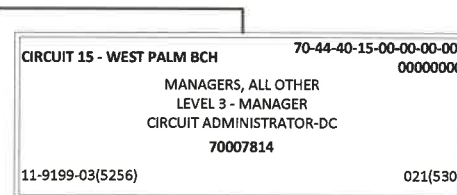
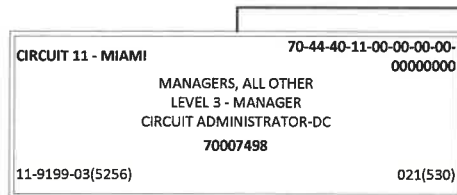
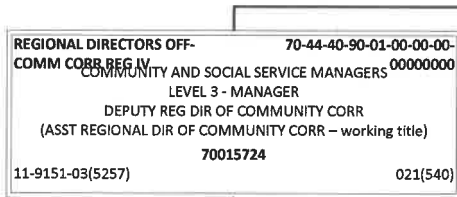
REGION IV (cont.)

CURRENT

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS/REGIONAL DIRECTOR'S OFF COMM CORR REG IV

Bureau/Comparable: CIRCUIT 11 - MIAMI
 Bureau/Comparable: CIRCUIT 15 - WEST PALM BCH
 Bureau/Comparable: CIRCUIT 16 - KEY WEST
 Bureau/Comparable: CIRCUIT 17 - FT LAUDERDALE
 Bureau/Comparable: CIRCUIT 19 - FT PIERCE
 Bureau/Comparable: CIRCUIT 20 - FT MYERS

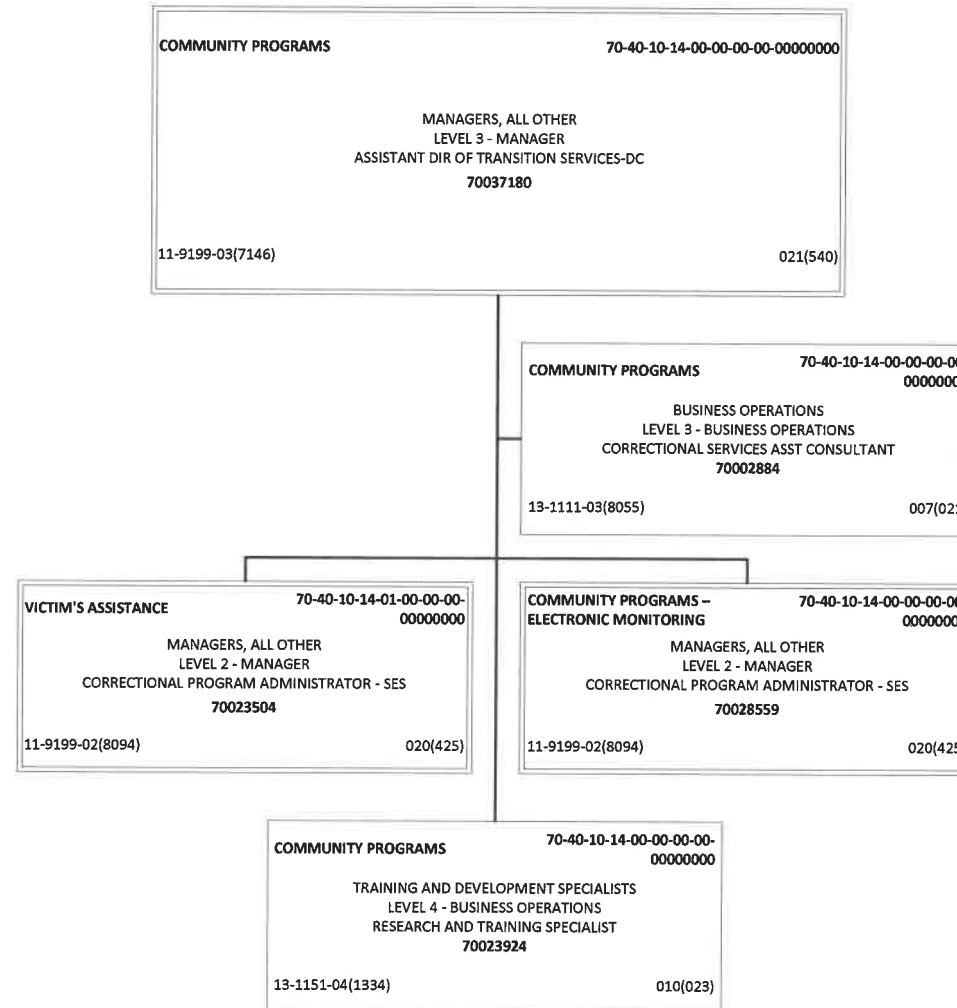
Section/Subsection:



Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: COMMUNITY CORRECTIONS
Bureau/Comparable: COMMUNITY PROGRAMS

COMMUNITY PROGRAMS

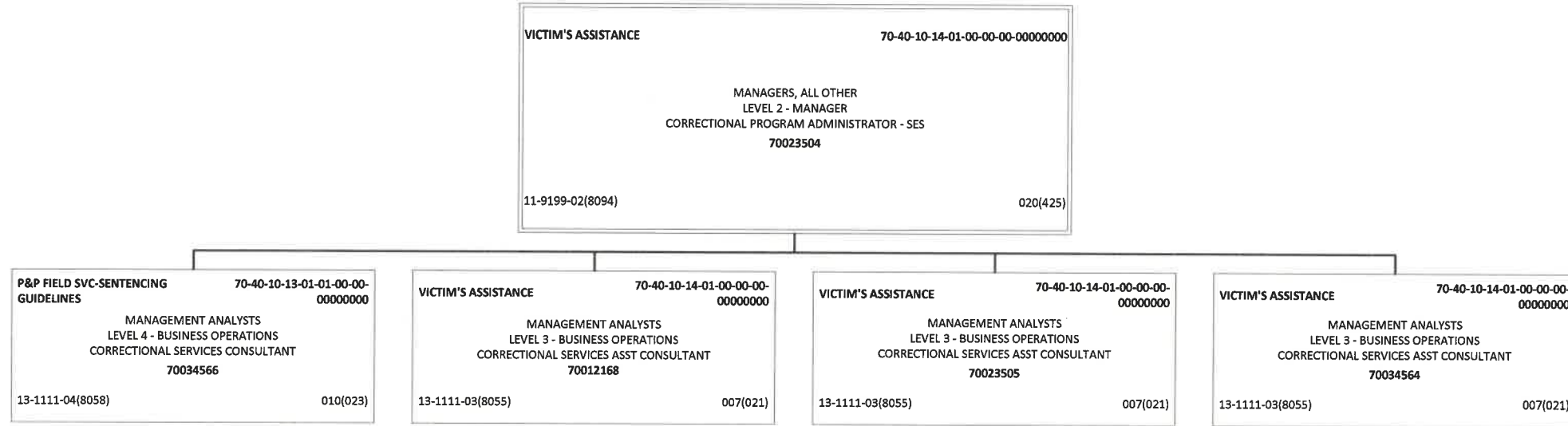
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS
 Bureau/Comparable: COMMUNITY PROGRAMS
 Sect/Sub-Section: VICTIM'S ASSISTANCE

VICTIM'S ASSISTANCE

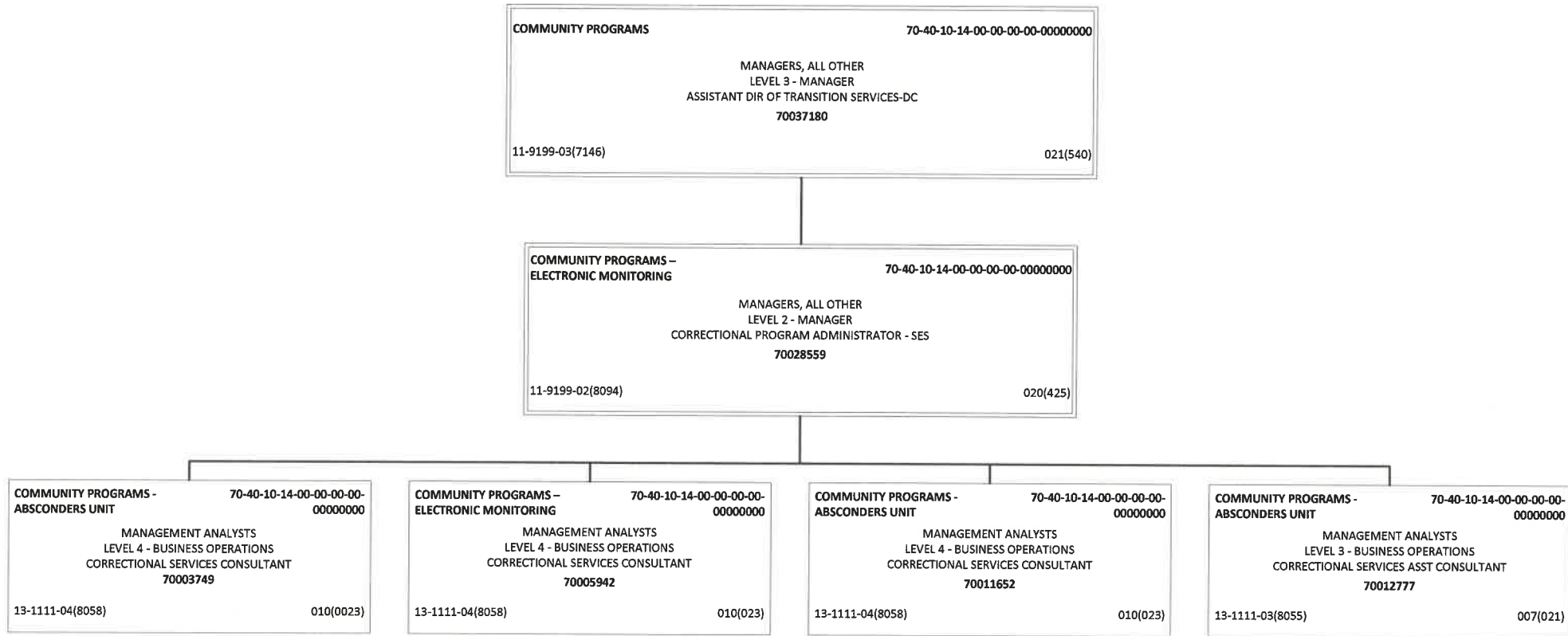
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS
 Bureau/Comparable: COMMUNITY PROGRAMS
 Sect/Sub-Section: SECURITY

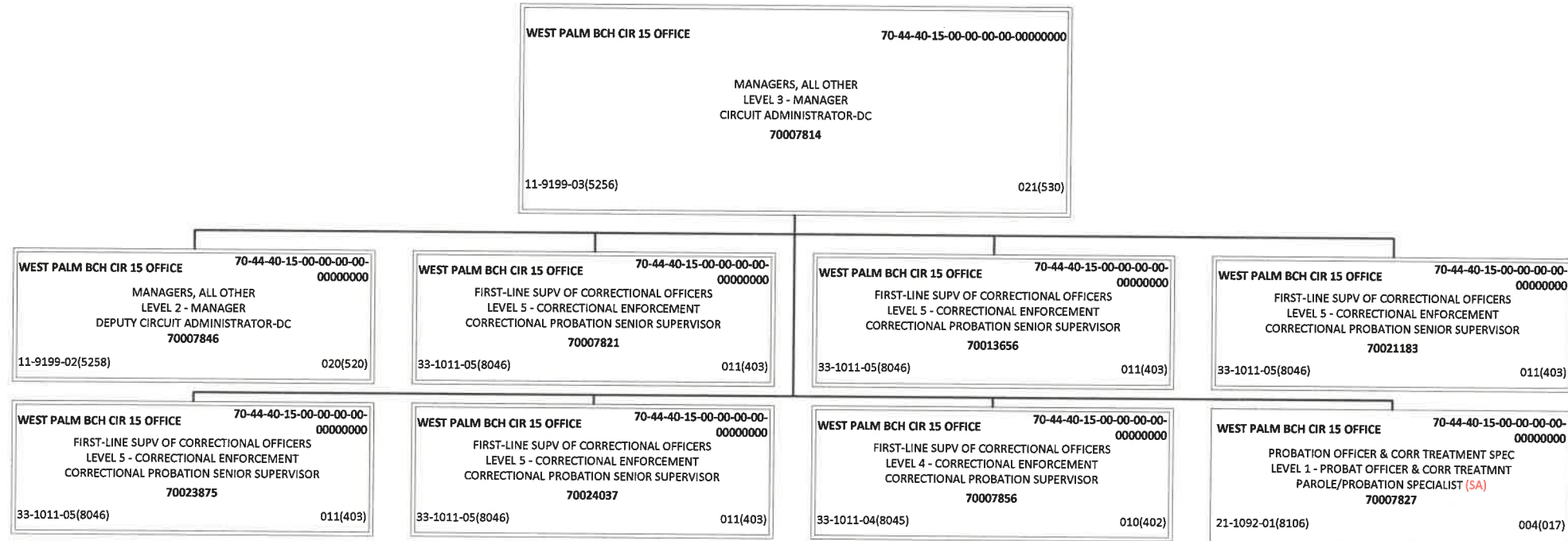
ELECTRONIC MONITORING

CURRENT



WEST PALM BEACH - CIRCUIT 15 (CA 07814)

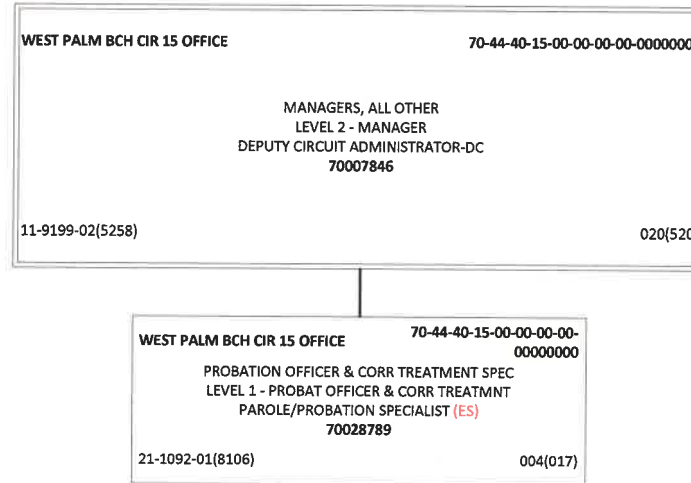
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: COMMUNITY CORRECTIONS/REGIONAL DIRECTOR'S OFF COMM CORR REG 4
Bureau/Comparable: CIRCUIT 15 – WEST PALM BEACH

WEST PALM BEACH - CIRCUIT 15 (DCA 07846)

CURRENT



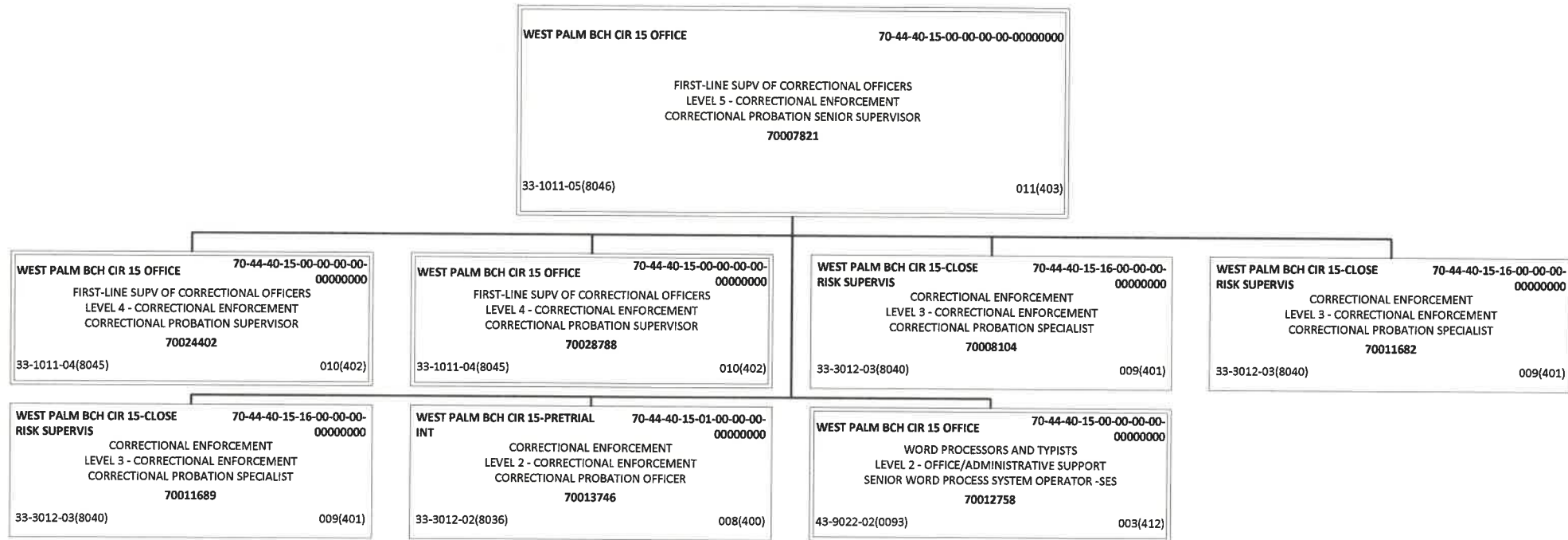
WEST PALM BEACH - CIRCUIT 15 (CPSupv 07856)

CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSS 07821)

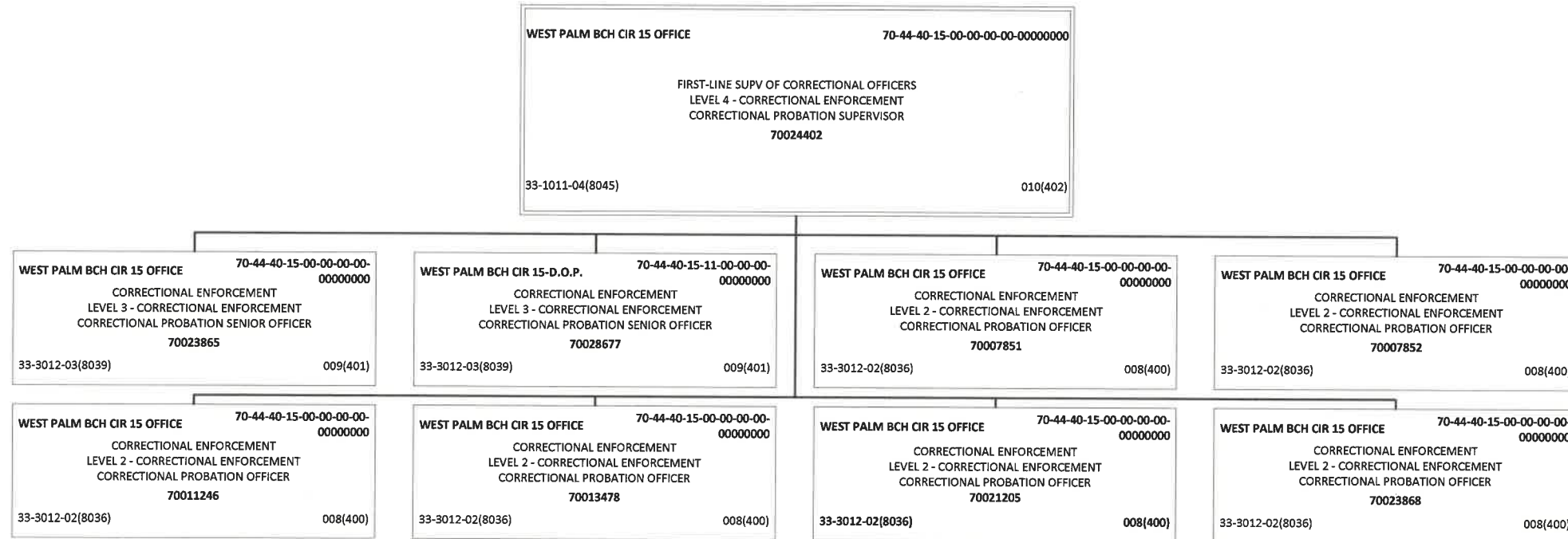
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS/REGIONAL DIRECTOR'S OFF COMM CORR REG 4
 Bureau/Comparable: CIRCUIT 15 – WEST PALM BEACH

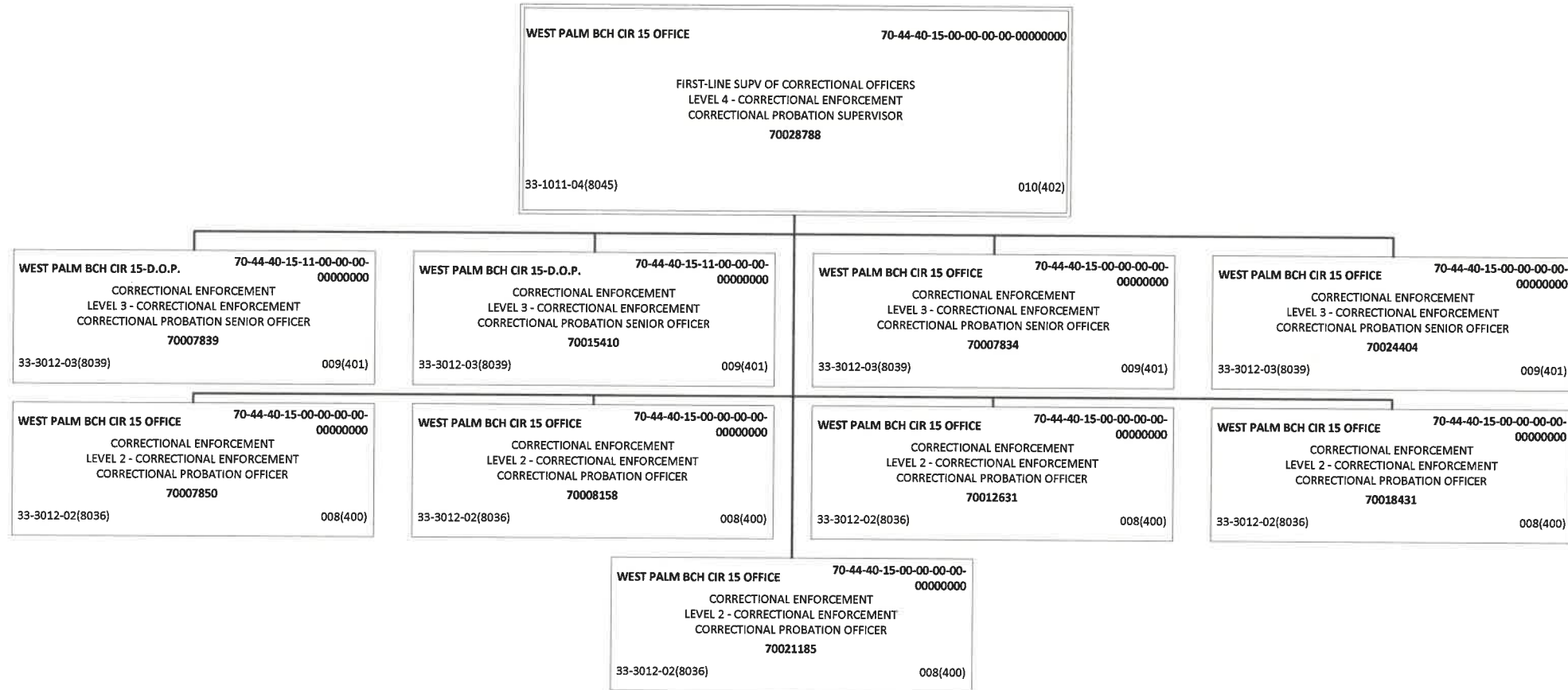
WEST PALM BEACH - CIRCUIT 15 (CPSupv 24402)

CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSupv 28788)

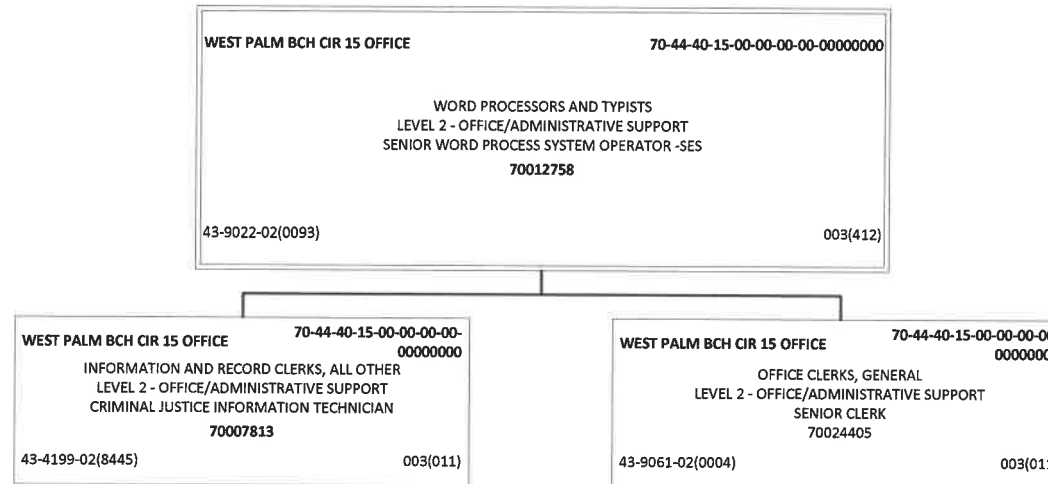
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS/REGIONAL DIRECTOR'S OFF COMM CORR REG 4
 Bureau/Comparable: CIRCUIT 15 – WEST PALM BEACH

WEST PALM BEACH - CIRCUIT 15 (SWPSO-SES 12758)

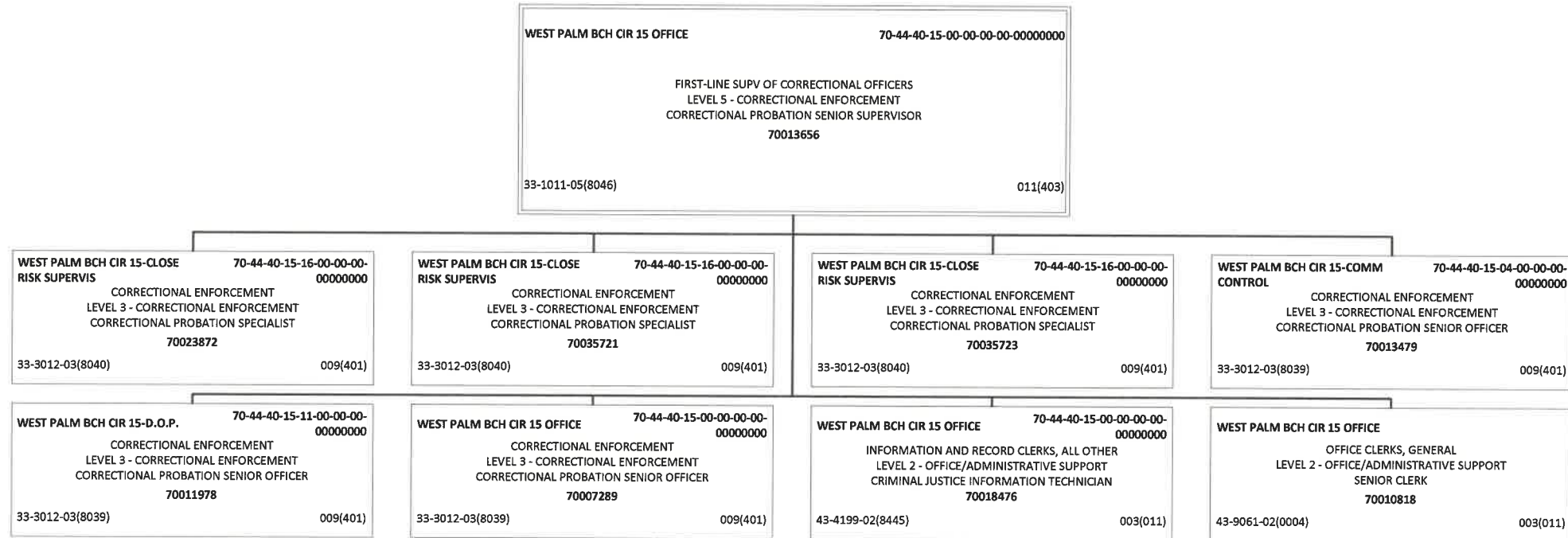
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS/REGIONAL DIRECTOR'S OFF COMM CORR REG 4
 Bureau/Comparable: CIRCUIT 15 – WEST PALM BEACH

WEST PALM BEACH - CIRCUIT 15 (CPSS 13656)

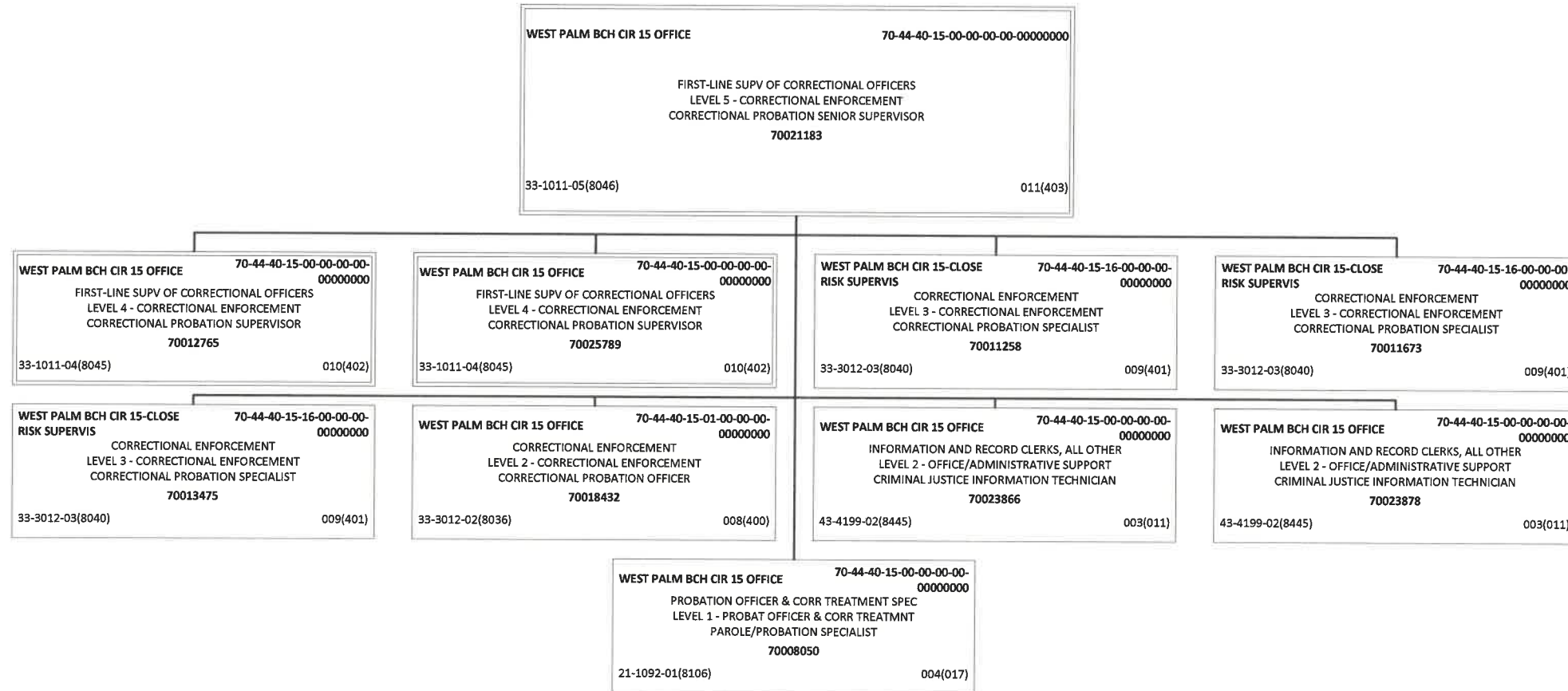
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS/REGIONAL DIRECTOR'S OFF COMM CORR REG 4
 Bureau/Comparable: CIRCUIT 15 - WEST PALM BEACH

WEST PALM BEACH - CIRCUIT 15 (CPSS 21183)

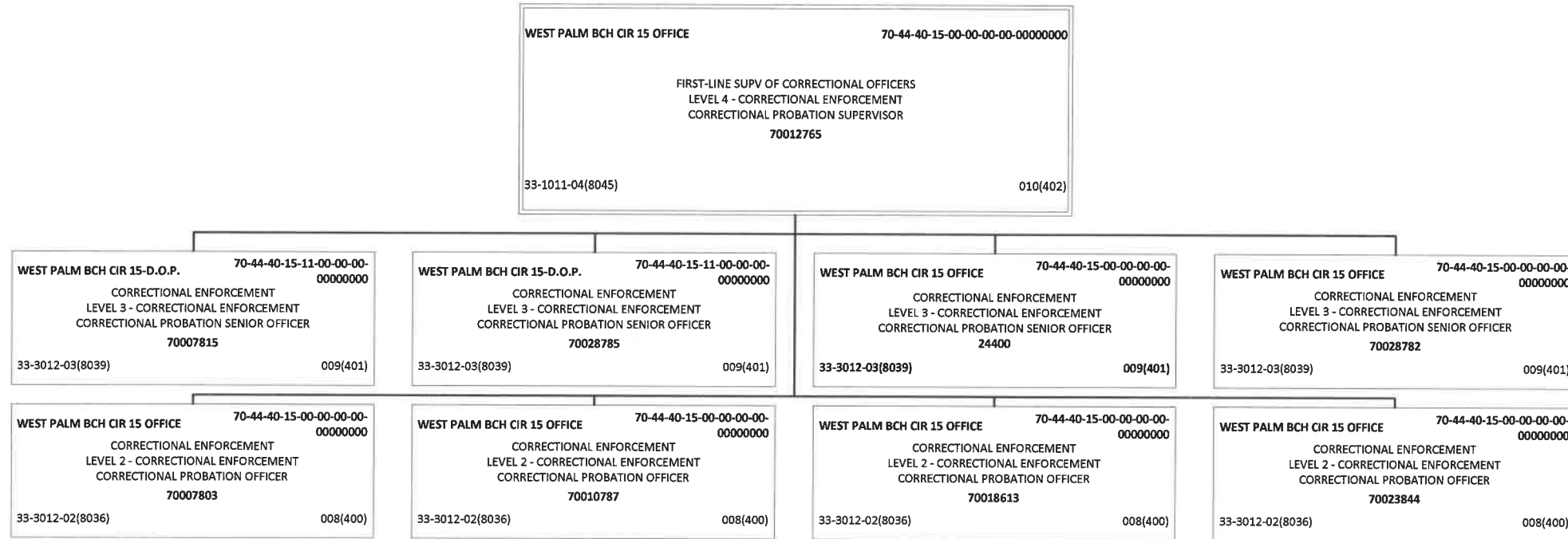
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS/REGIONAL DIRECTOR'S OFF COMM CORR REG 4
 Bureau/Comparable: CIRCUIT 15 – WEST PALM BEACH

WEST PALM BEACH - CIRCUIT 15 (CPSupv 12765)

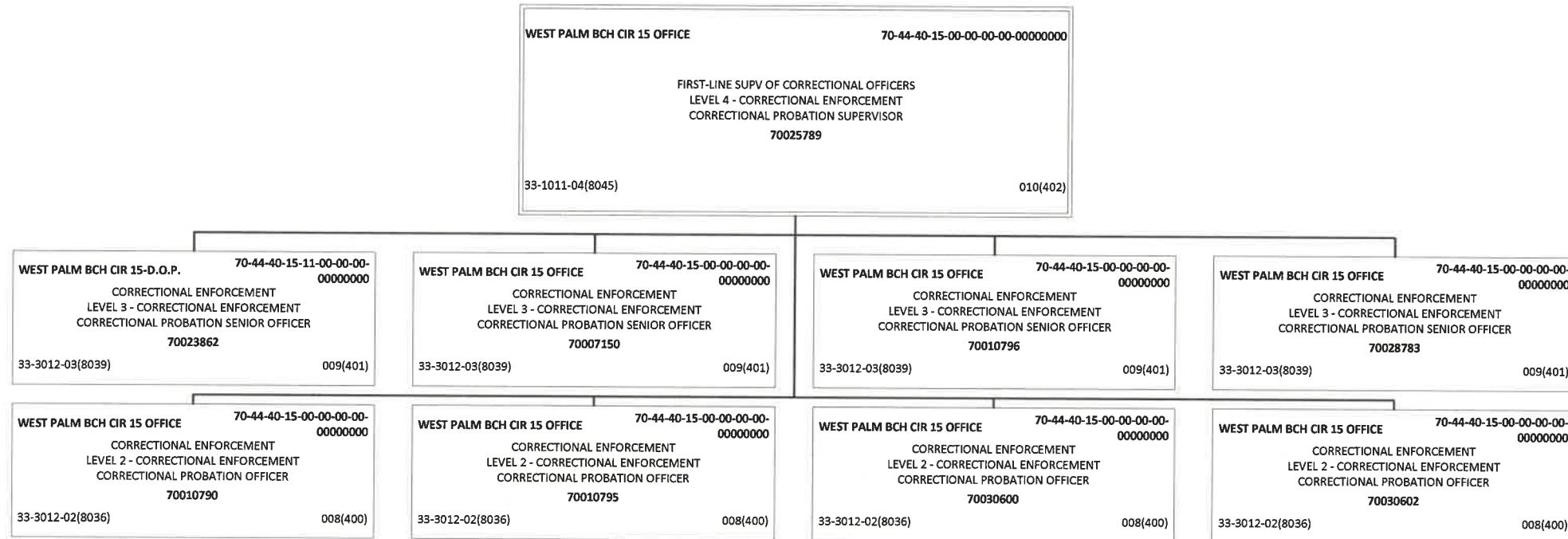
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS/REGIONAL DIRECTOR'S OFF COMM CORR REG 4
 Bureau/Comparable: CIRCUIT 15 – WEST PALM BEACH

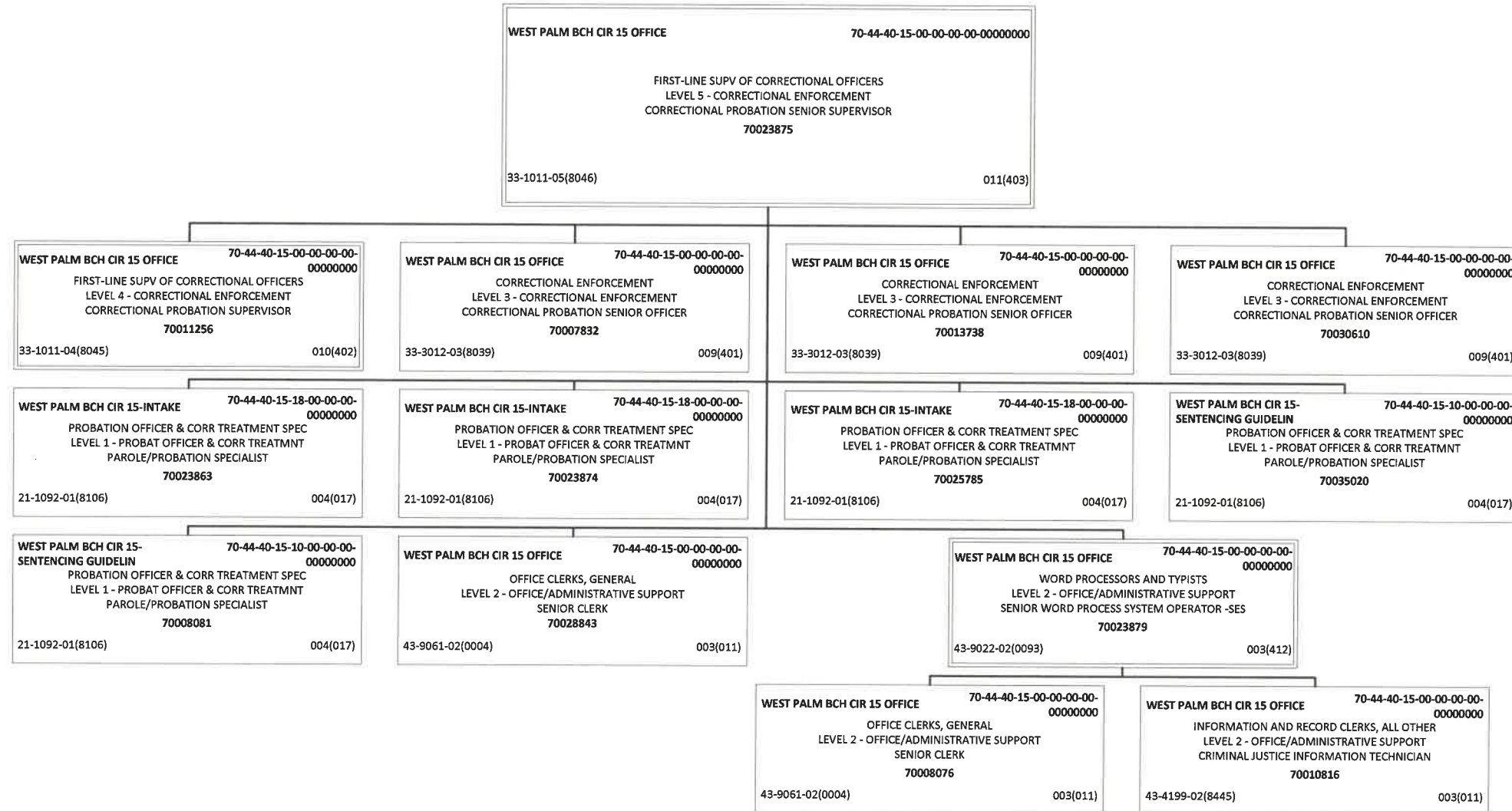
WEST PALM BEACH - CIRCUIT 15 (CPSupv 25789)

CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSS 23875)

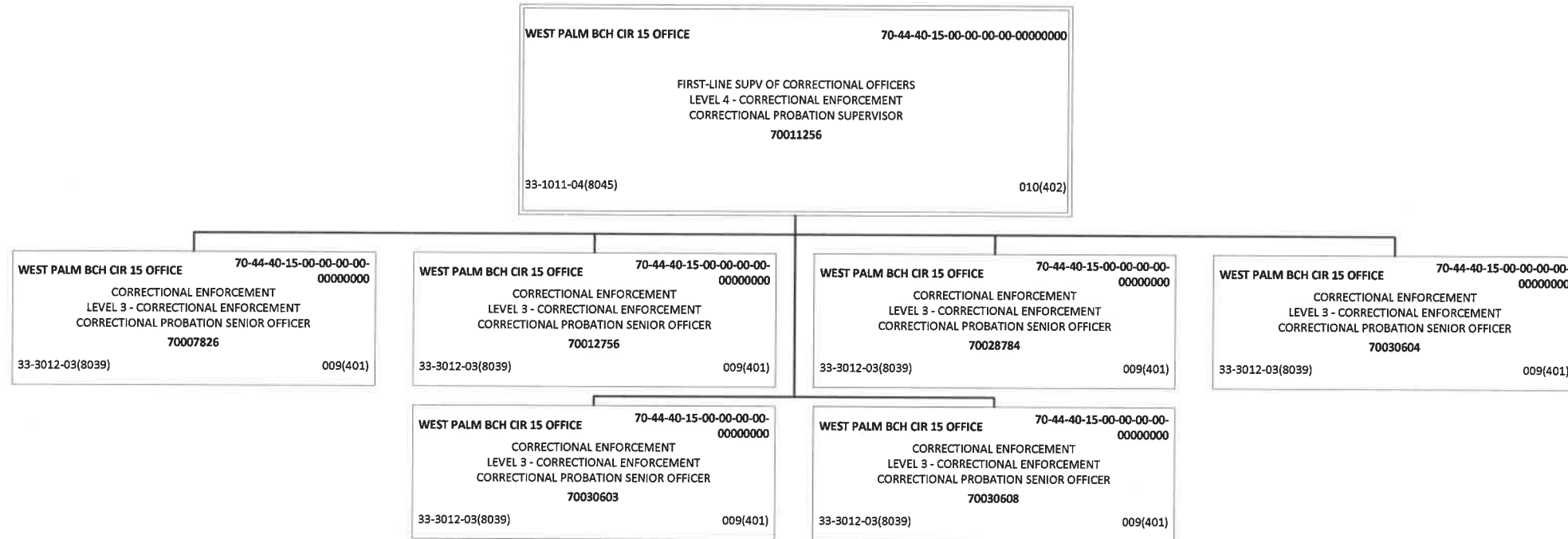
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS/REGIONAL DIRECTOR'S OFF COMM CORR REG 4
 Bureau/Comparable: CIRCUIT 15 – WEST PALM BEACH

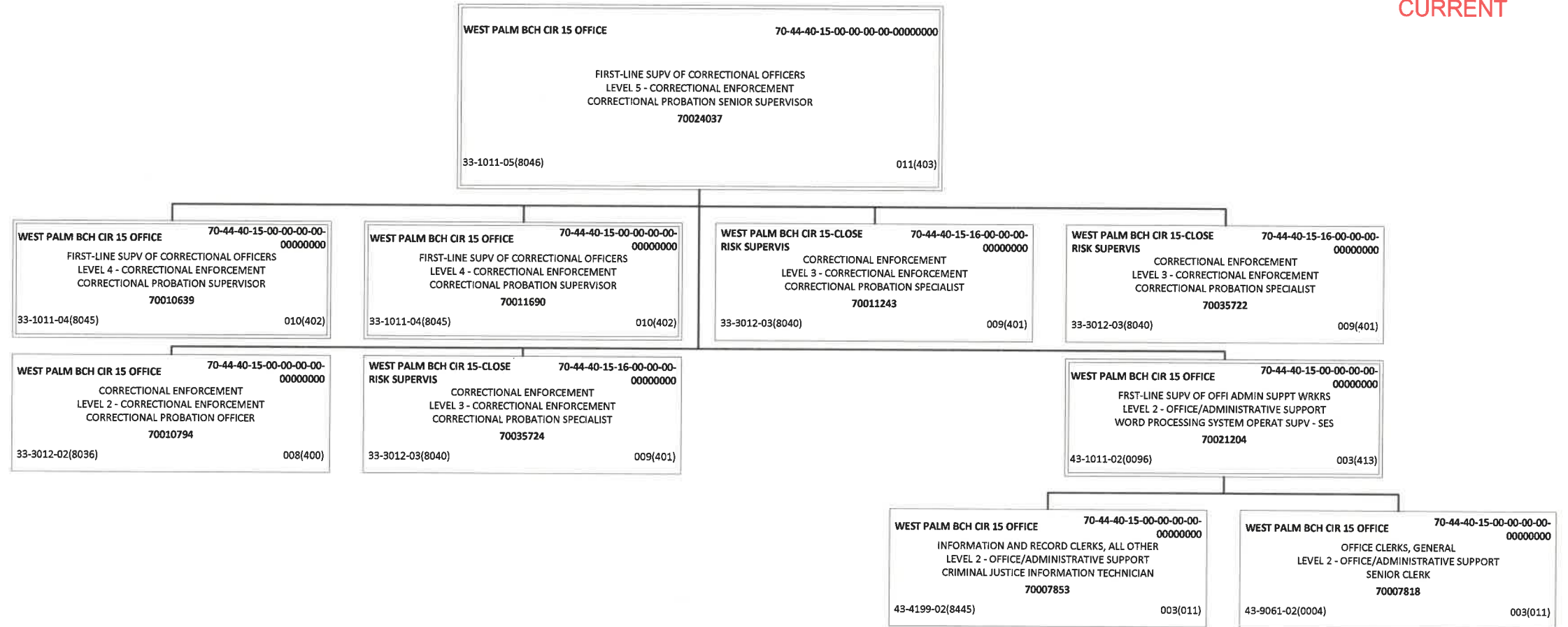
WEST PALM BEACH - CIRCUIT 15 CPSupv 11256)

CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSS 24037)

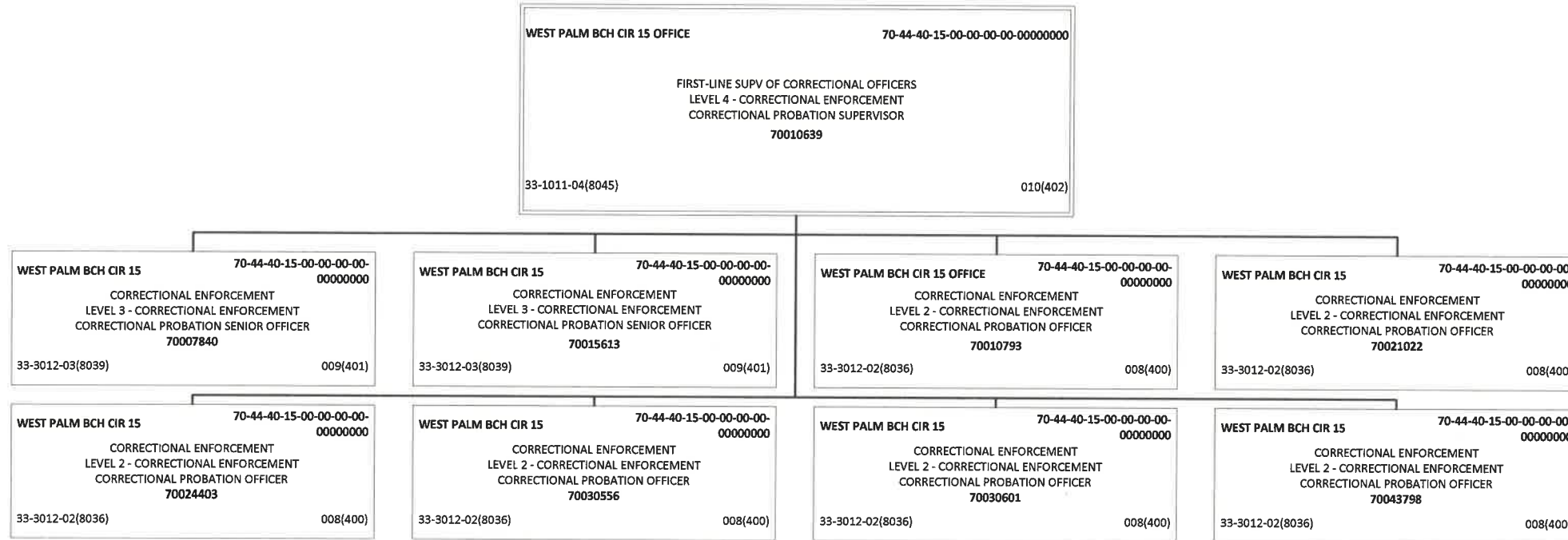
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS/REGIONAL DIRECTOR'S OFF COMM CORR REG 4
 Bureau/Comparable: CIRCUIT 15 - WEST PALM BEACH

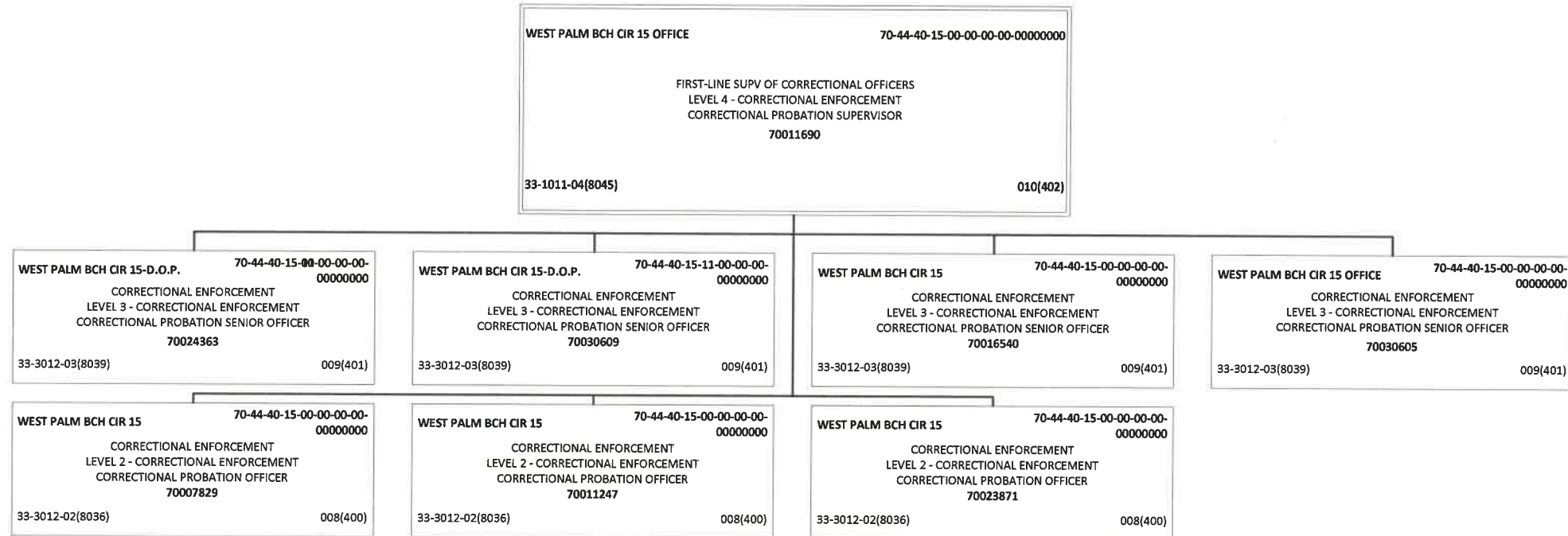
WEST PALM BEACH - CIRCUIT 15 (CPSupv 10639)

CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPS 11690)

CURRENT

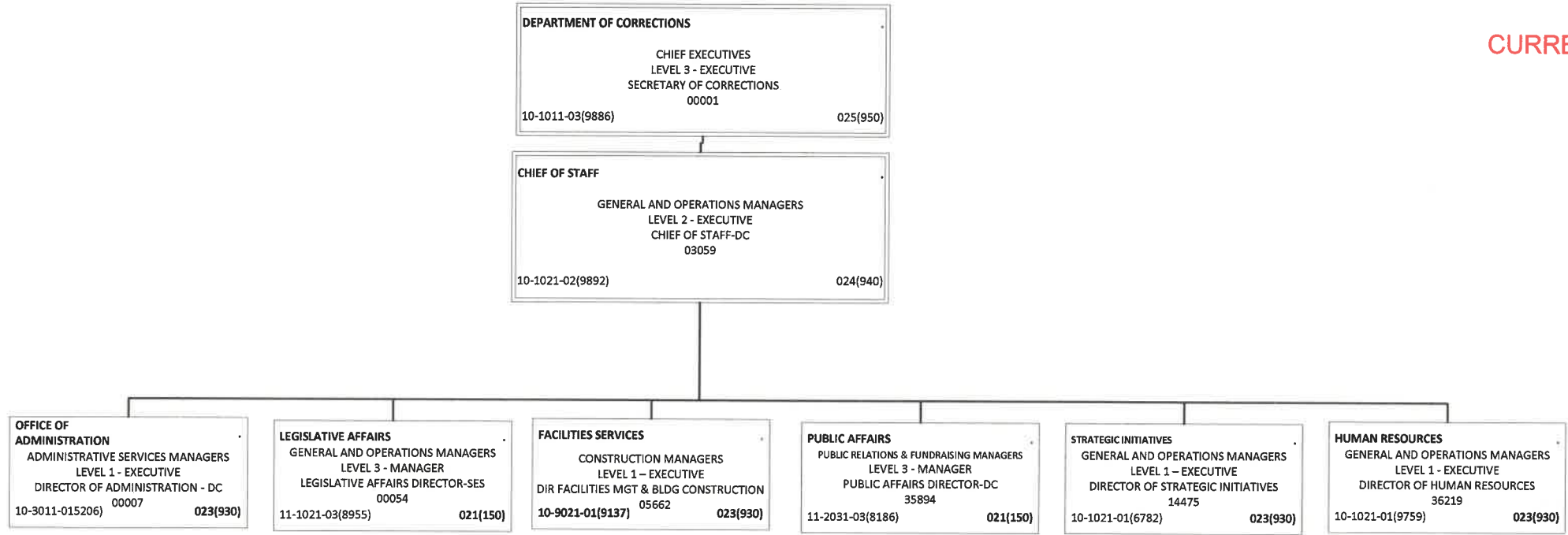


Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF

Bureau/Comparable:

CHIEF OF STAFF Overview

CURRENT



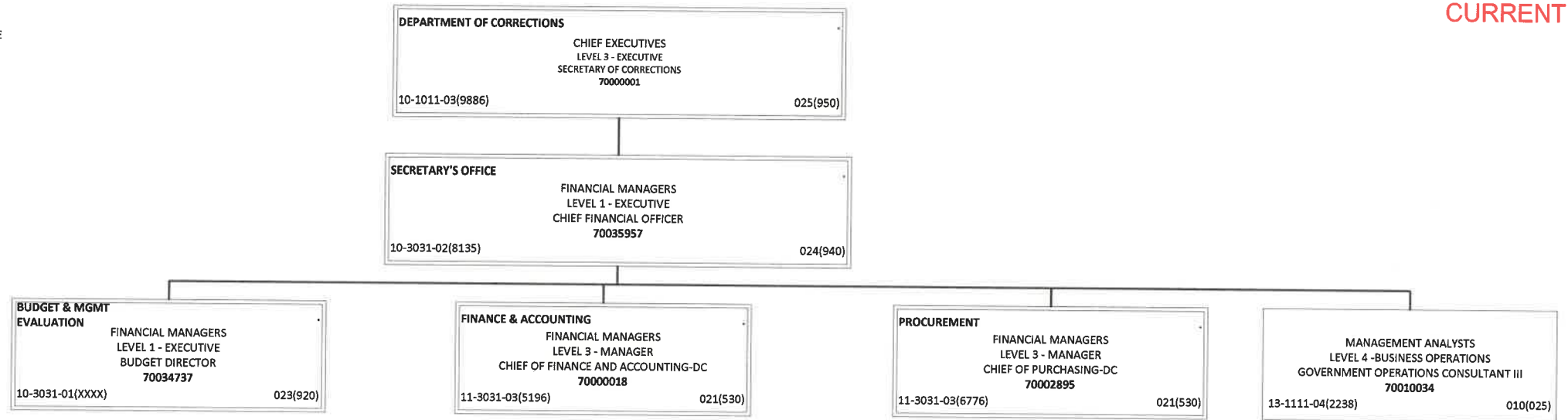
Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: CHIEF FINANCIAL OFFICER
Bureau/Comparable: BUDGET & MGMT. EVALUATION
Bureau/Comparable: FINANCE & ACCOUNTING
Section/Subsection: ITF/COPS
Section/Subsection: FINANCIAL AND SYSTEMS REPORTING
Section/Subsection: ACCOUNTS PAYABLE/ACCOUNTS RECEIVABLE
Section/Subsection: PROP INV./FIELD AUDIT

Division/Comparable: CHIEF FINANCIAL OFFICER/PROCUREMENT
Bureau/Comparable: PURCHASING
Bureau/Comparable: CONTRACT ADMINISTRATION

CHIEF FINANCIAL OFFICER

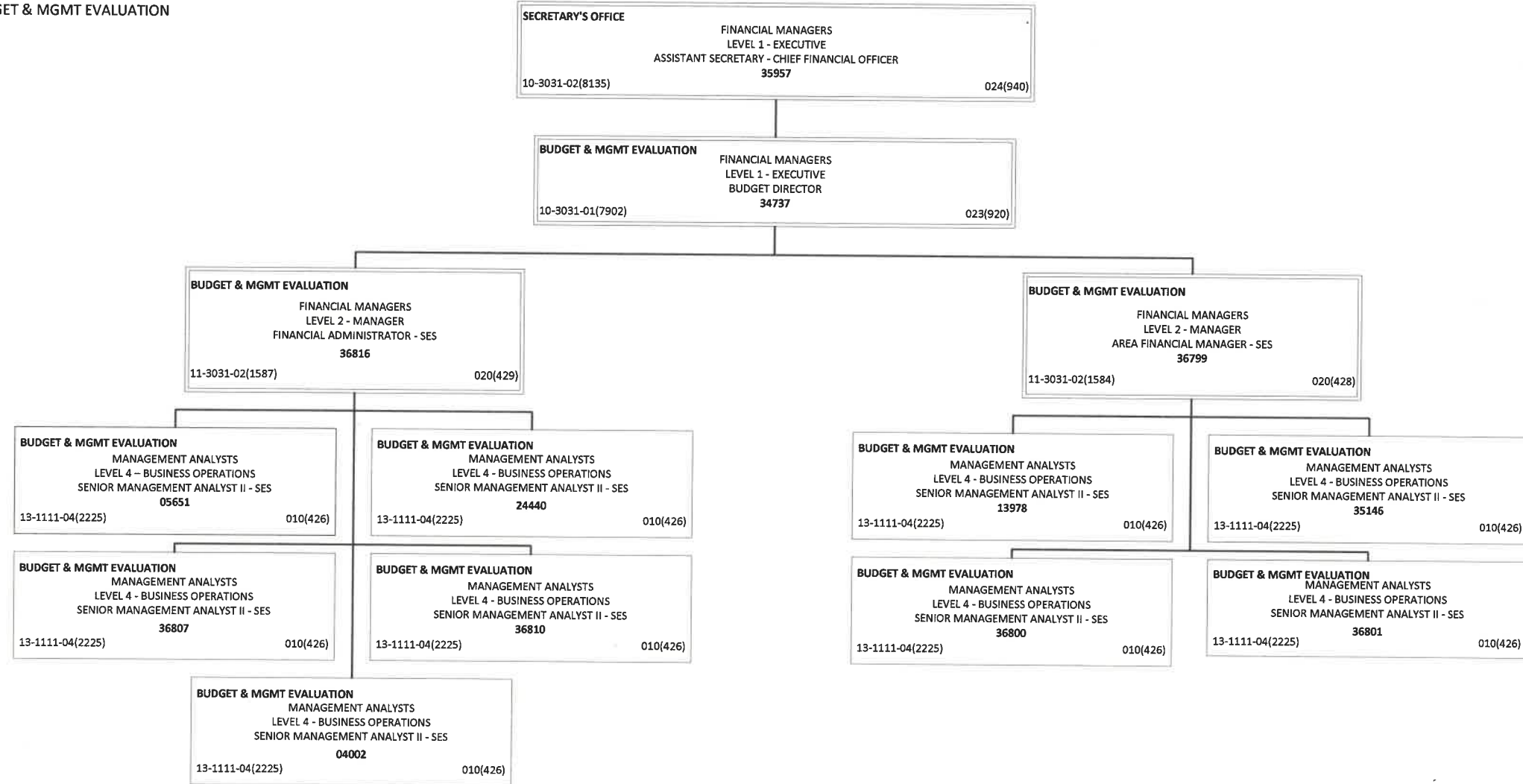
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF FINANCIAL OFFICER
 Bureau/Comparable: BUDGET & MGMT EVALUATION

BUDGET

CURRENT

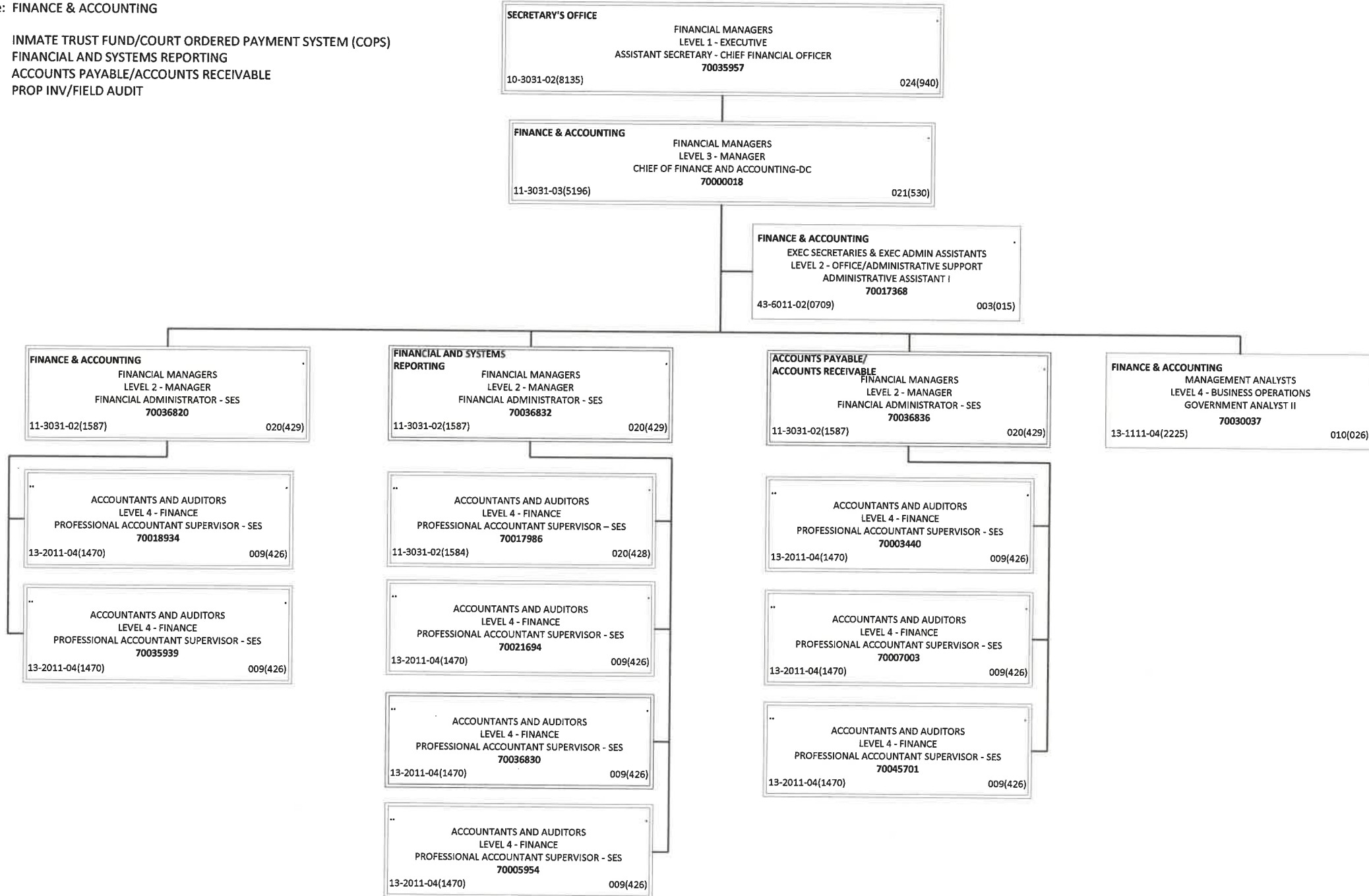


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF FINANCIAL OFFICER
 Bureau/Comparable: FINANCE & ACCOUNTING

Section/Subsection: INMATE TRUST FUND/COURT ORDERED PAYMENT SYSTEM (COPS)
 Section/Subsection: FINANCIAL AND SYSTEMS REPORTING
 Section/Subsection: ACCOUNTS PAYABLE/ACCOUNTS RECEIVABLE
 Section/Subsection: PROP INV/FIELD AUDIT

F&A Overview

CURRENT

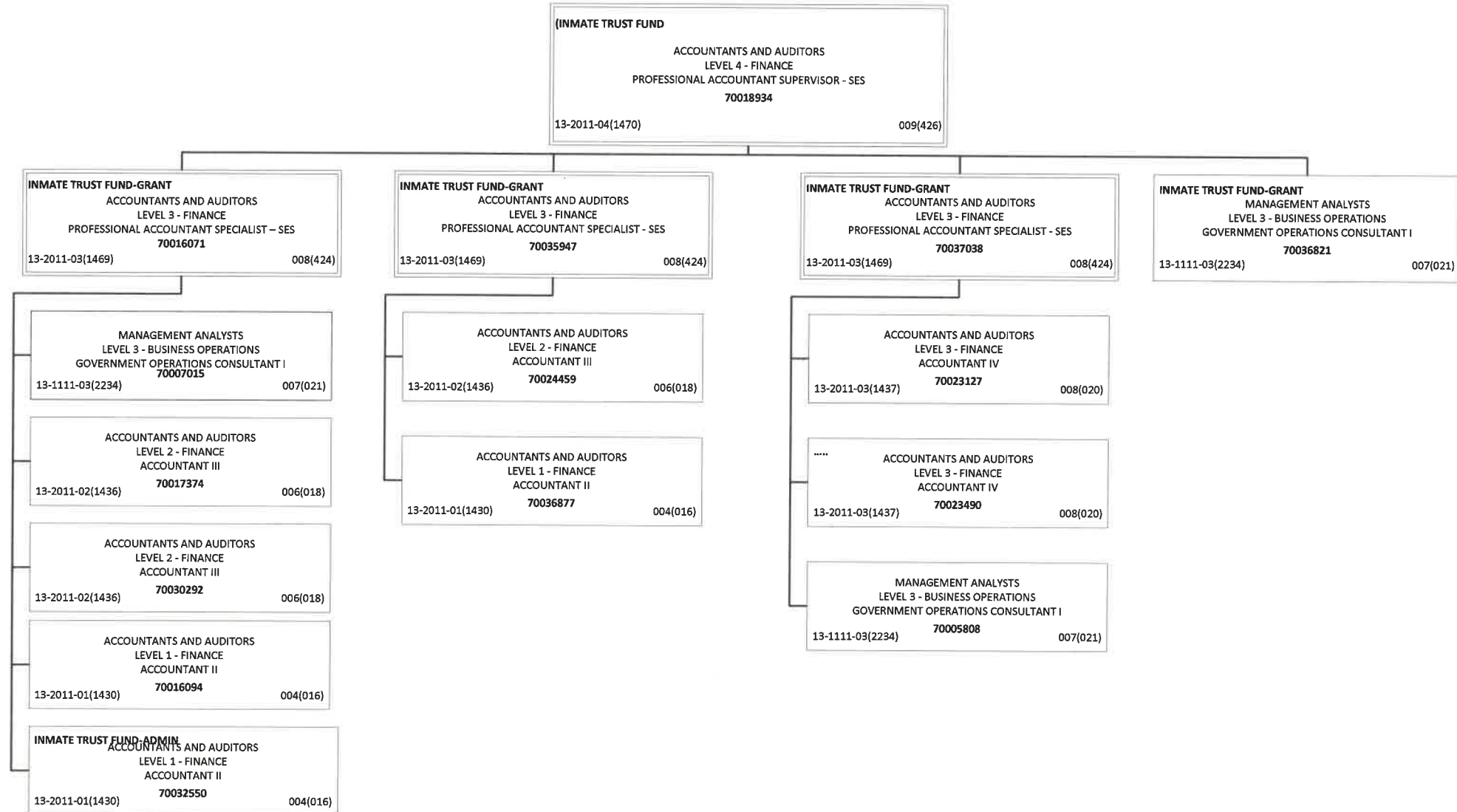


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF FINANCIAL OFFICER
 Bureau/Comparable: FINANCE & ACCOUNTING

F&A-ITF/COPS (ITF Unit)

CURRENT

Section/Subsection: INMATE TRUST FUND (ITF)

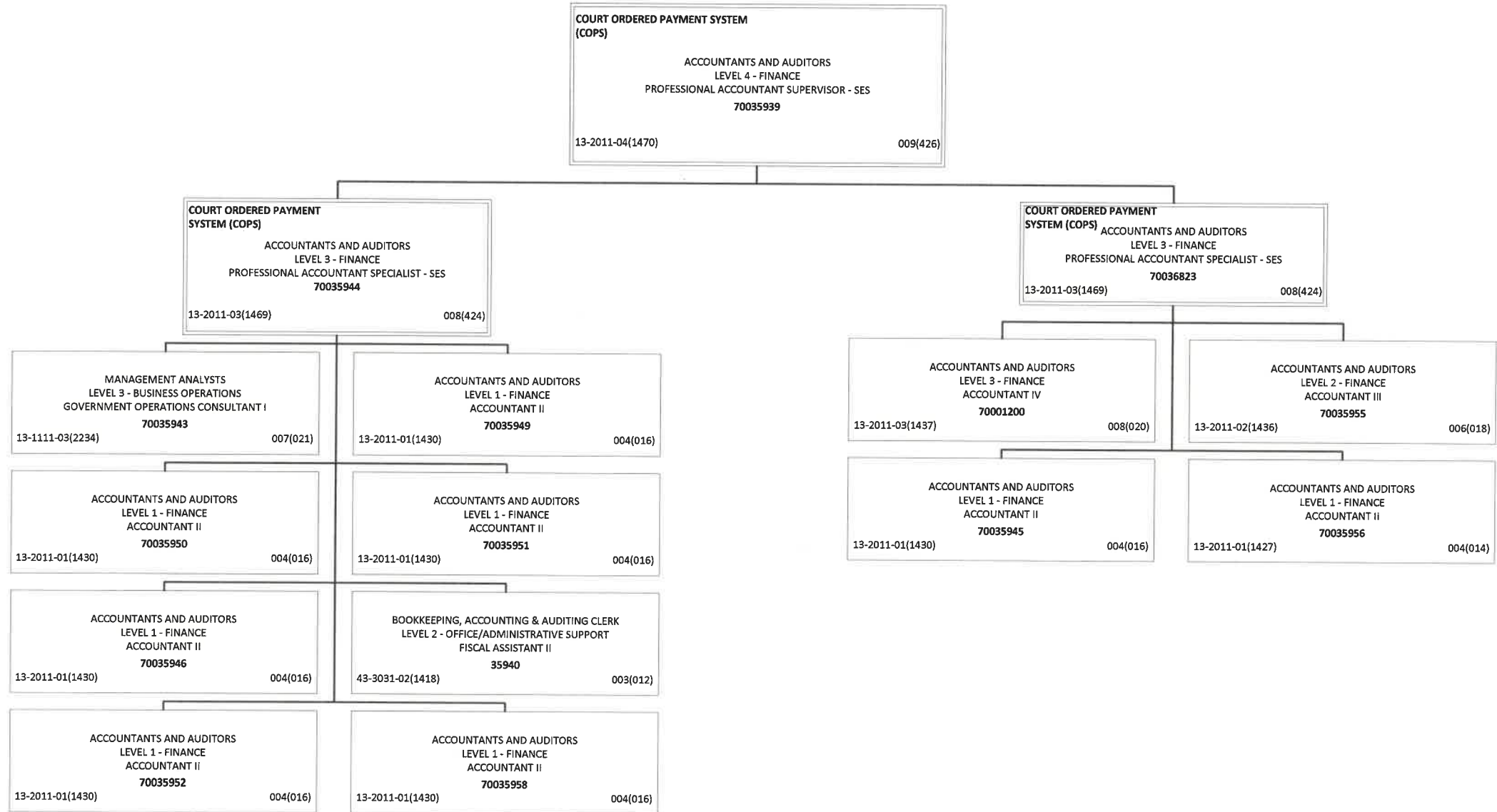


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF FINANCIAL OFFICER
 Bureau/Comparable: FINANCE & ACCOUNTING

F&A-ITF/COPS (COPS Unit)

CURRENT

Section/Subsection: COURT ORDERED PAYMENT SYSTEM (COPS)

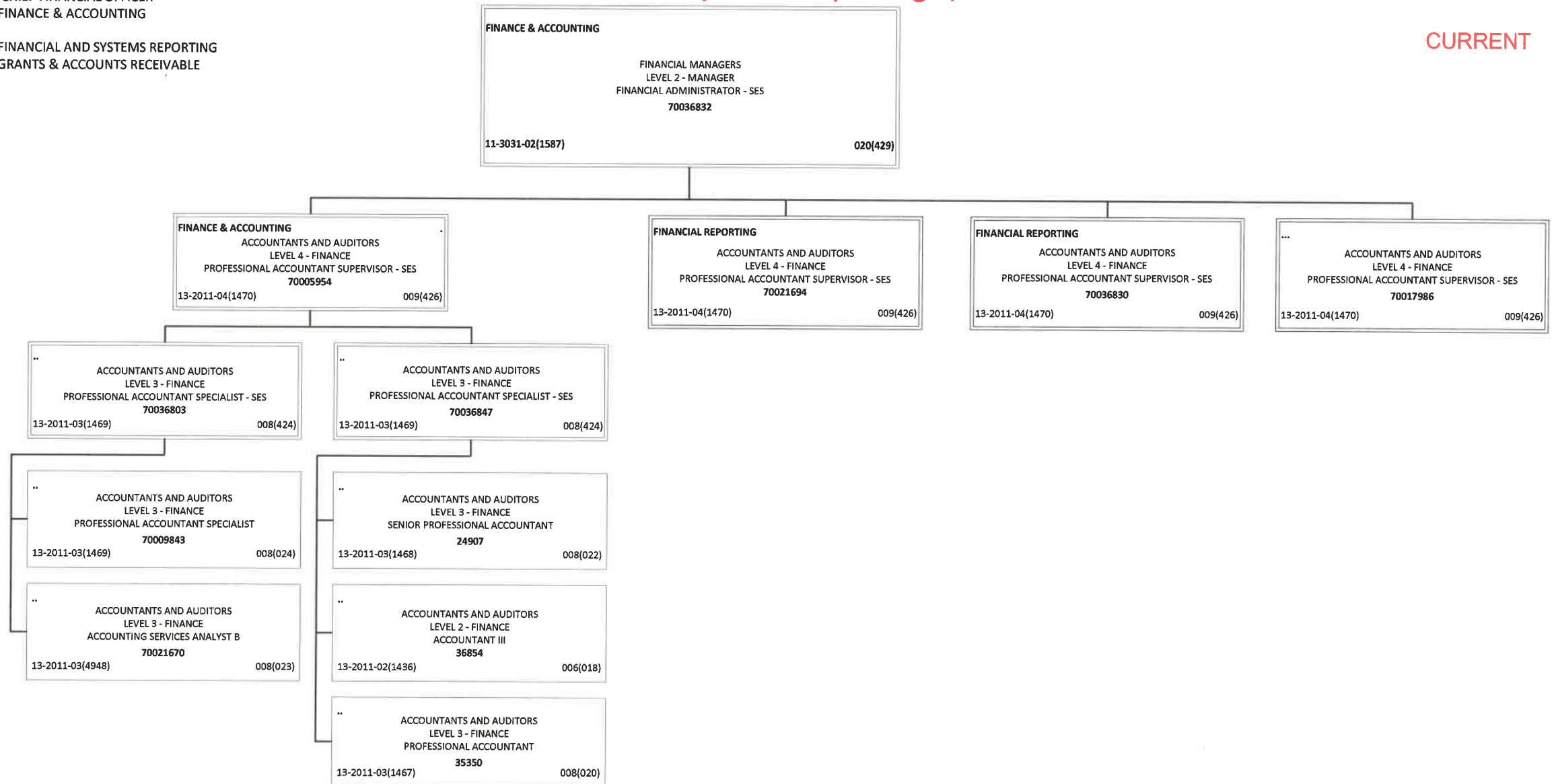


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF FINANCIAL OFFICER
 Bureau/Comparable: FINANCE & ACCOUNTING

Section/Subsection: FINANCIAL AND SYSTEMS REPORTING
 Section/Subsection: GRANTS & ACCOUNTS RECEIVABLE

F&A-Financial & Systems Reporting 1/2

CURRENT

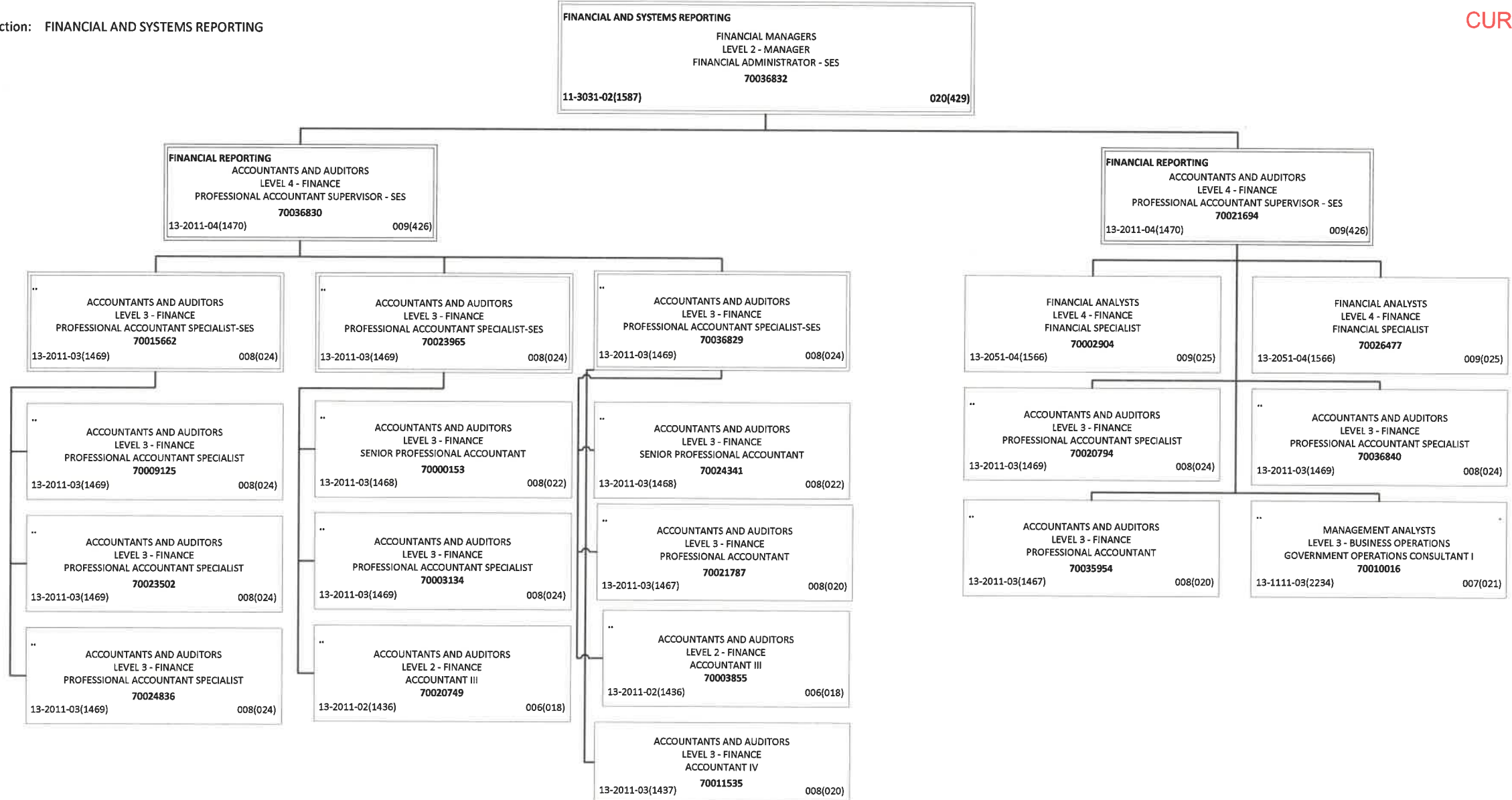


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF FINANCIAL OFFICER
 Bureau/Comparable: FINANCE & ACCOUNTING

F&A-Financial & Systems Reporting 2/2

Section/Subsection: FINANCIAL AND SYSTEMS REPORTING

CURRENT

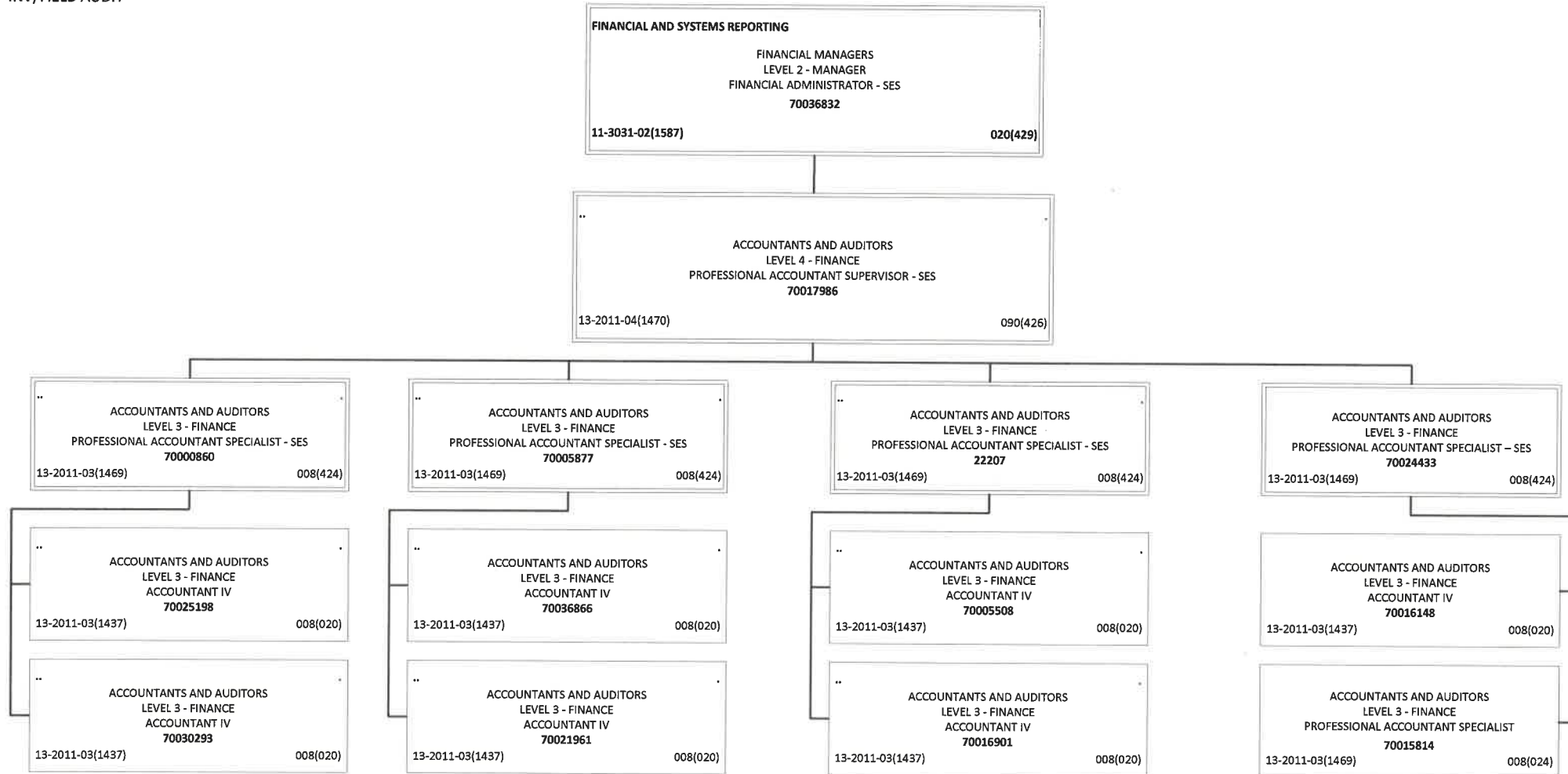


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF FINANCIAL OFFICER
 Bureau/Comparable: FINANCE & ACCOUNTING

F&A-Property Inv/Field Audit

CURRENT

Section/Subsection: PROP INV/FIELD AUDIT

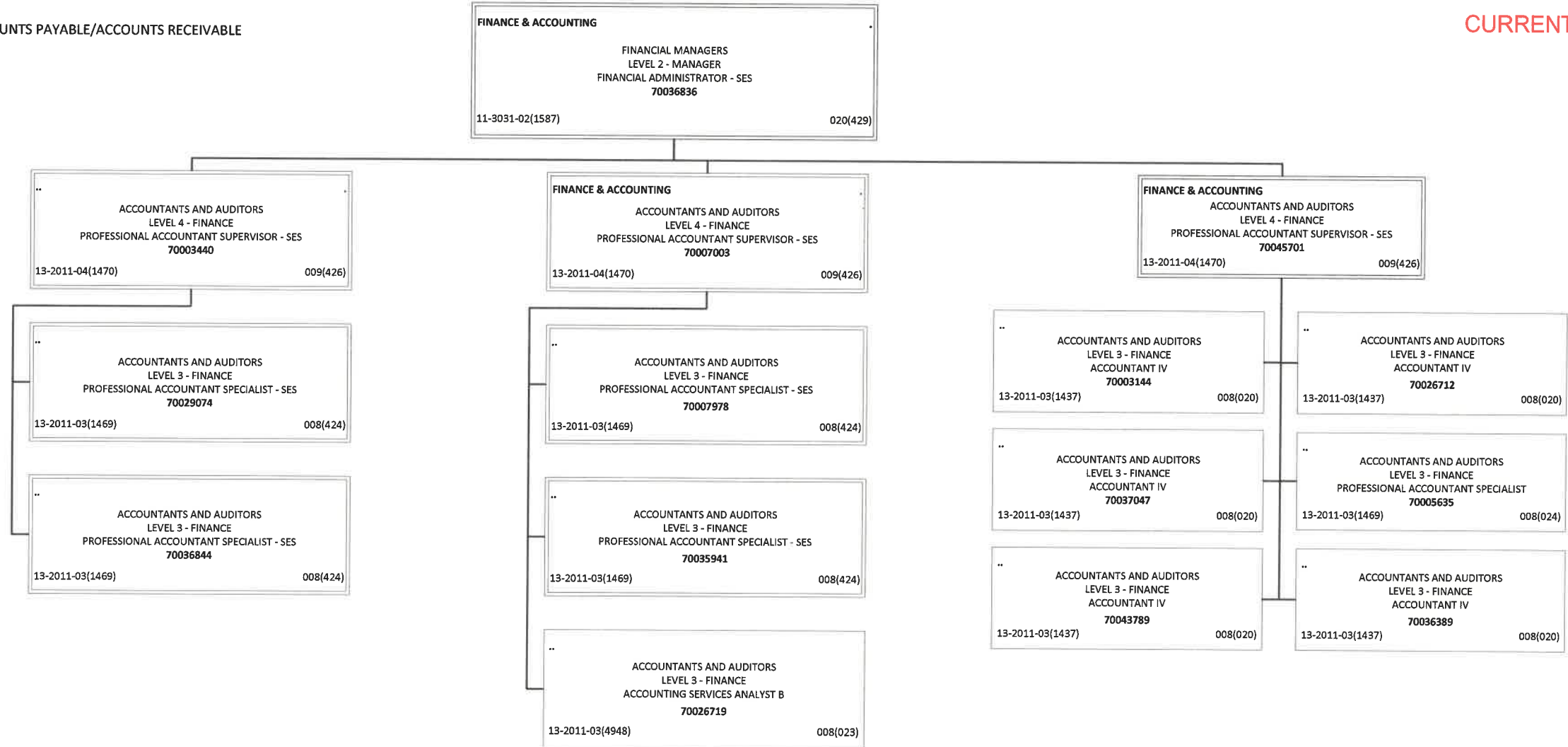


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF FINANCIAL OFFICER
 Bureau/Comparable: FINANCE & ACCOUNTING

F&A-AP/AR Overview

Section/Subsection: ACCOUNTS PAYABLE/ACCOUNTS RECEIVABLE

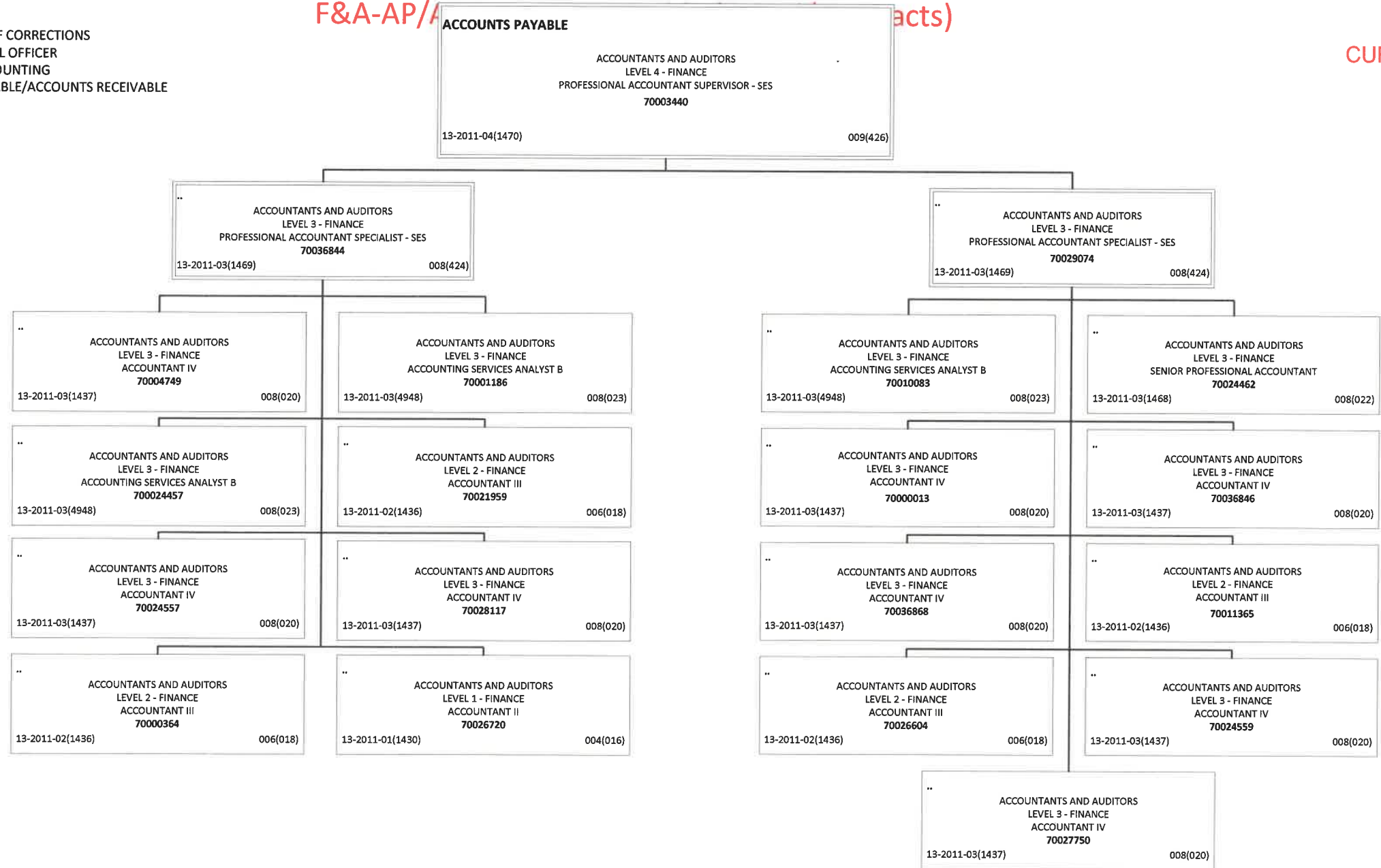
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF FINANCIAL OFFICER
 Bureau/Comparable: FINANCE & ACCOUNTING
 Section/Subsection: ACCOUNTS PAYABLE/ACCOUNTS RECEIVABLE

F&A-AP/A (acts)

CURRENT

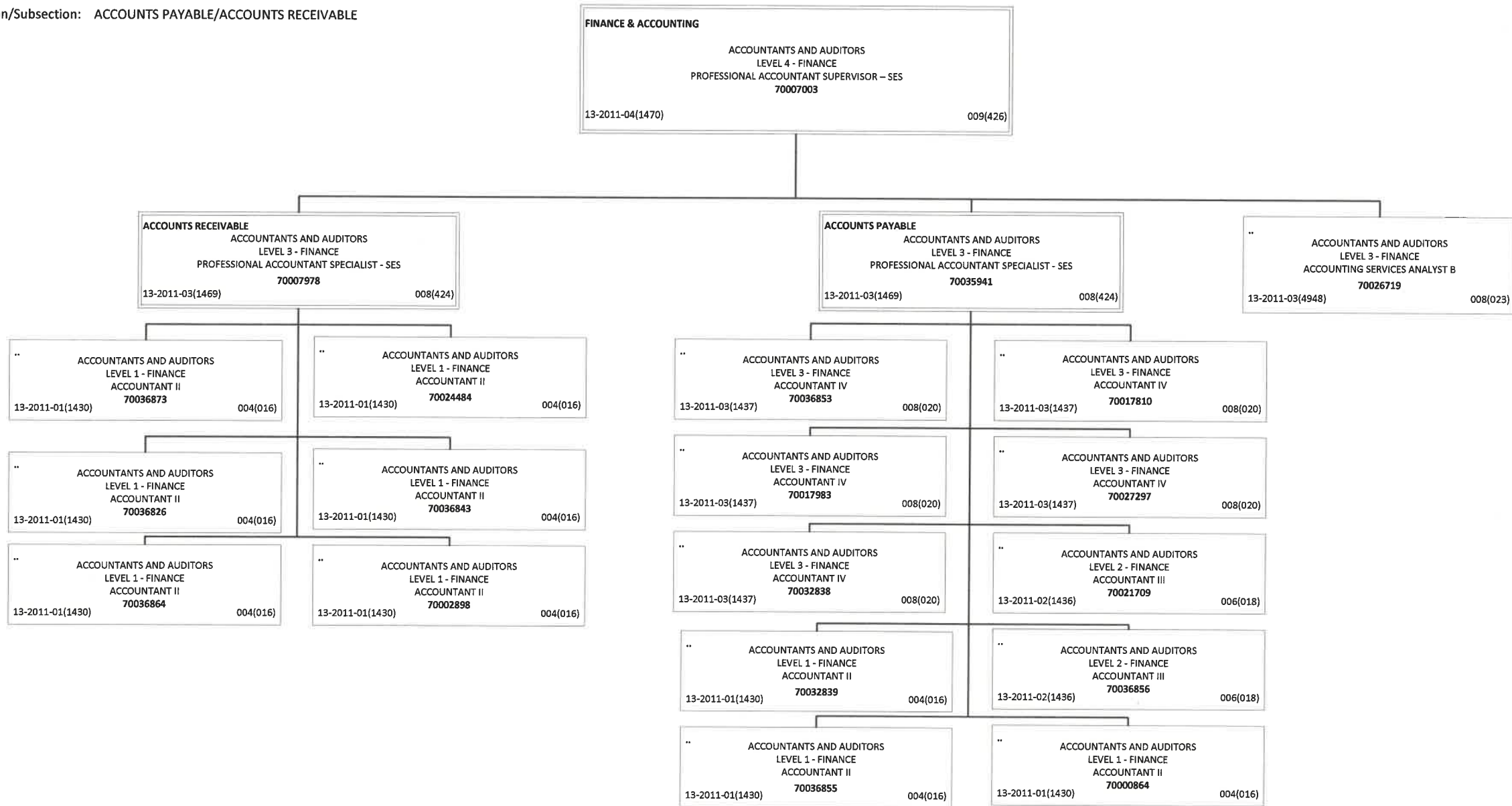


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF FINANCIAL OFFICER
 Bureau/Comparable: FINANCE & ACCOUNTING

F&A-AP/AR Accounts Payable (Commodities/FCOR)

CURRENT

Section/Subsection: ACCOUNTS PAYABLE/ACCOUNTS RECEIVABLE

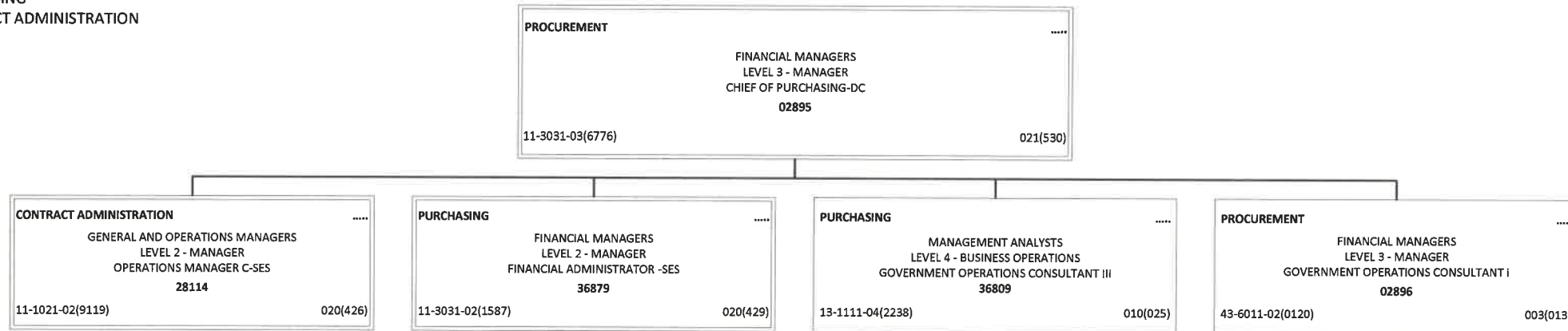


Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/BUREAU OF PROCUREMENT

Bureau/Comparable: **PROCUREMENT**
Section/Subsection: PURCHASING
Section/Subsection: CONTRACT ADMINISTRATION

PROCUREMENT

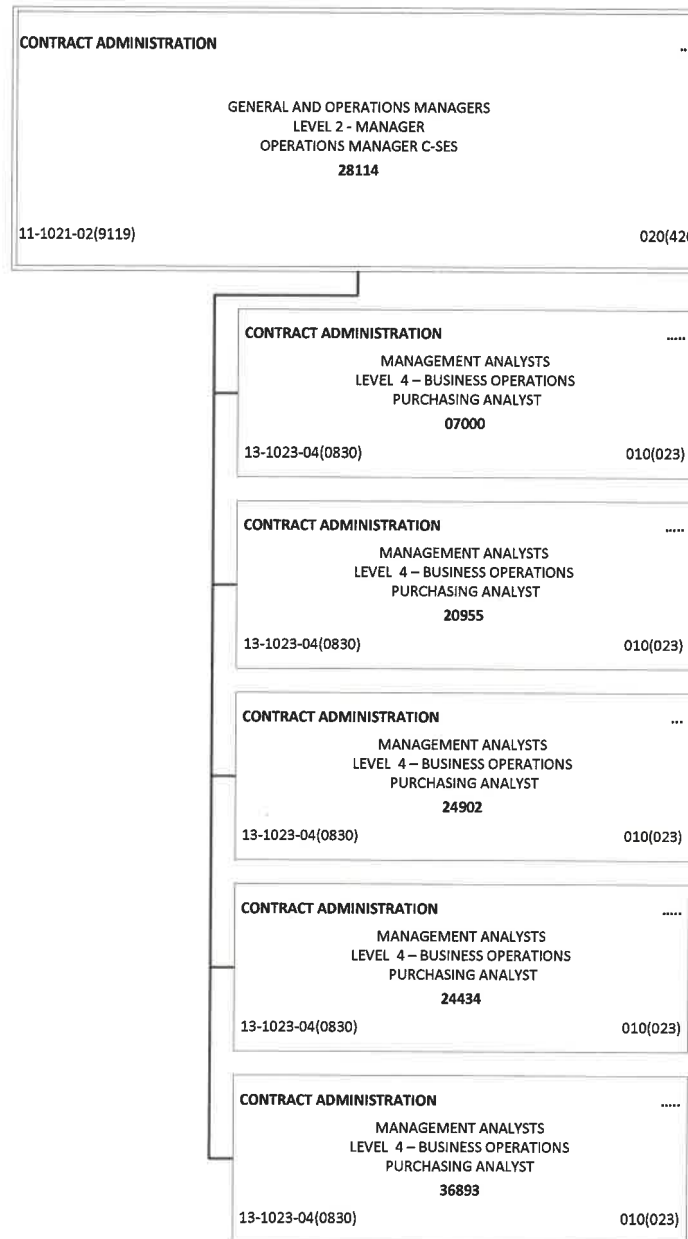
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Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/BUREAU OF PROCUREMENT
Bureau/Comparable: PROCUREMENT
Section/Subsection: CONTRACT ADMINISTRATION

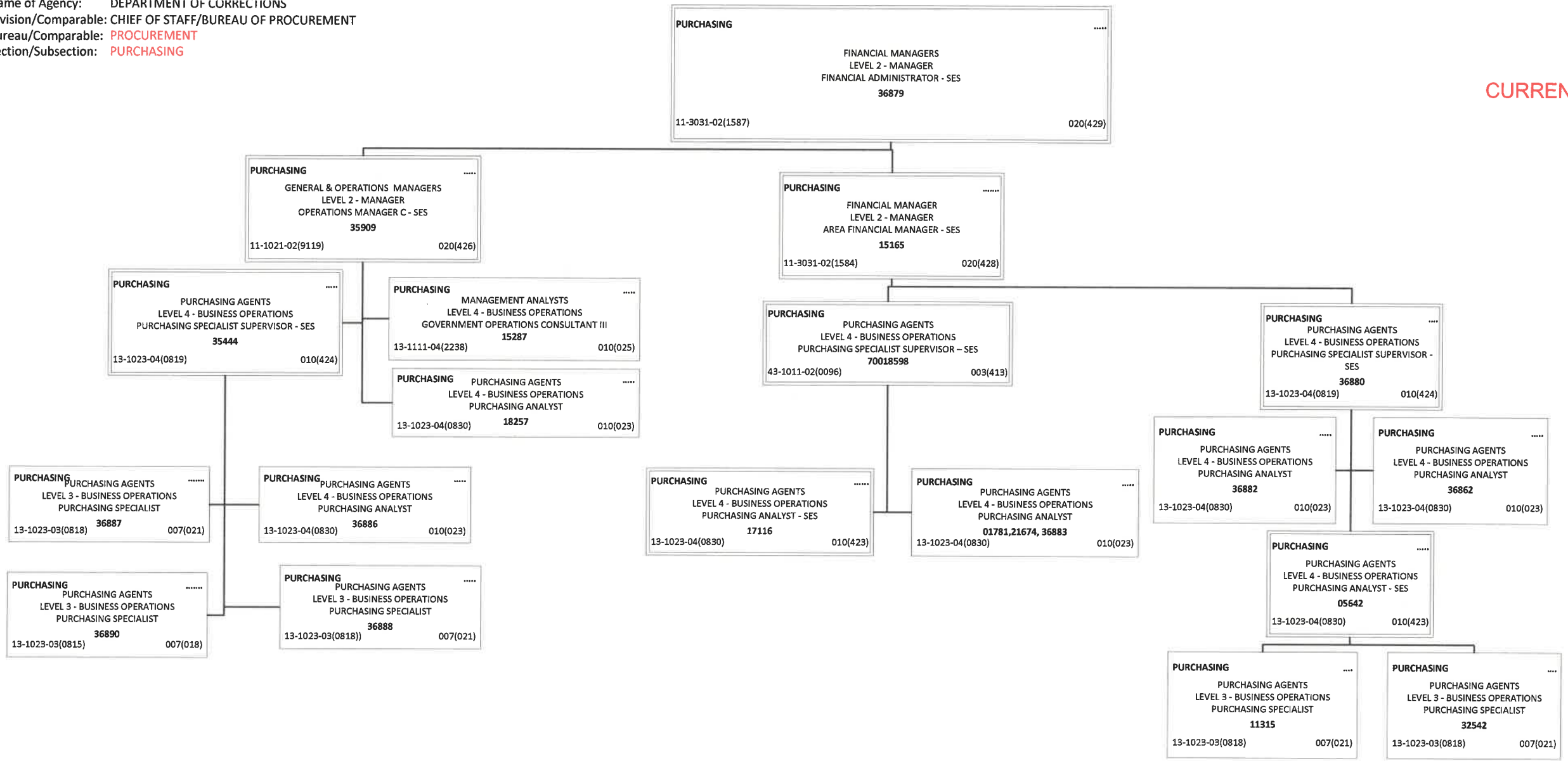
CONTRACT ADMINISTRATION

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/BUREAU OF PROCUREMENT
 Bureau/Comparable: PROCUREMENT
 Section/Subsection: PURCHASING

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/BUREAU OF PROCUREMENT
Bureau/Comparable: **PROCUREMENT**

Purchasing (17116)

CURRENT



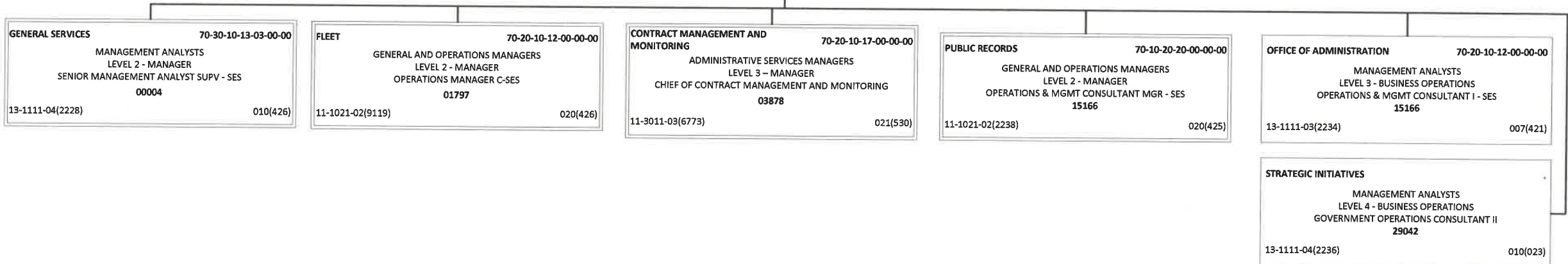
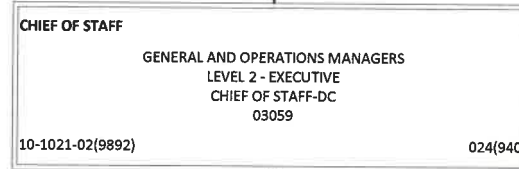
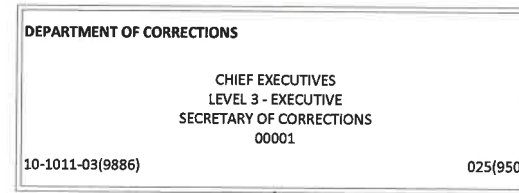
OFFICE OF ADMINISTRATION (OVERVIEW)

CURRENT

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION

Bureau/Comparable: **ADMINISTRATION SERVICES**
 Section/Subsection: GENERAL SERVICES
 Section/Subsection: FLEET

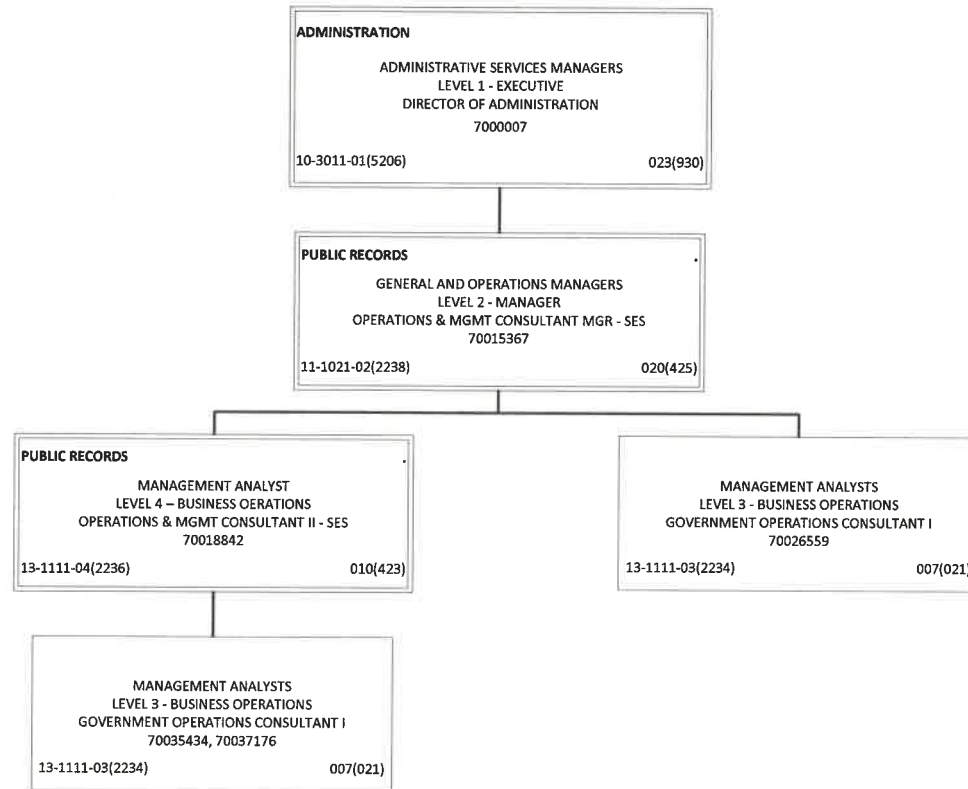
Bureau/Comparable: **CONTRACT MANAGEMENT AND MONITORING**
 Section/Subsection: CONTRACT MONITORING
 Section/Subsection: CONTRACT MANAGEMENT
 Subsection: FARM OPERATIONS



PUBLIC RECORDS UNIT

Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION

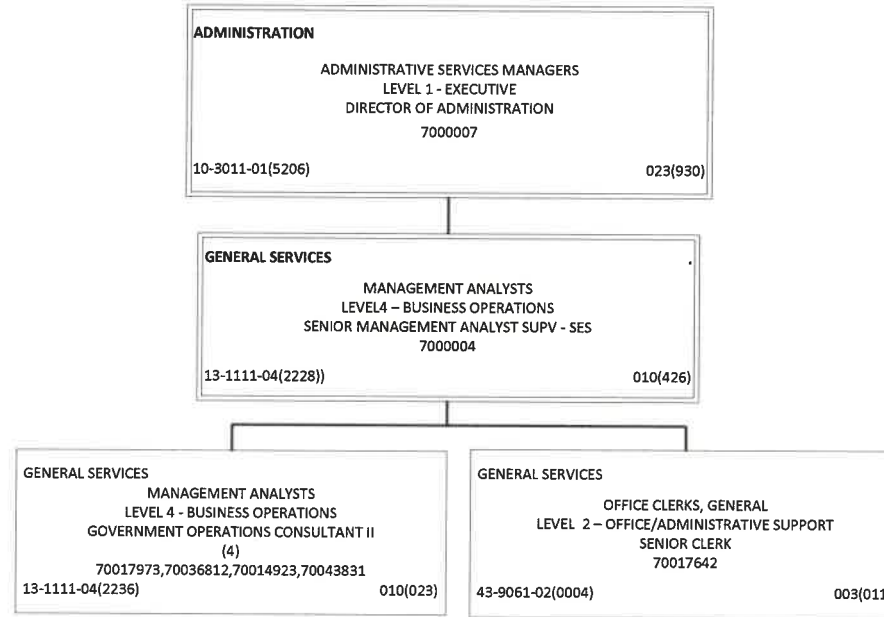
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION
Bureau/Comparable: ADMINISTRATION SERVICES
Section/Subsection: GENERAL SERVICES

GENERAL SERVICES

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION
 Bureau/Comparable: **ADMINISTRATION SERVICES**
 Section/Subsection: **FLEET**

FLEET SERVICES OVERVIEW

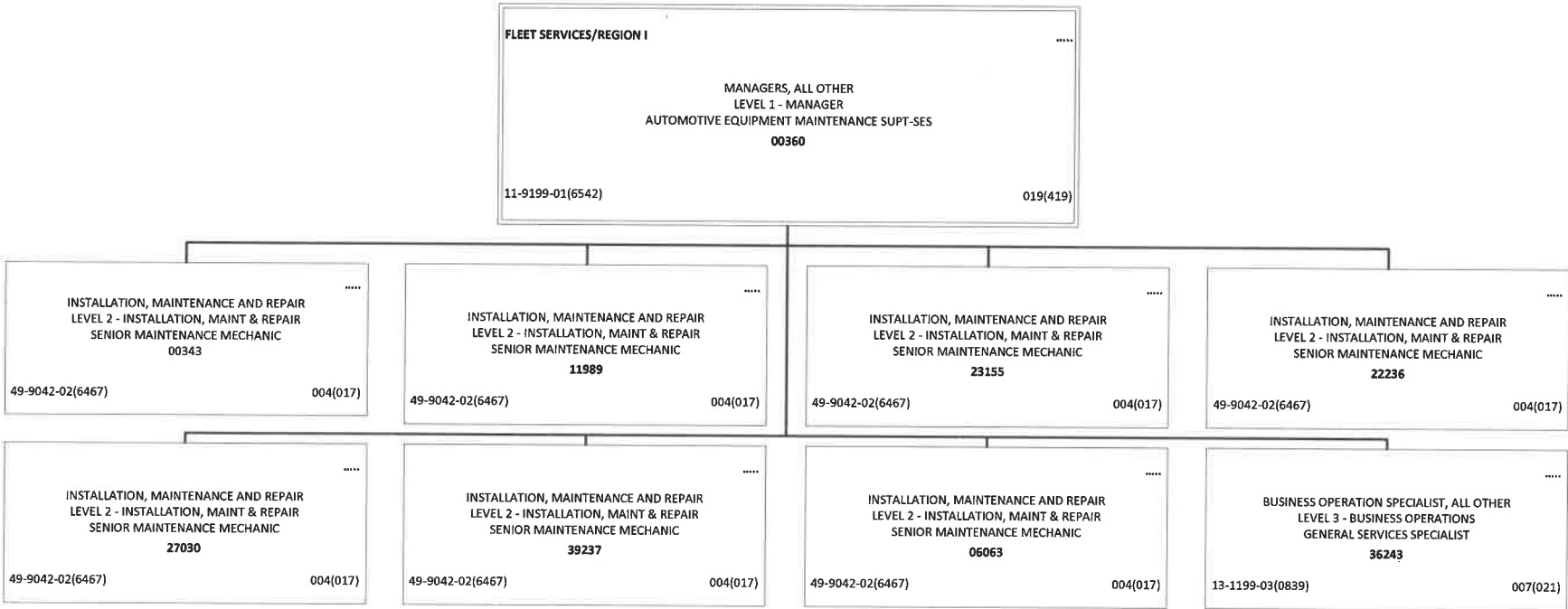
CURRENT



FLEET REG I

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION
 Bureau/Comparable: **SUPPORT SERVICES**
 Section/Subsection: **FLEET /REG I**

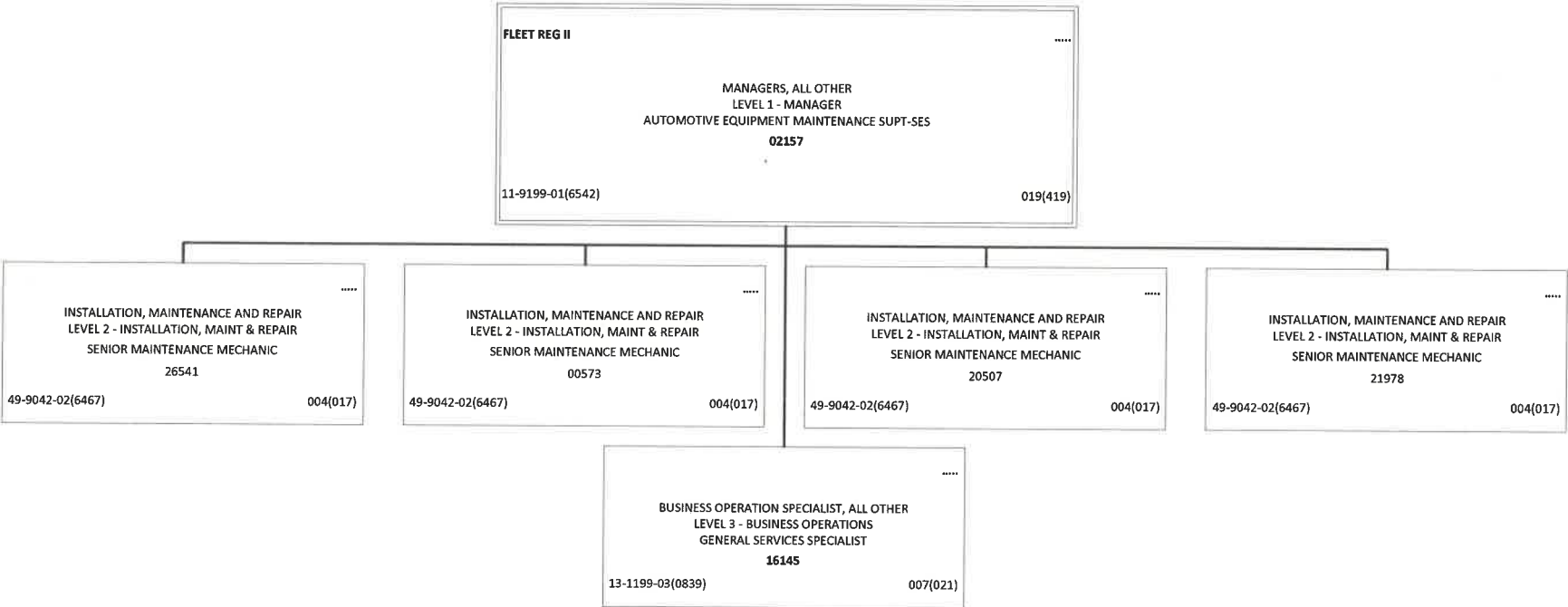
CURRENT



FLEET REG II

Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION
Bureau/Comparable: SUPPORT SERVICES
Section/Subsection: FLEET/REG II

CURRENT



FLEET REG III

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION
 Bureau/Comparable: **SUPPORT SERVICES**
 Section/Subsection: **FLEET/REG III**

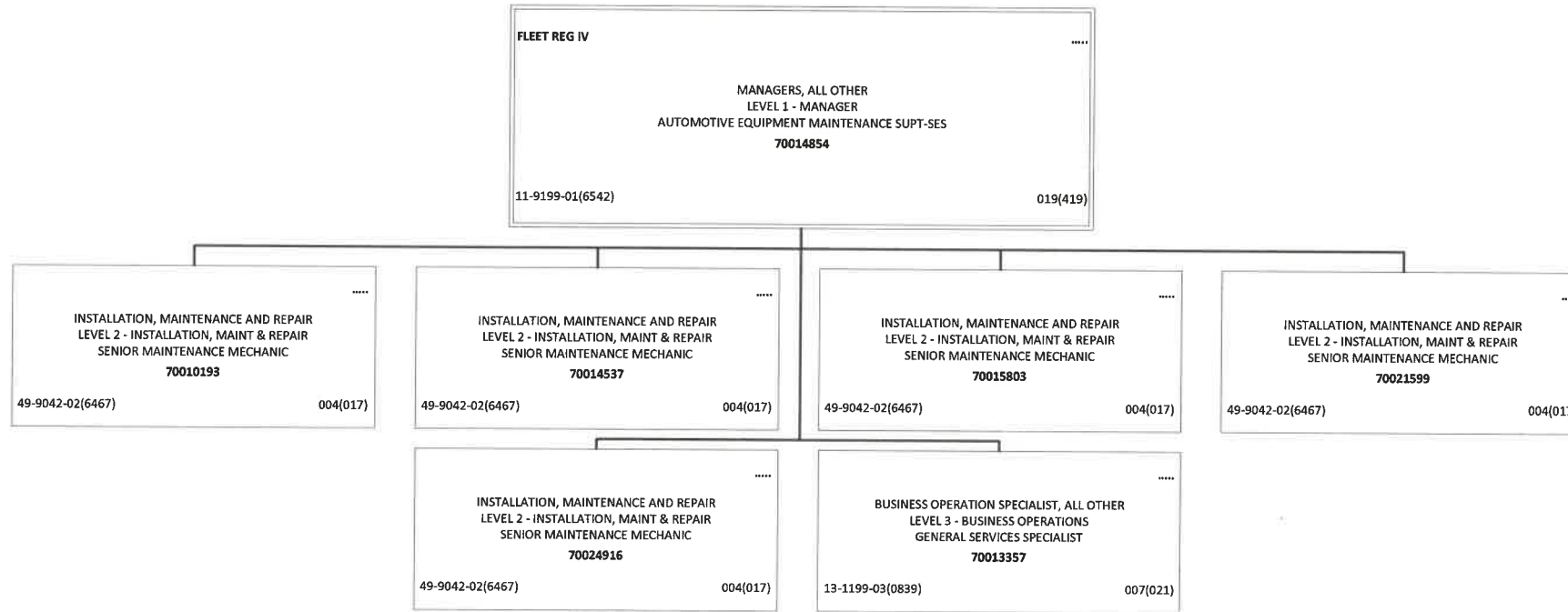
CURRENT



FLEET REG IV

Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION
Bureau/Comparable: **SUPPORT SERVICES**
Section/Subsection: **FLEET/REG IV**

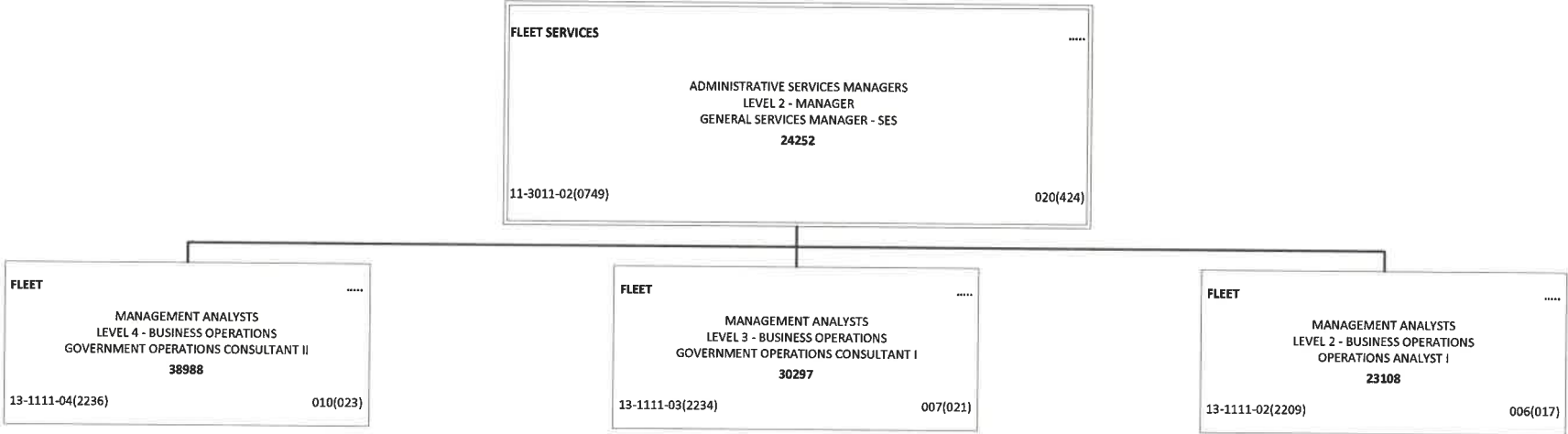
CURRENT



FLEET SERVICES

Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION
Bureau/Comparable: ADMINISTRATION SERVICES
Section/Subsection: FLEET SERVICES

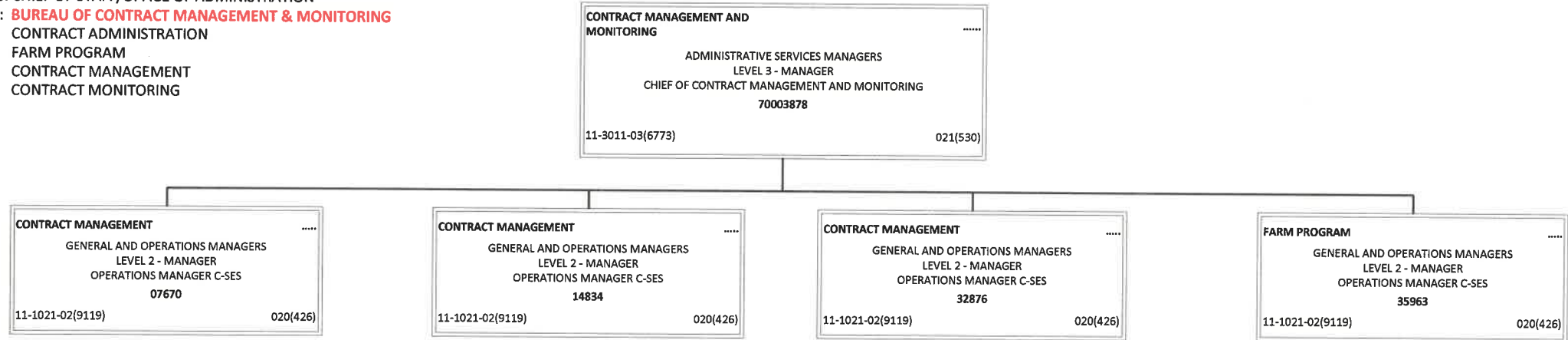
CURRENT



CONTRACT MANAGEMENT & MONITORING OVERVIEW

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION
 Bureau/Comparable: **BUREAU OF CONTRACT MANAGEMENT & MONITORING**
 Section/Subsection: CONTRACT ADMINISTRATION
 Section/Subsection: FARM PROGRAM
 Section/Subsection: CONTRACT MANAGEMENT
 Section/Subsection: CONTRACT MONITORING

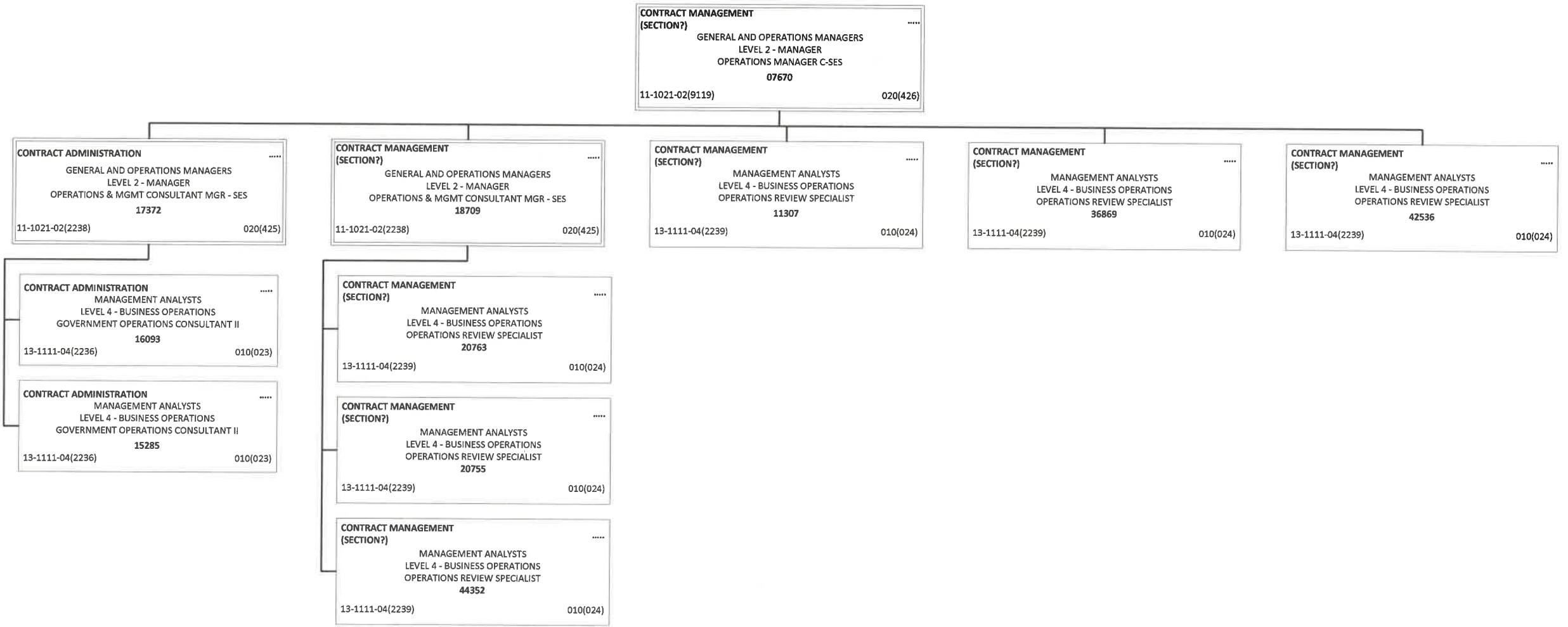
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION
 Bureau/Comparable: **CONTRACT MANAGEMENT & MONITORING**
 Section/Subsection: CONTRACT MANAGEMENT (SECTION?)

CONTRACT MANAGEMENT

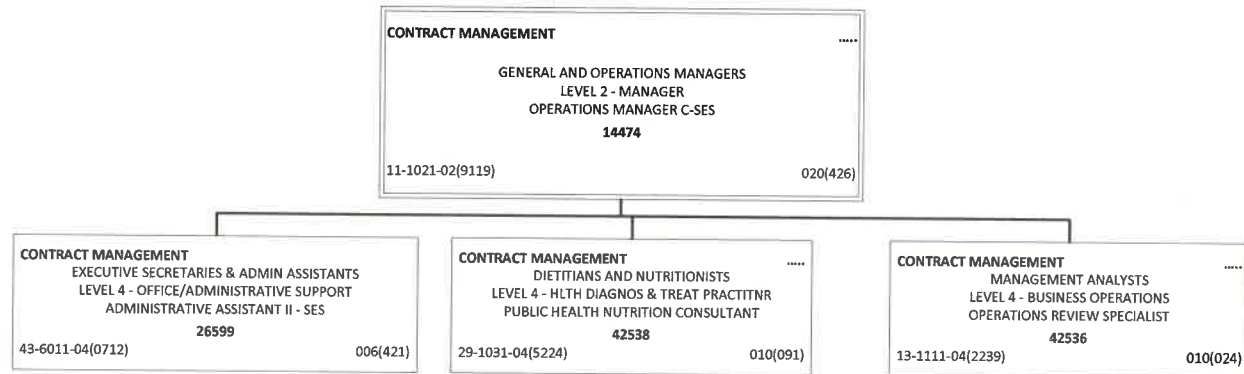
CURRENT



CONTRACT MANAGEMENT (14474)

Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION
Bureau/Comparable: **CONTRACT MANAGEMENT & MONITORING**
Section/Subsection: CONTRACT MANAGEMENT

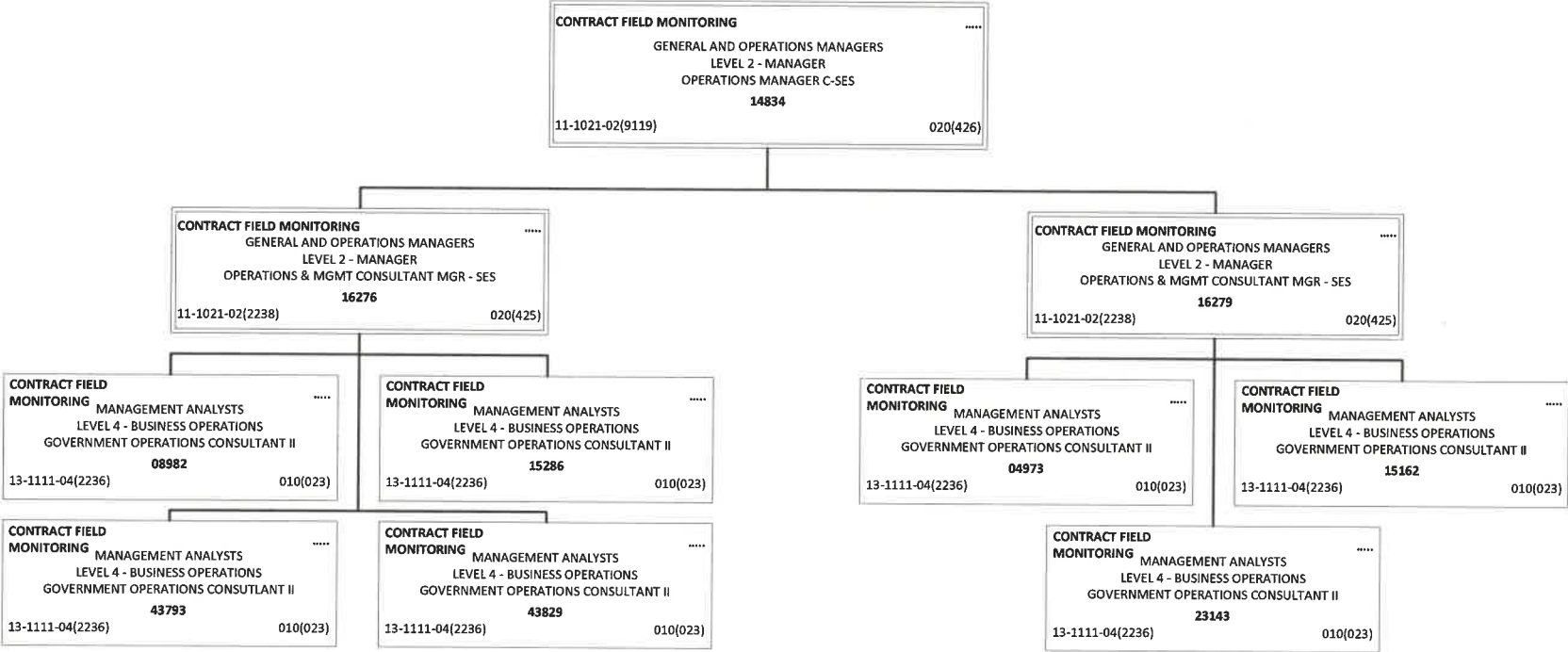
CURRENT



CONTRACT FIELD MONITORING

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION
 Bureau/Comparable: **CONTRACT MANAGEMENT & MONITORING**
 Section/Subsection: **CONTRACT FIELD MONITORING**

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION

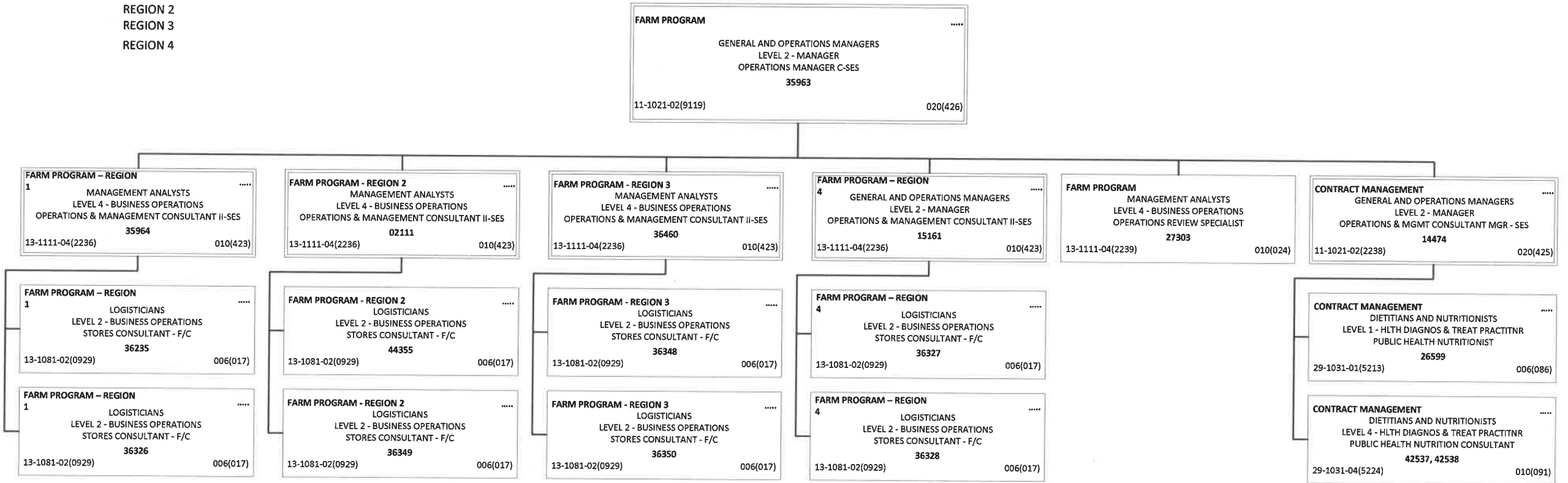
FARM PROGRAMS

Bureau/Comparable: **CONTRACT MANAGEMENT AND MONITORING**

Section/Subsection: FARM PROGRAM

CURRENT

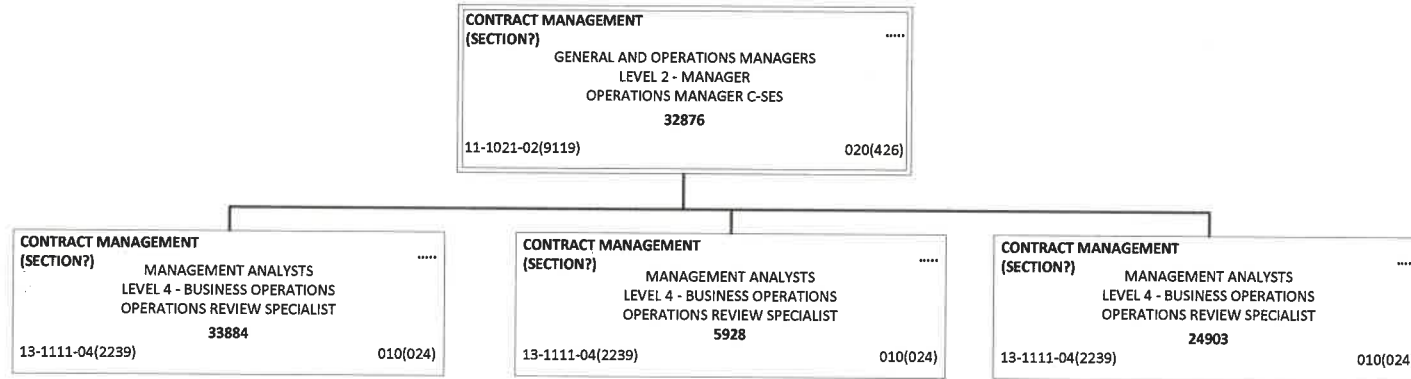
- REGION 1
- REGION 2
- REGION 3
- REGION 4



CONTRACT FIELD MONITORING (32876)

Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION
Bureau/Comparable: CONTRACT MANAGEMENT & MONITORING
Section/Subsection: CONTRACT FIELD MONITORING

CURRENT

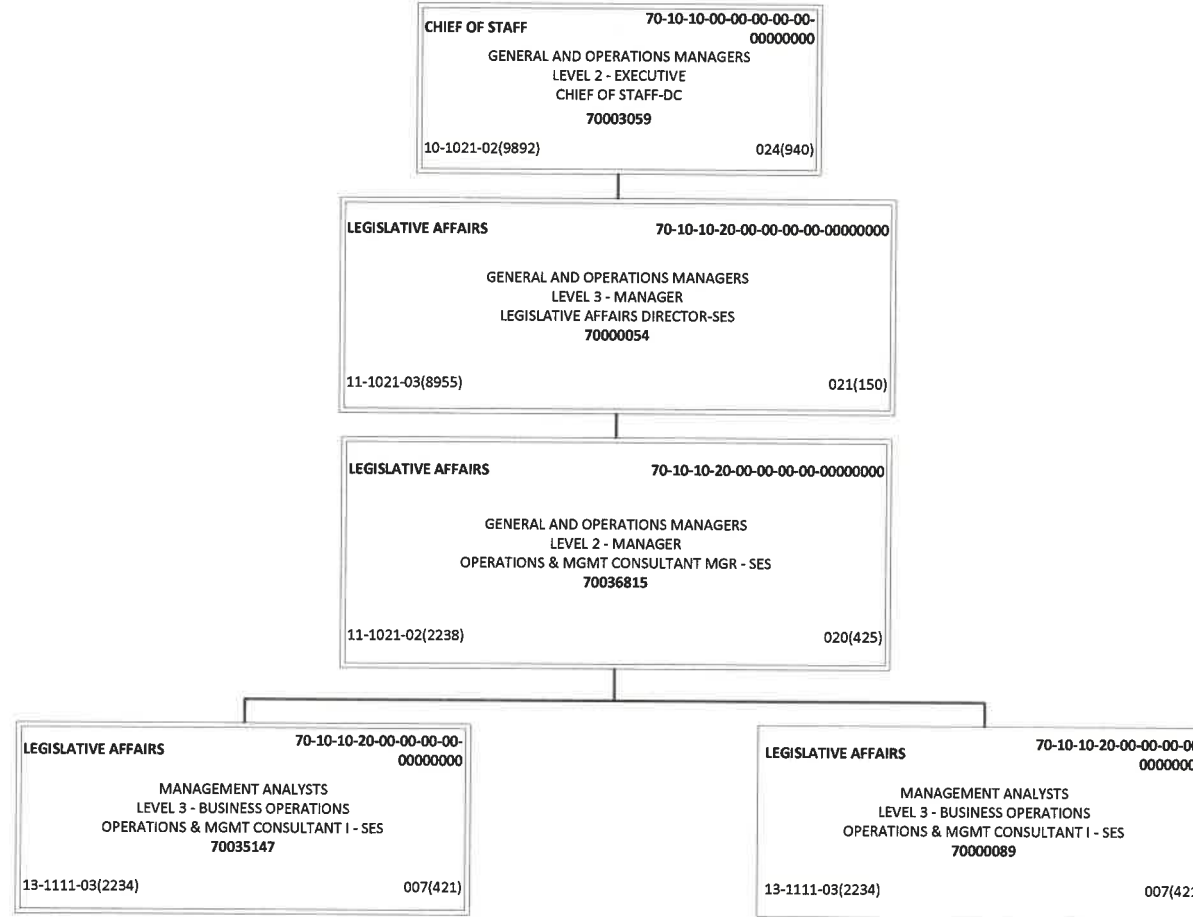


Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: OFFICE OF THE SECRETARY/CHIEF OF STAFF
Bureau/Comparable: LEGISLATIVE AFFAIRS
Section/Subsection:

Unit: (CORRESPONDENCE CONTROL – Pending Re-Org)

LEGISLATIVE AFFAIRS

CURRENT

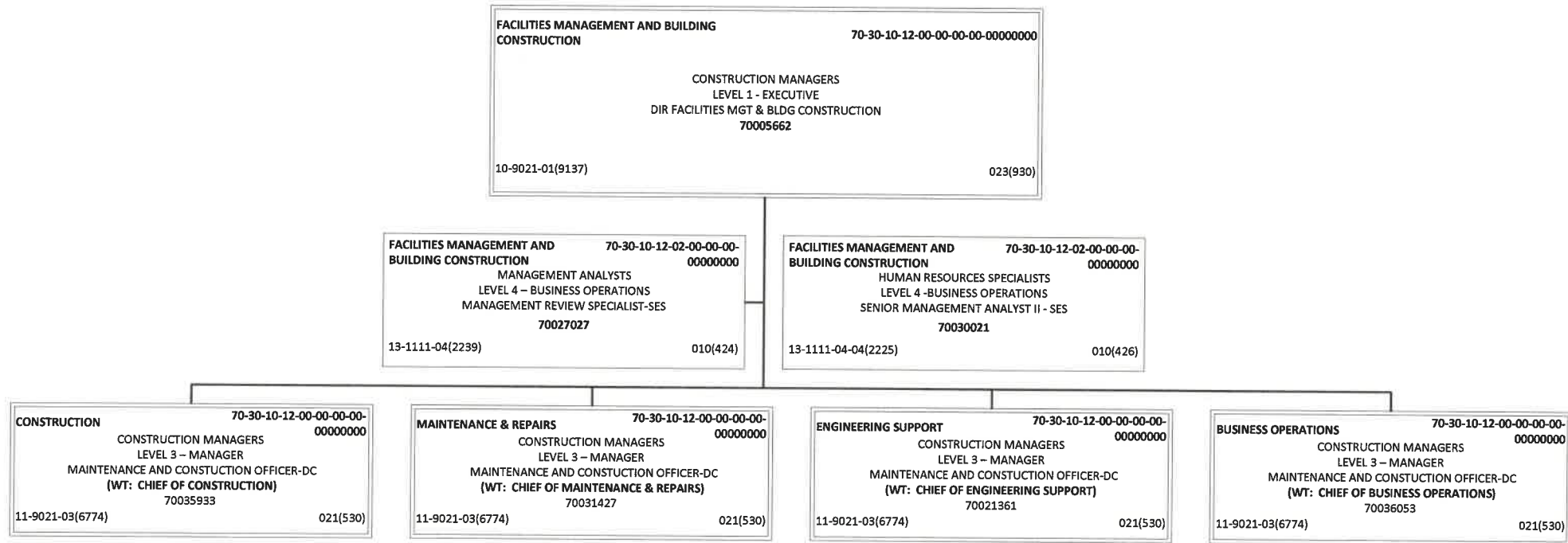


FACILITIES - Overview

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/FACILITIES MANAGEMENT AND BUILDING CONSTRUCTION

Bureau/Comparable: CONSTRUCTION
 Bureau/Comparable: MAINTENANCE AND REPAIRS
 Bureau/Comparable: ENGINEERING SUPPORT
 Bureau/Comparable: BUSINESS OPERATION

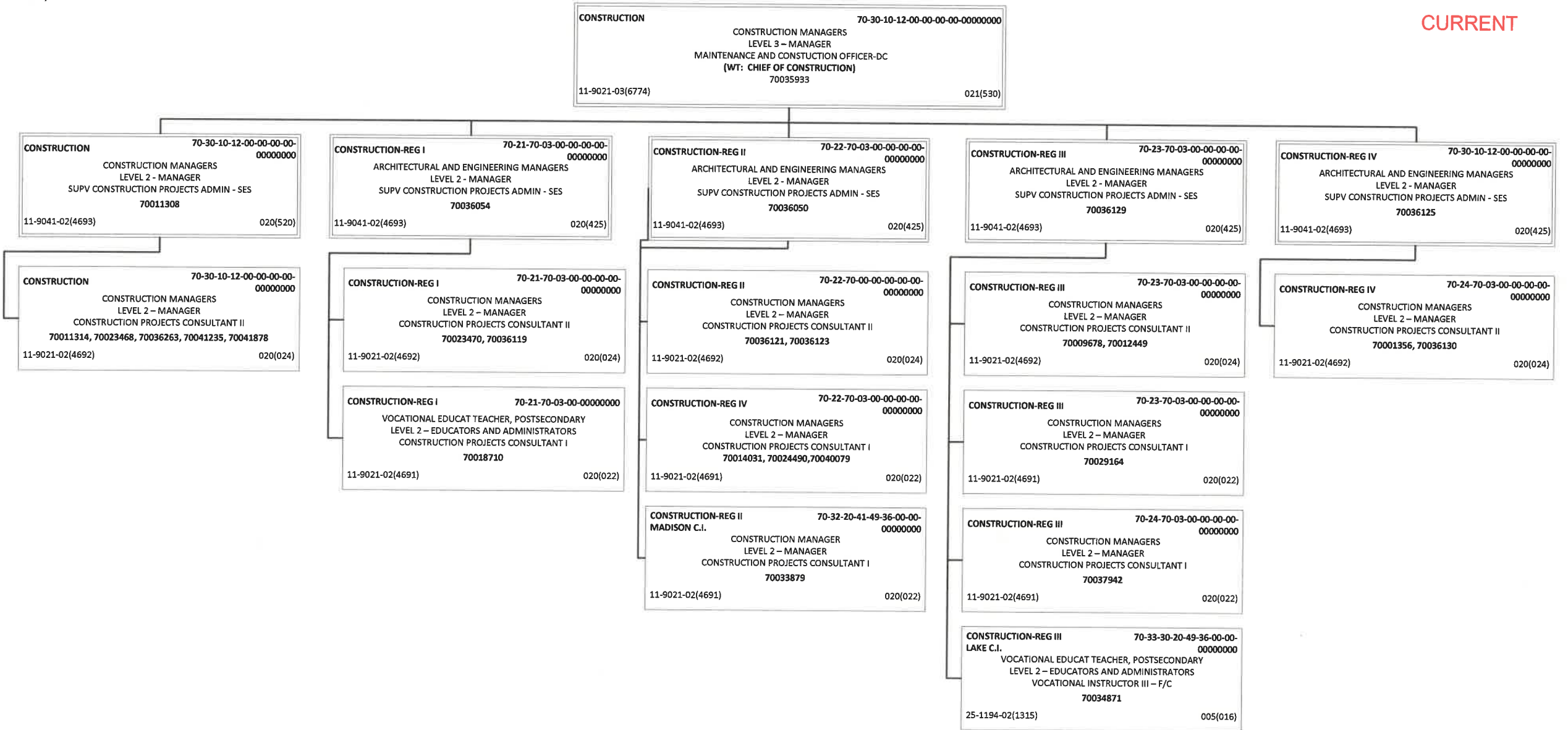
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/FACILITIES MANAGEMENT AND BUILDING CONSTRUCTION
 Bureau/Comparable: CONSTRUCTION
 Section/Subsection:

CONSTRUCTION

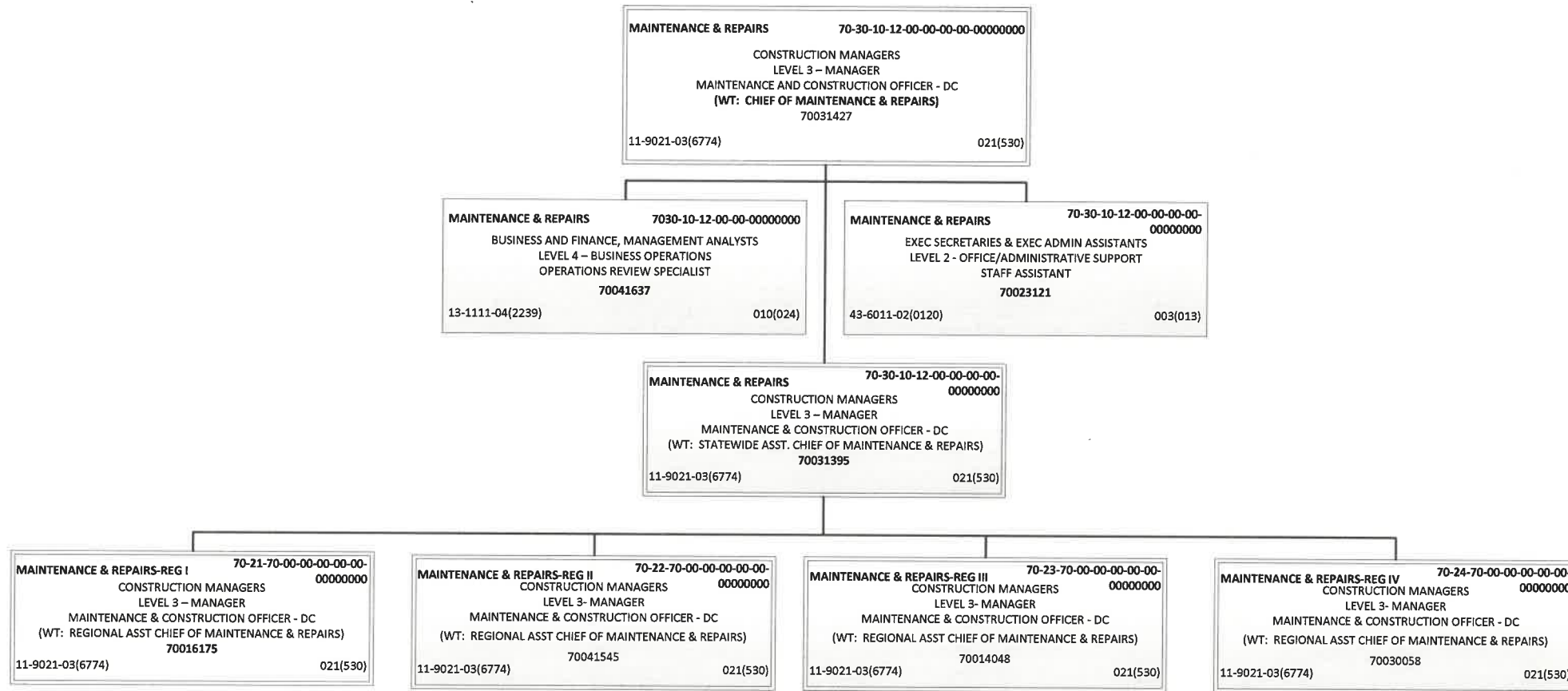
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/FACILITIES MANAGEMENT AND BUILDING CONSTRUCTION
 Bureau/Comparable: BUREAU OF MAINTENANCE & REPAIRS
 Section/Subsection:

MAINT & REPAIRS - Overview

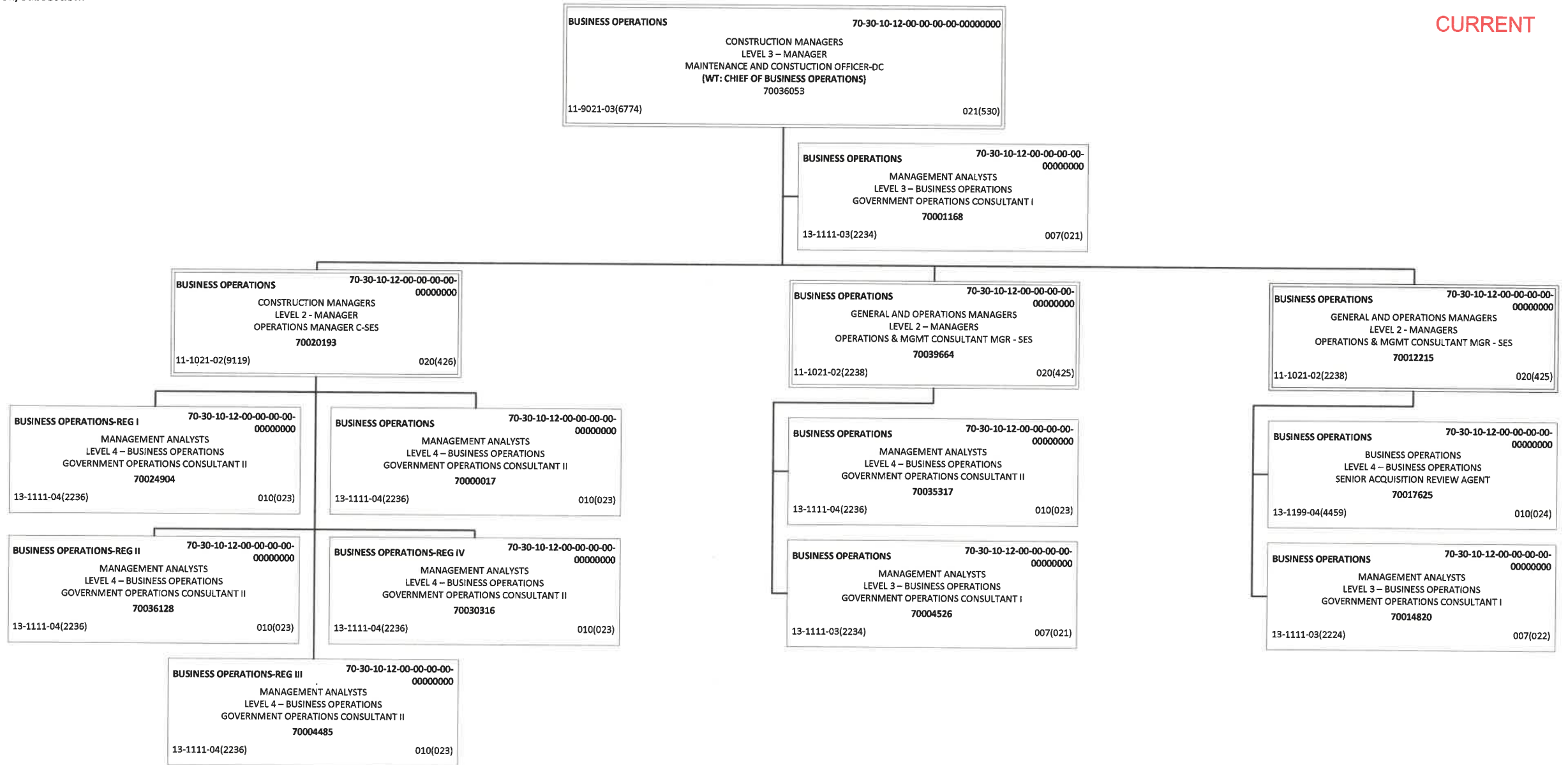
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/FACILITIES MANAGEMENT AND BUILDING CONSTRUCTION
 Bureau/Comparable: BUREAU OF BUSINESS OPERATIONS
 Section/Subsection:

BUSINESS OPERATIONS

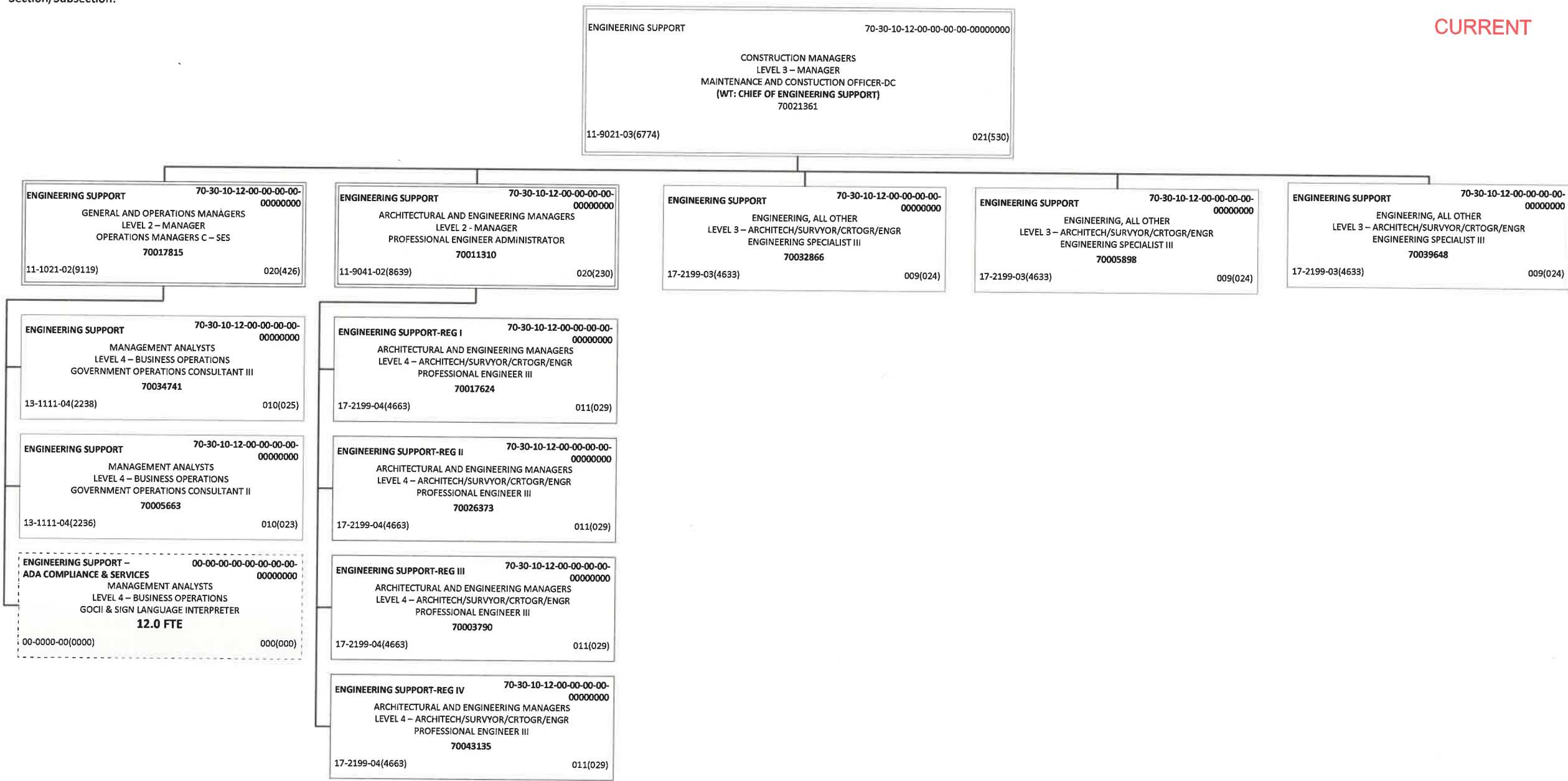
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/FACILITIES MANAGEMENT AND BUILDING CONSTRUCTION
 Bureau/Comparable: ENGINEERING SUPPORT
 Section/Subsection:

ENGINEERING SUPPORT

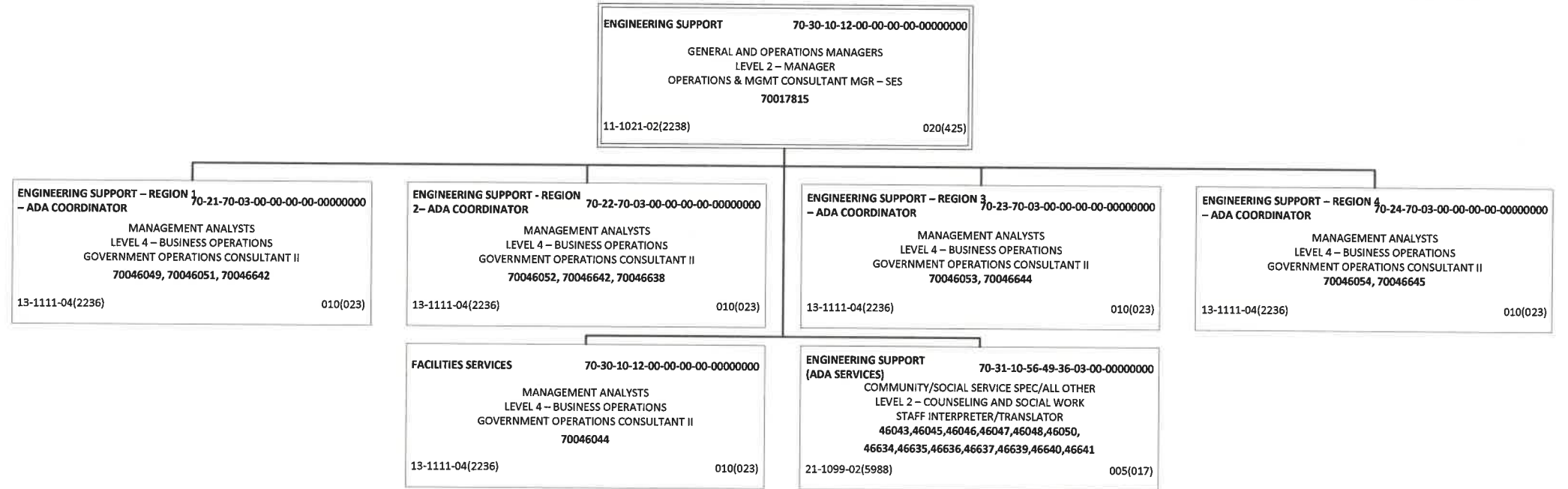
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/FACILITIES MANAGEMENT AND BUILDING CONSTRUCTION
 Bureau/Comparable: ENGINEERING SUPPORT
 Section/Subsection: ADA COMPLIANCE & SERVICES

ENGINEERING SUPPORT - ADA COMPLIANCE

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: CHIEF OF STAFF/STRATEGIC INITIATIVES

Division/Comparable: CHIEF OF STAFF/POLICY MANAGEMENT AND INMATE APPEALS

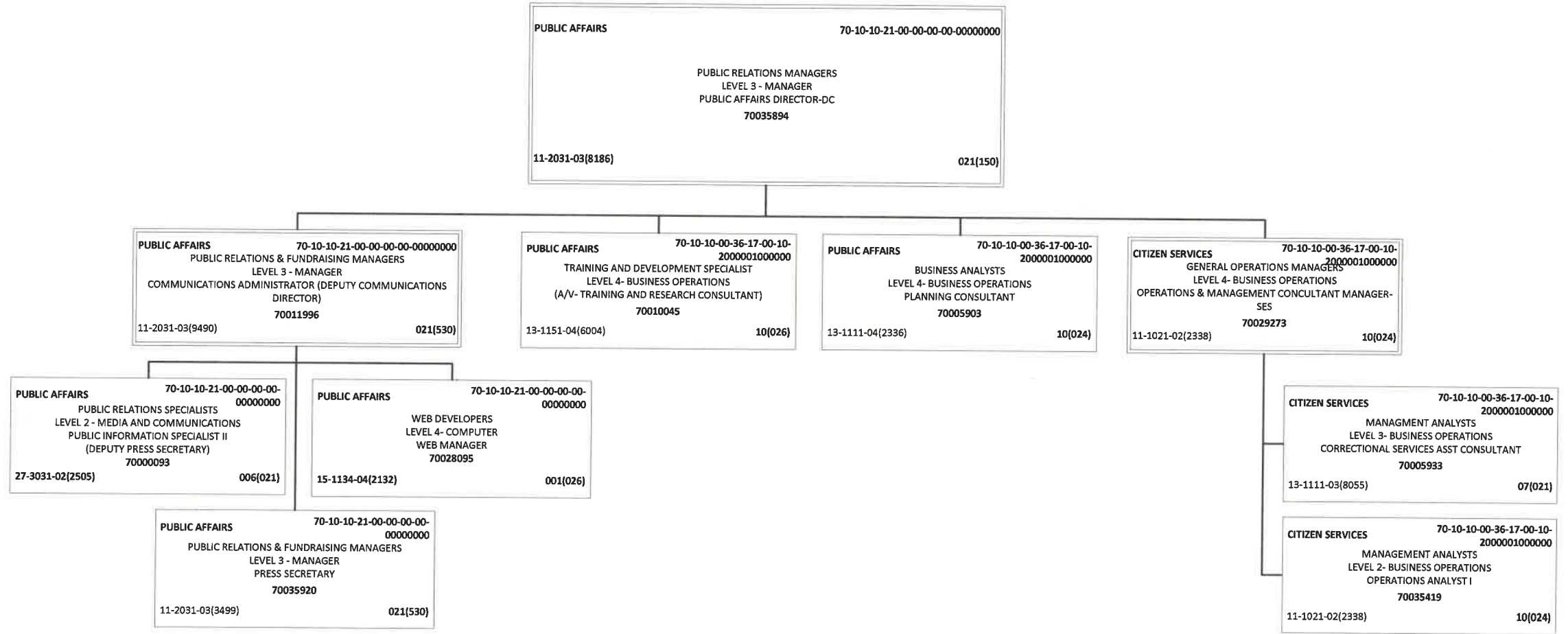
Division/Comparable: CHIEF OF STAFF

Bureau/Comparable: PUBLIC AFFAIRS

Section/Subsection:

PUBLIC AFFAIRS

CURRENT



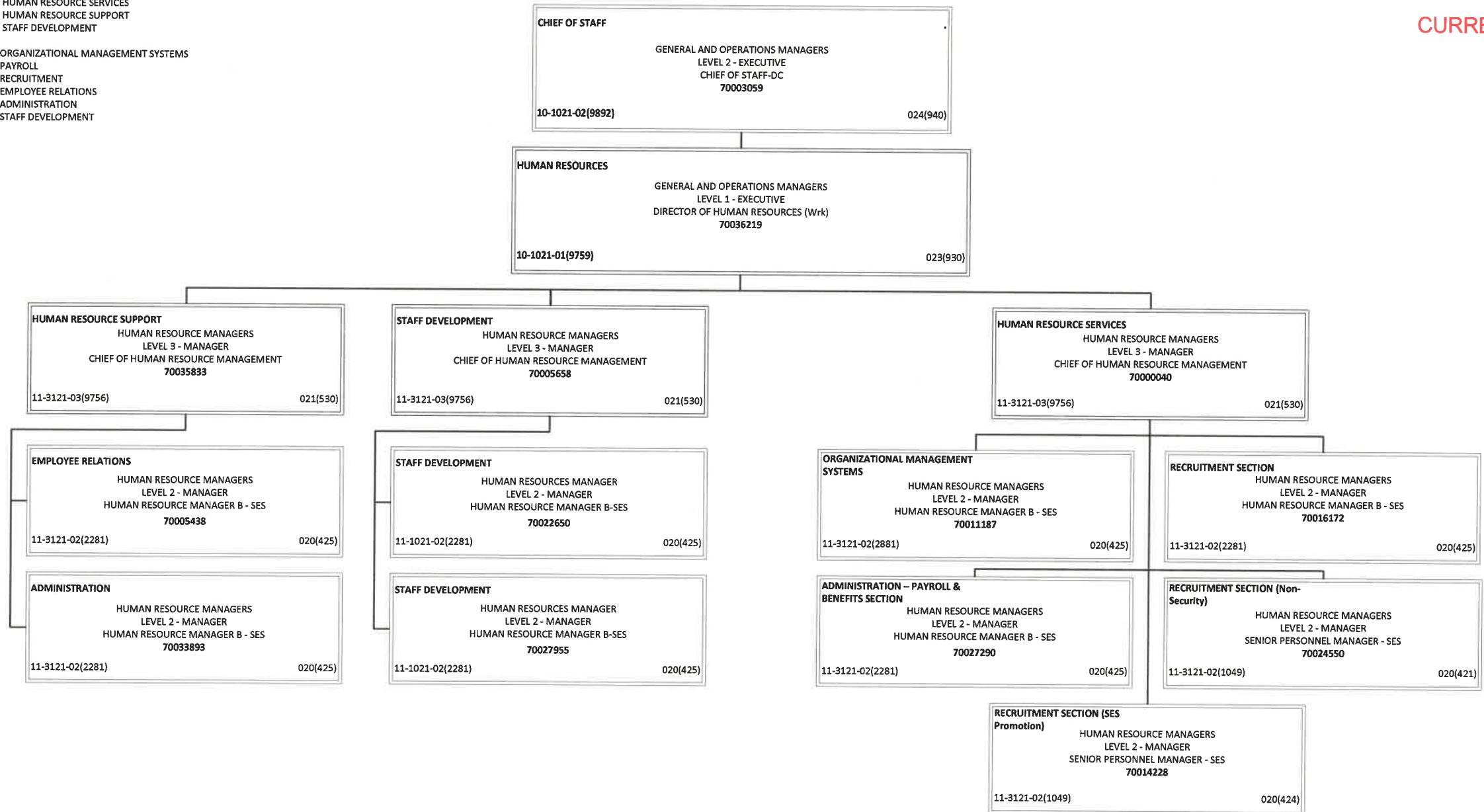
HR - Overview

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES

Bureau/Comparable: HUMAN RESOURCE SERVICES
 Bureau/Comparable: HUMAN RESOURCE SUPPORT
 Bureau/Comparable: STAFF DEVELOPMENT

Section/Subsection: ORGANIZATIONAL MANAGEMENT SYSTEMS
 Section/Subsection: PAYROLL
 Section/Subsection: RECRUITMENT
 Section/Subsection: EMPLOYEE RELATIONS
 Section/Subsection: ADMINISTRATION
 Section/Subsection: STAFF DEVELOPMENT

CURRENT

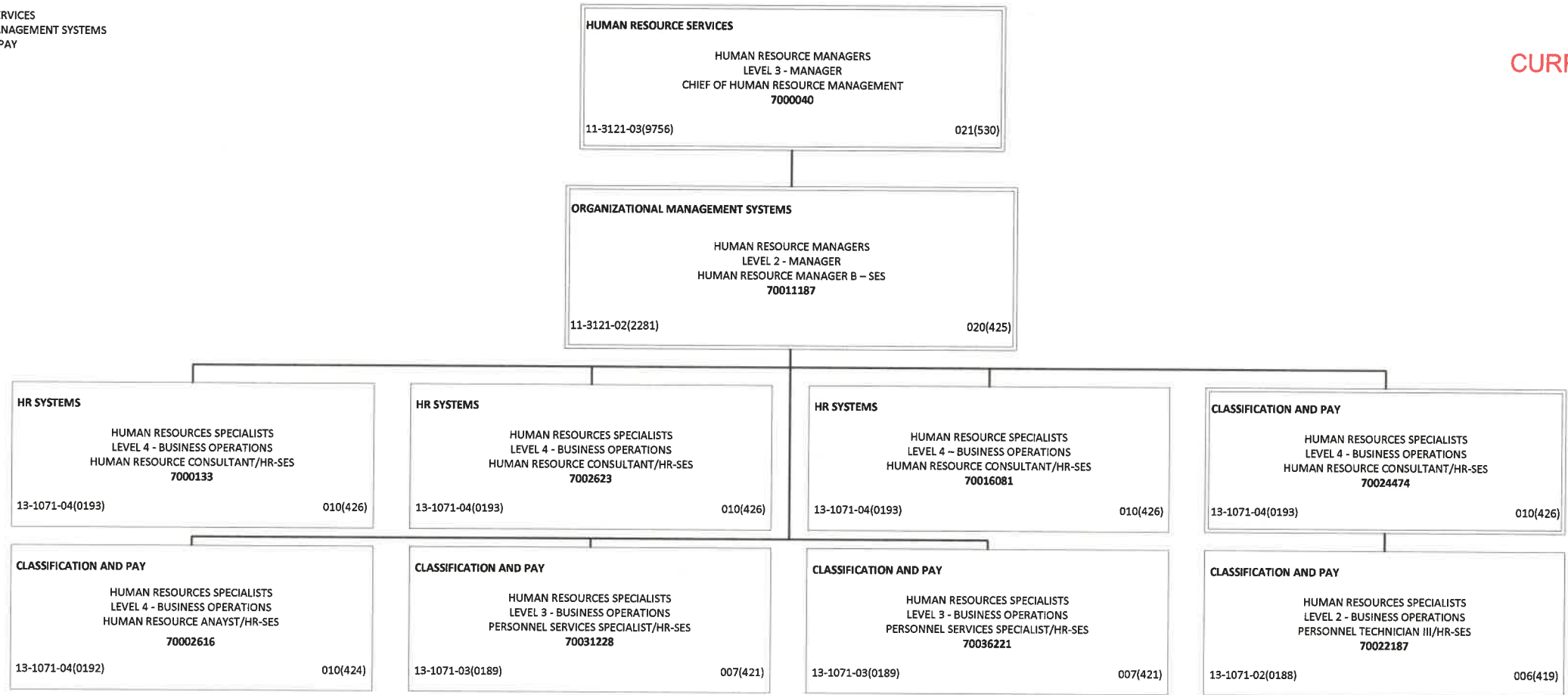


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES

Bureau/Comparable: HUMAN RESOURCE SERVICES
 Section/Subsection: ORGANIZATIONAL MANAGEMENT SYSTEMS
 Section/Subsection: CLASSIFICATION AND PAY
 Section/Subsection: HR SYSTEMS

HR-ORG Mgt Systems

CURRENT

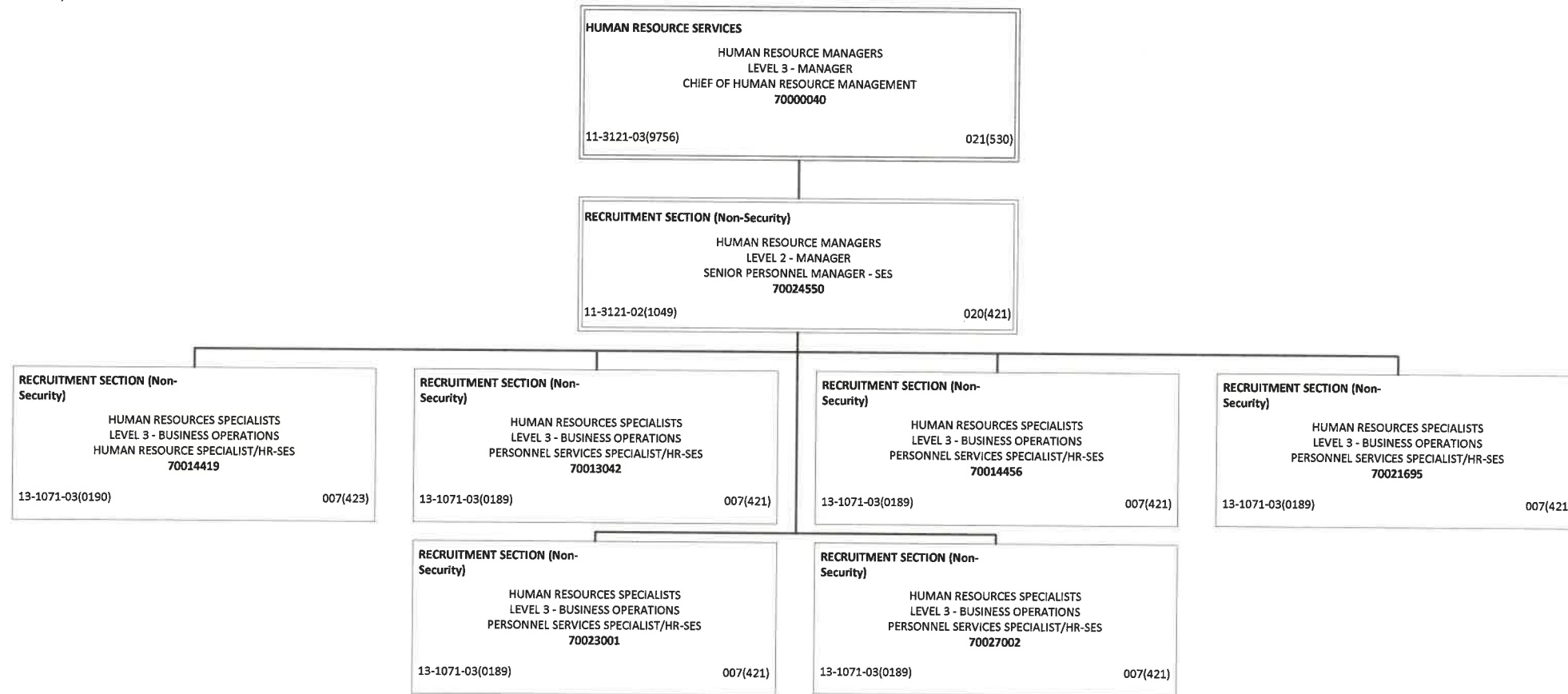


Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES

Bureau/Comparable: HUMAN RESOURCE SERVICES
Section/Subsection: RECRUITMENT (NON-SECURITY)

HR - Recruitment (NS)

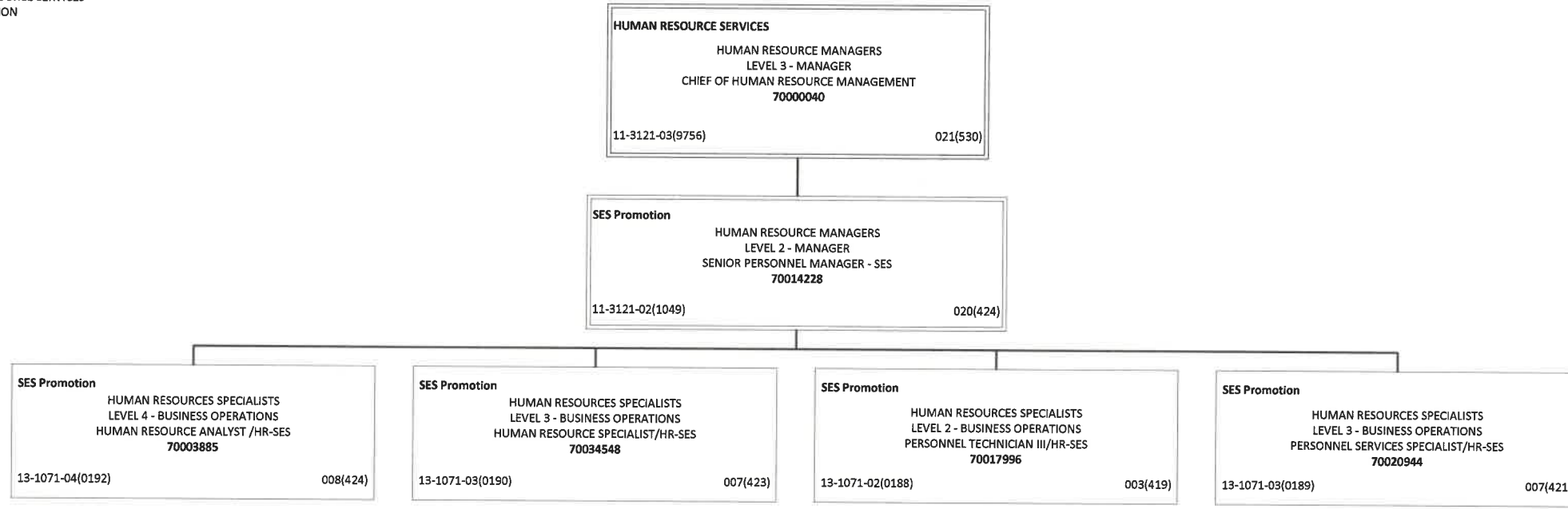
CURRENT



SES PROMOTION

Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES
Bureau/Comparable: HUMAN RESOURCE SERVICES
Section/Subsection: SES PROMOTION

CURRENT

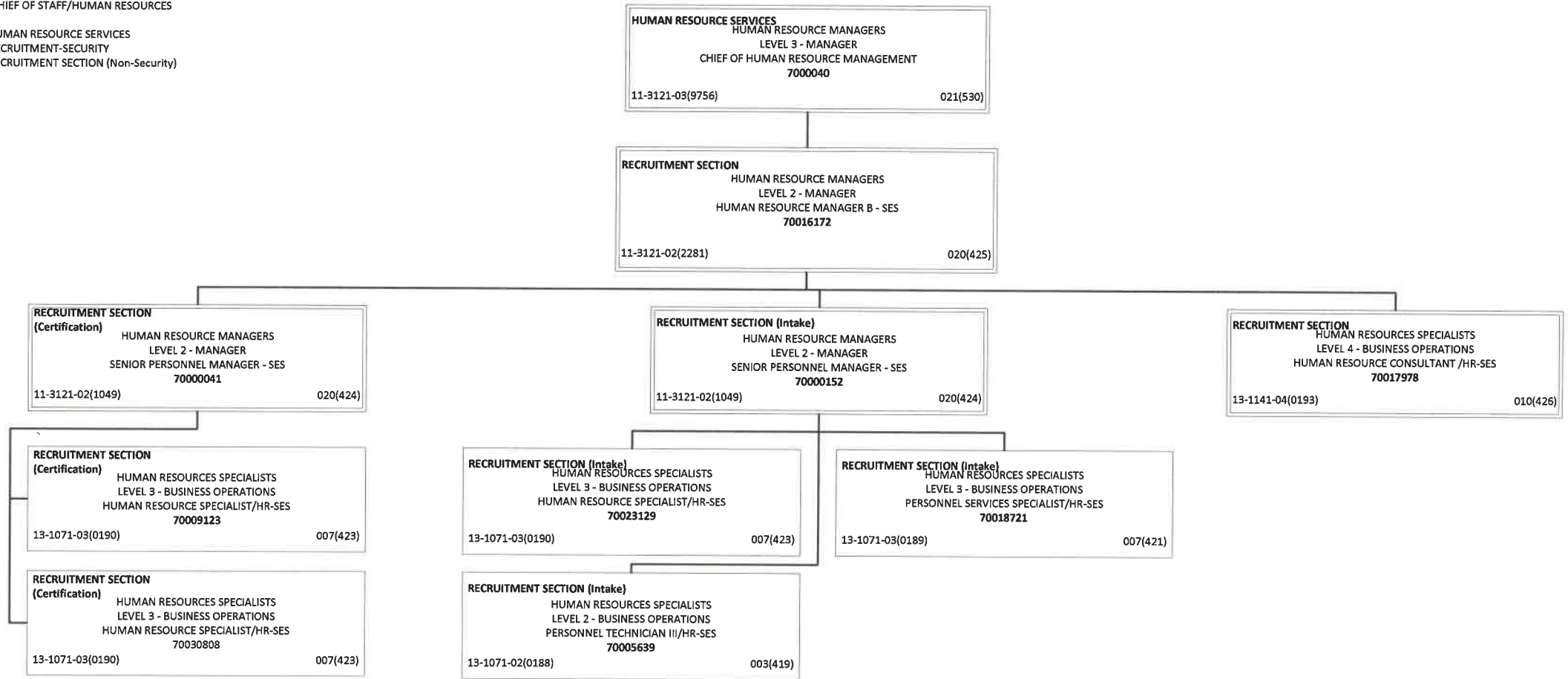


Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES

Bureau/Comparable: HUMAN RESOURCE SERVICES
Section/Subsection: RECRUITMENT-SECURITY
Section/Subsection: RECRUITMENT SECTION (Non-Security)

HR - Recruitment

CURRENT

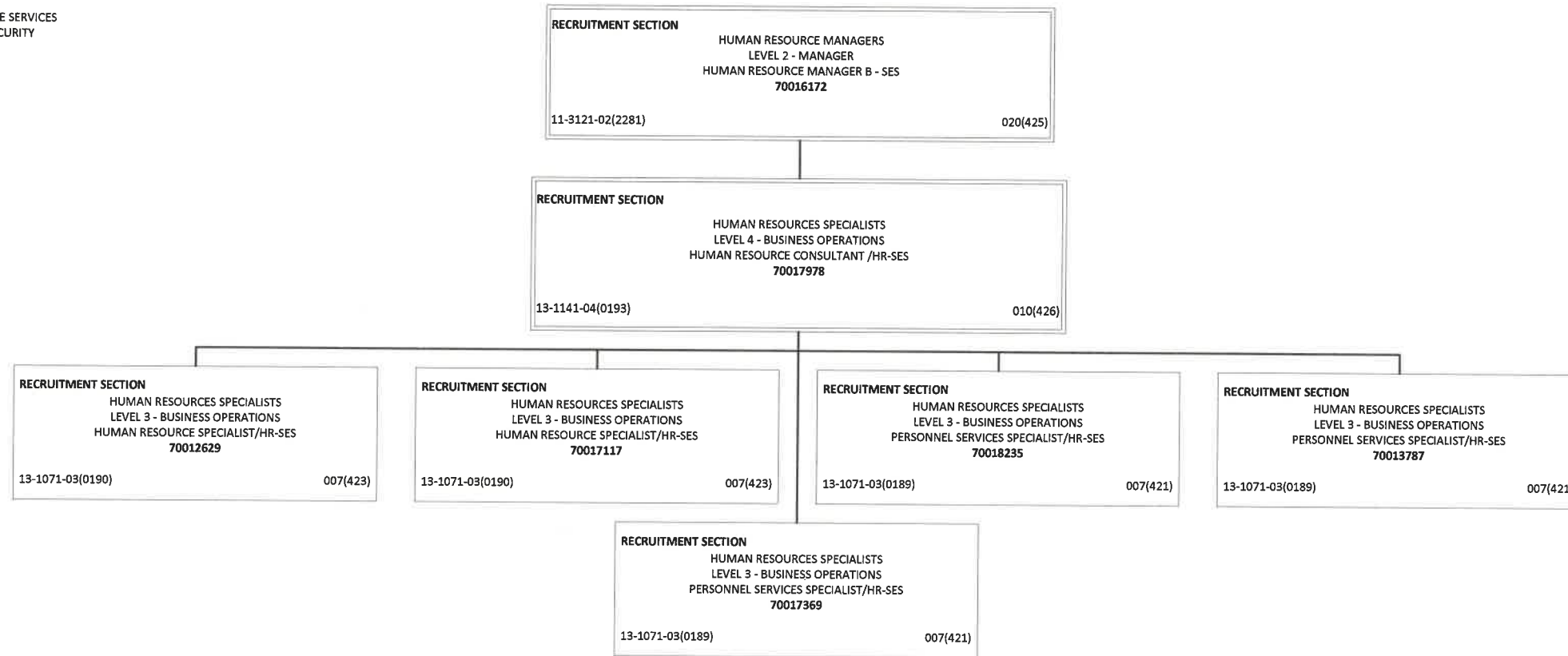


Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES

Bureau/Comparable: HUMAN RESOURCE SERVICES
Section/Subsection: RECRUITMENT-SECURITY

HR - Recruitment (17978)

CURRENT

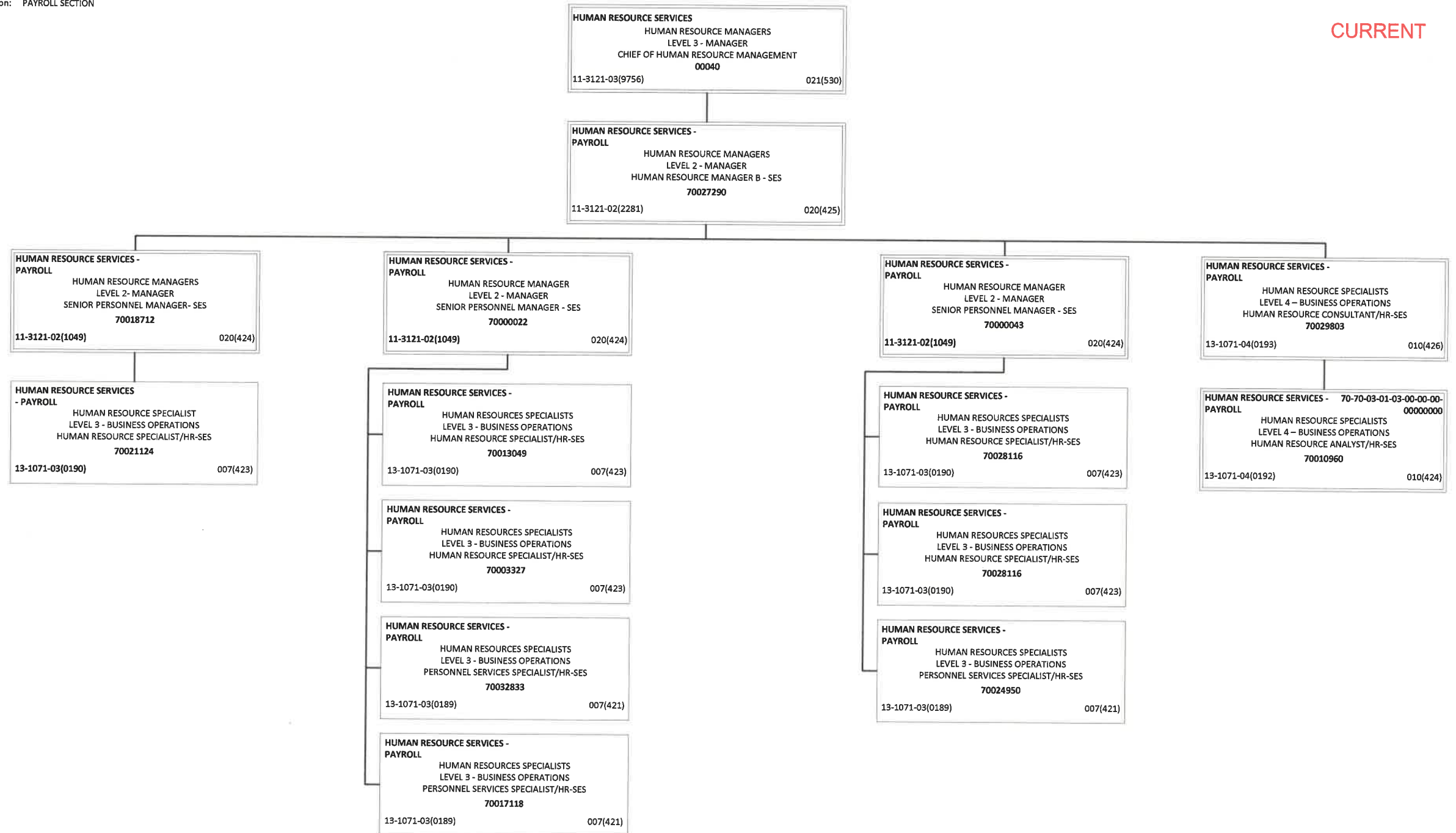


Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES

Bureau/Comparable: HUMAN RESOURCE SERVICES
Section/Subsection: PAYROLL SECTION

HR-PAYROLL

CURRENT

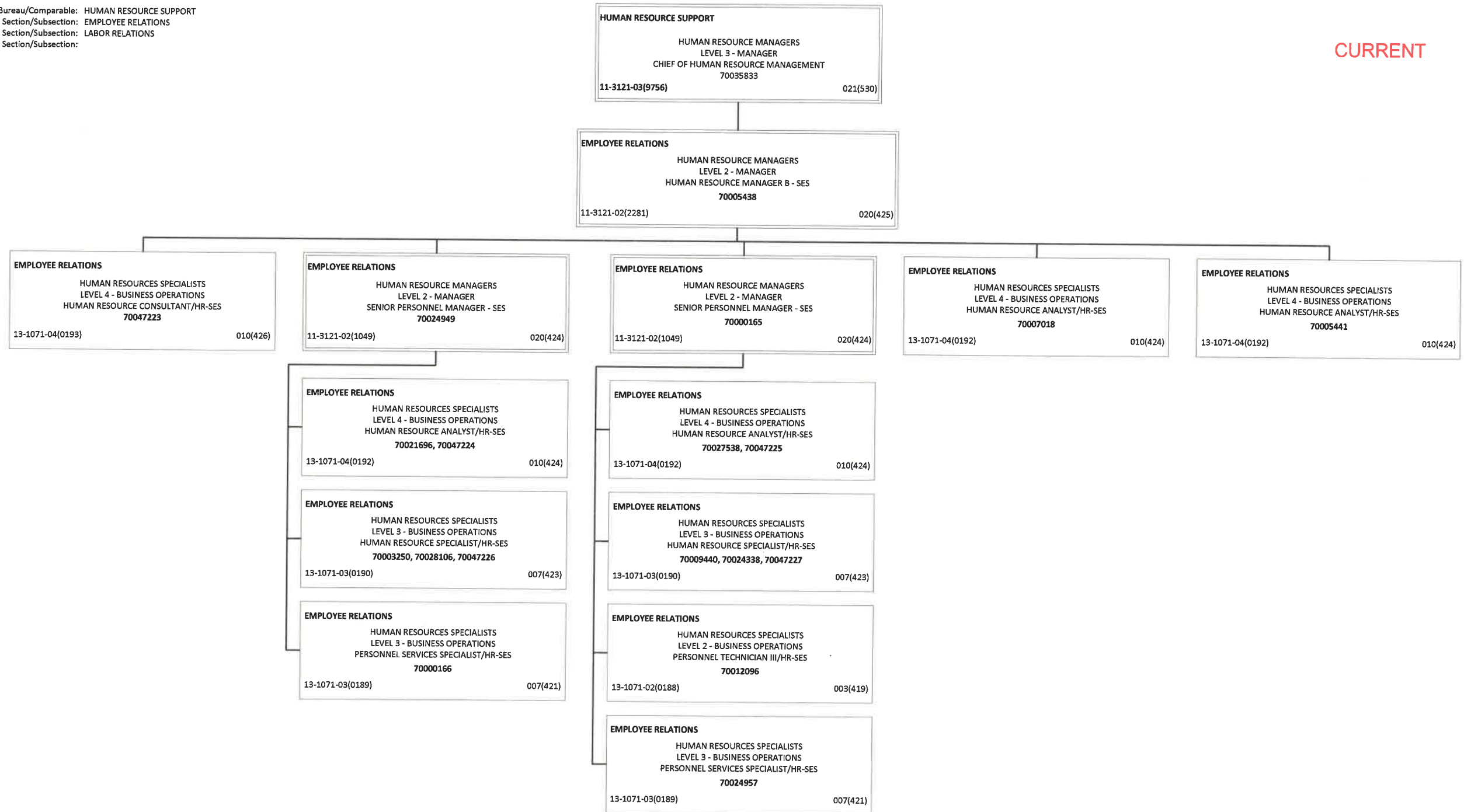


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES

Bureau/Comparable: HUMAN RESOURCE SUPPORT
 Section/Subsection: EMPLOYEE RELATIONS
 Section/Subsection: LABOR RELATIONS
 Section/Subsection:

HR - LR ER

CURRENT



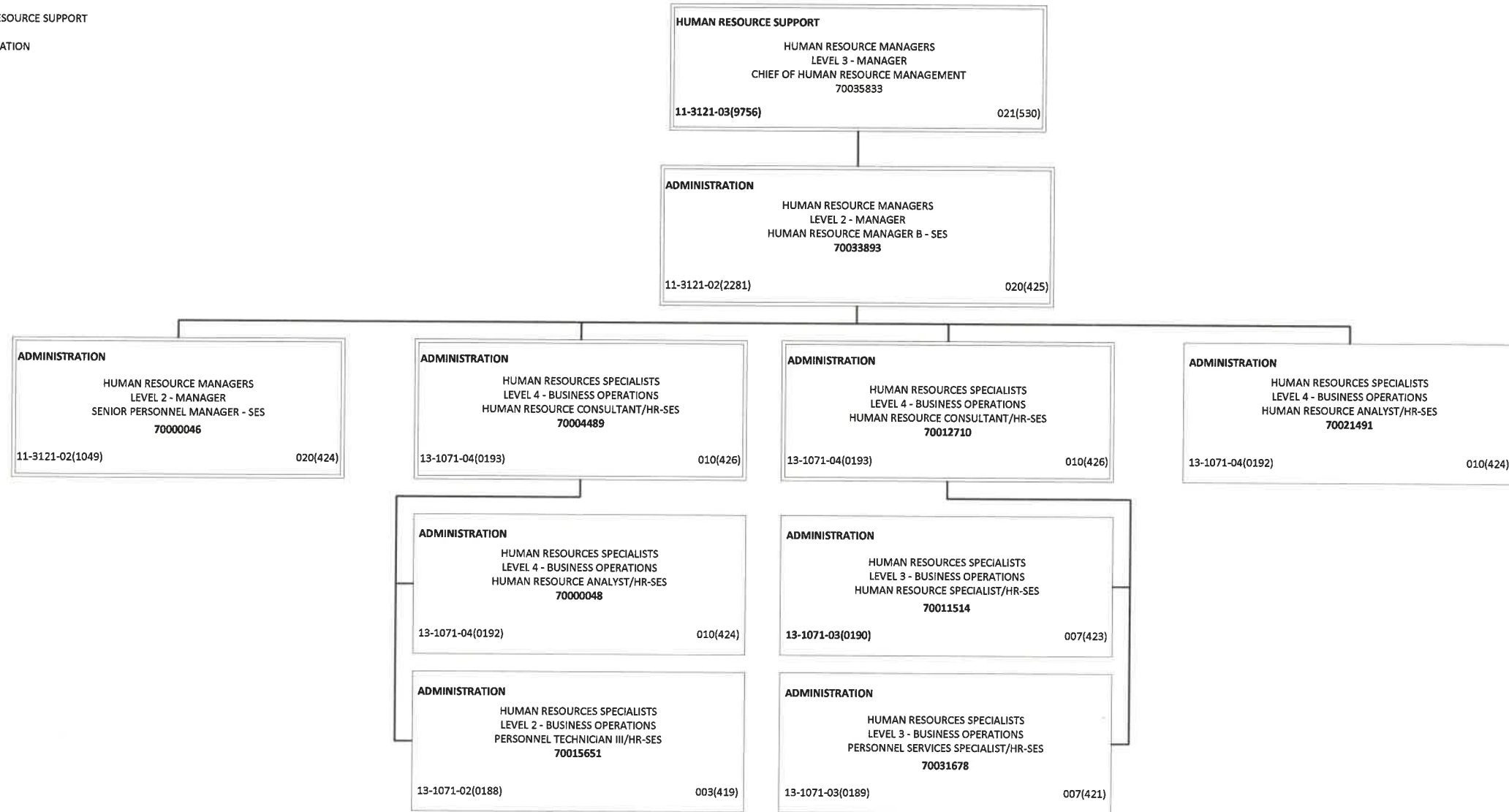
Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES

Bureau/Comparable: HUMAN RESOURCE SUPPORT

Section/Subsection: ADMINISTRATION

HR-ADMIN

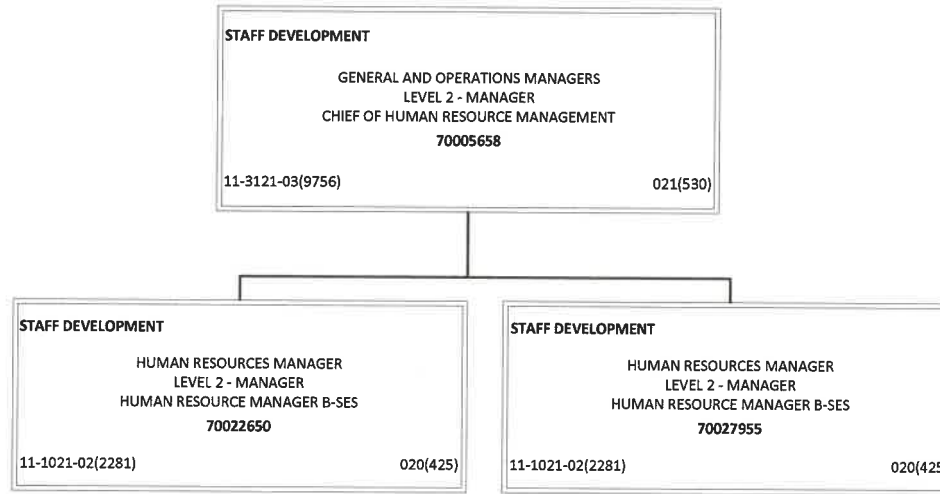
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Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES
Bureau/Comparable: STAFF DEVELOPMENT
Section/Subsection:

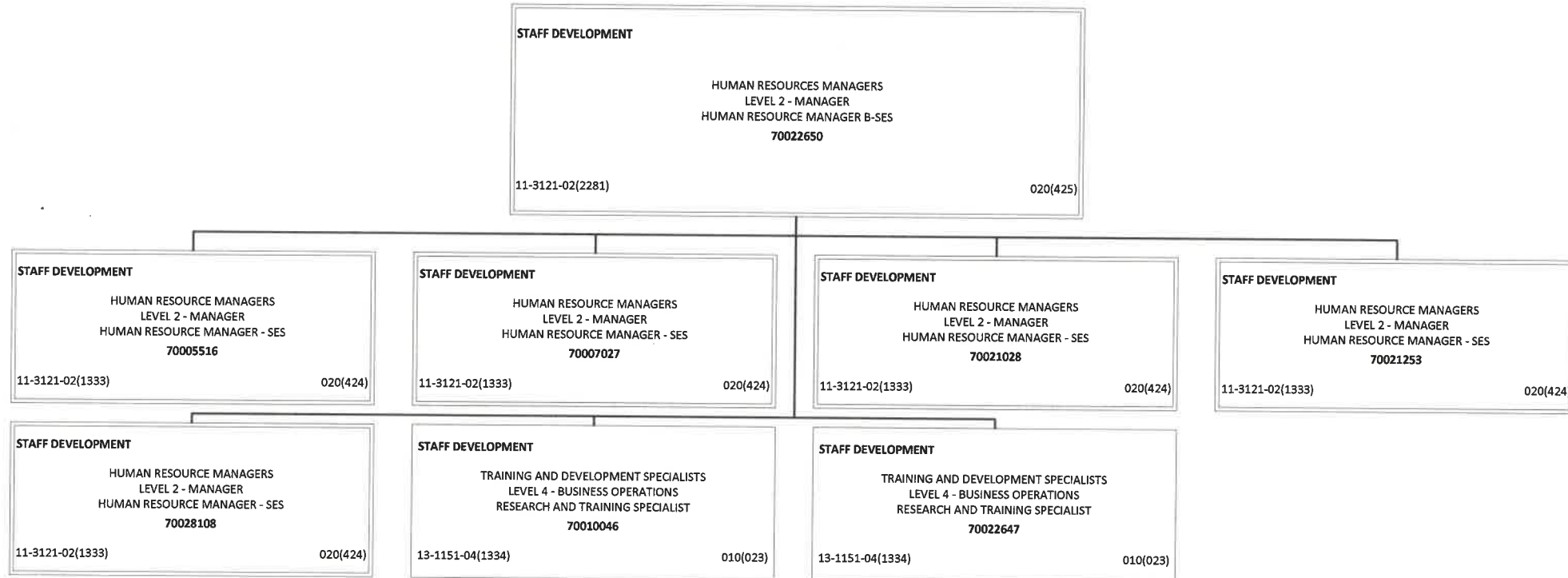
STAFF DEVELOPMENT (05658)

CURRENT



SD (HR MANAGER B-SES 22650)

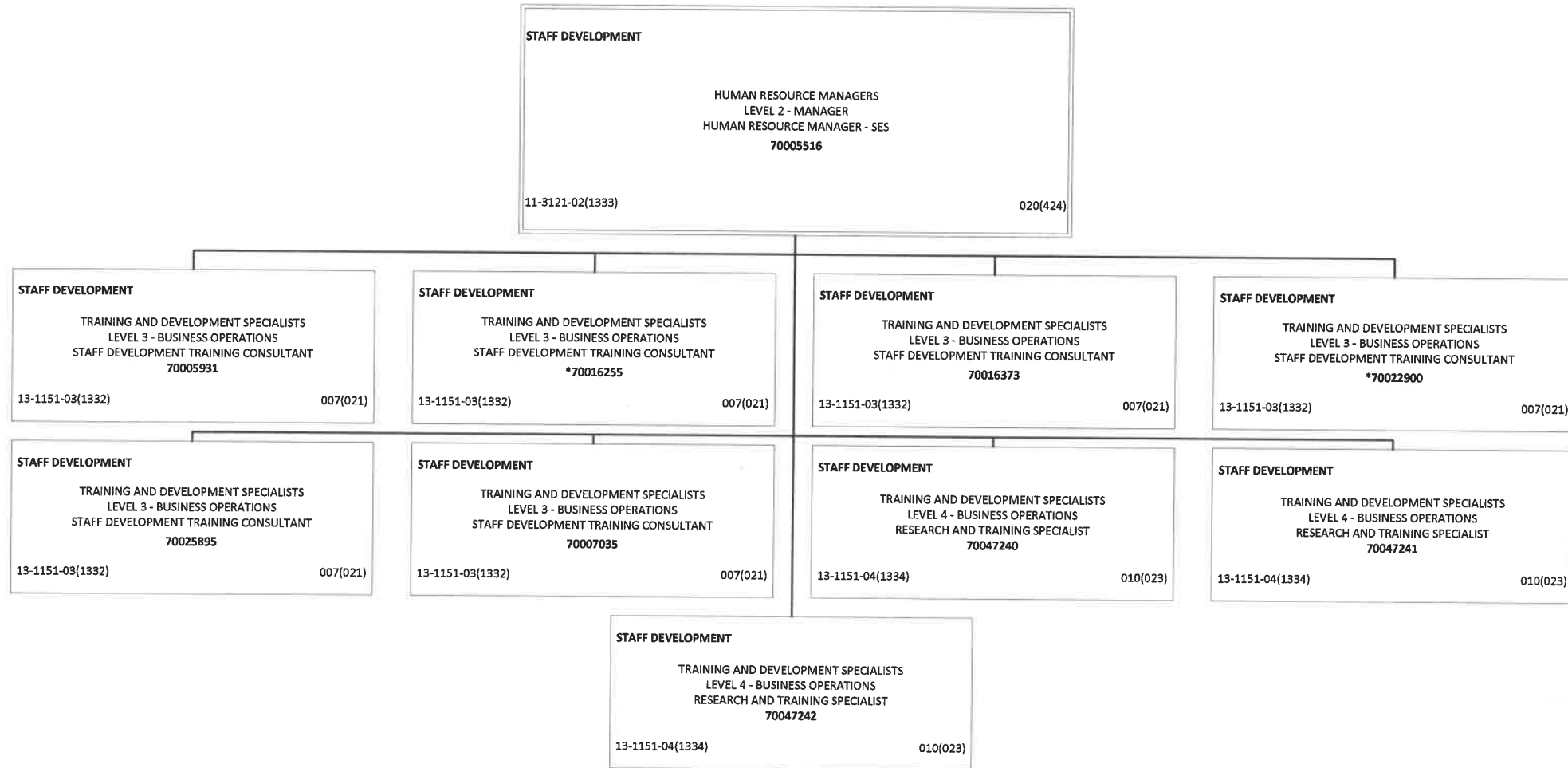
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES
 Bureau/Comparable: STAFF DEVELOPMENT
 Section/Subsection:

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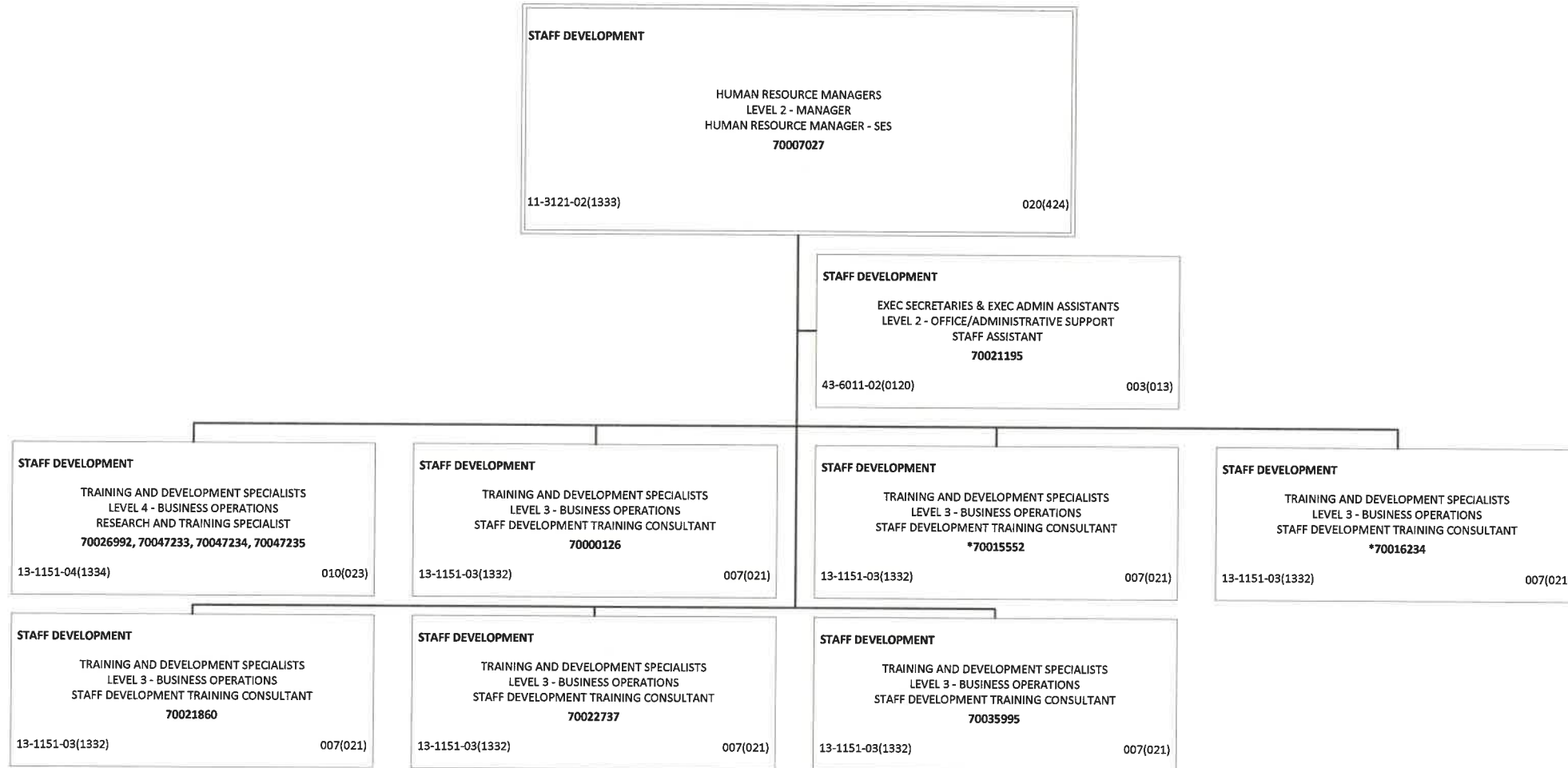
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES
 Bureau/Comparable: STAFF DEVELOPMENT
 Section/Subsection:

SD (HR MANAGER-SES 07027)

CURRENT



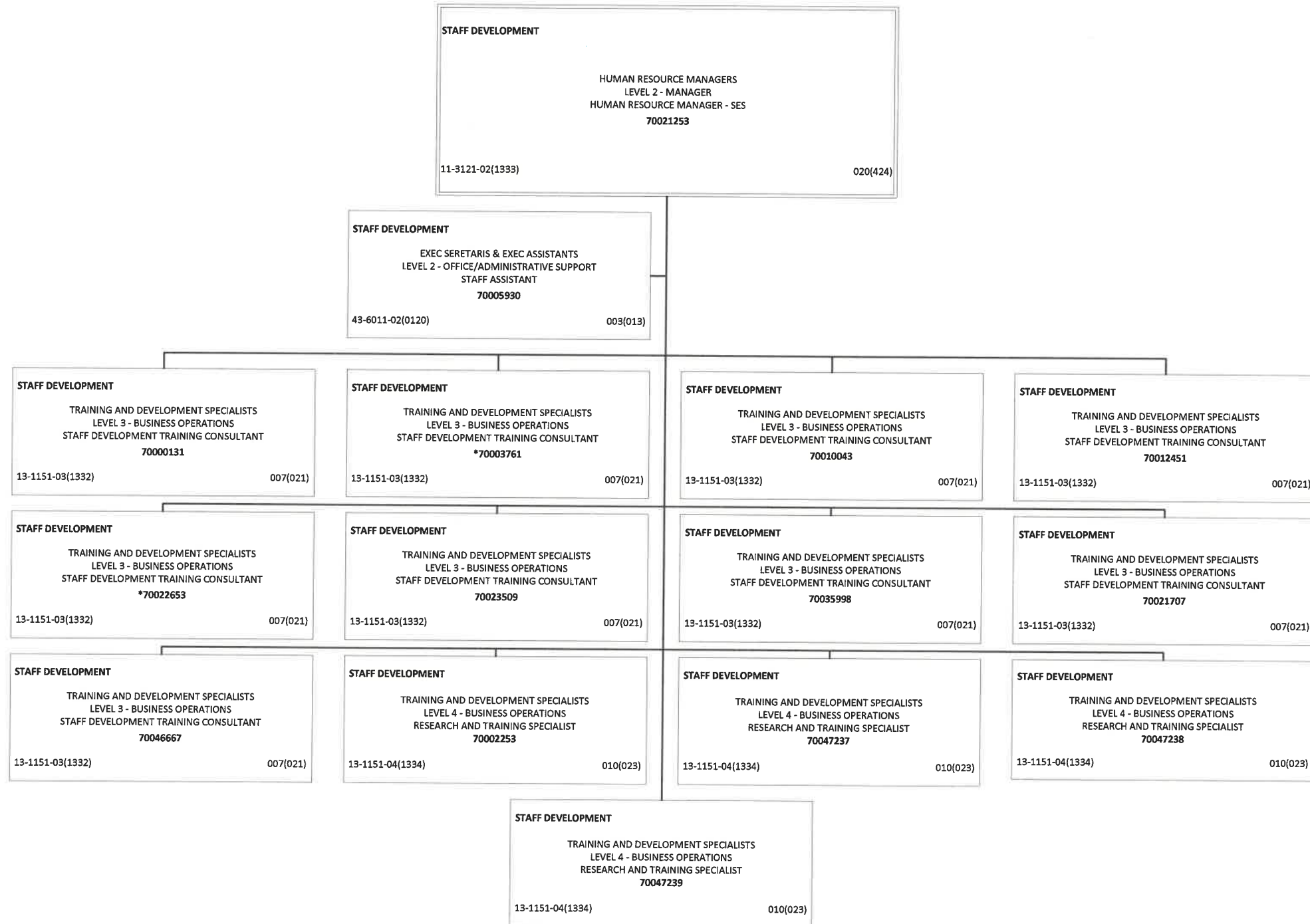
SD (HR MANAGER-SES 21028)

CURRENT



SD (HR MANAGER-SES 21253)

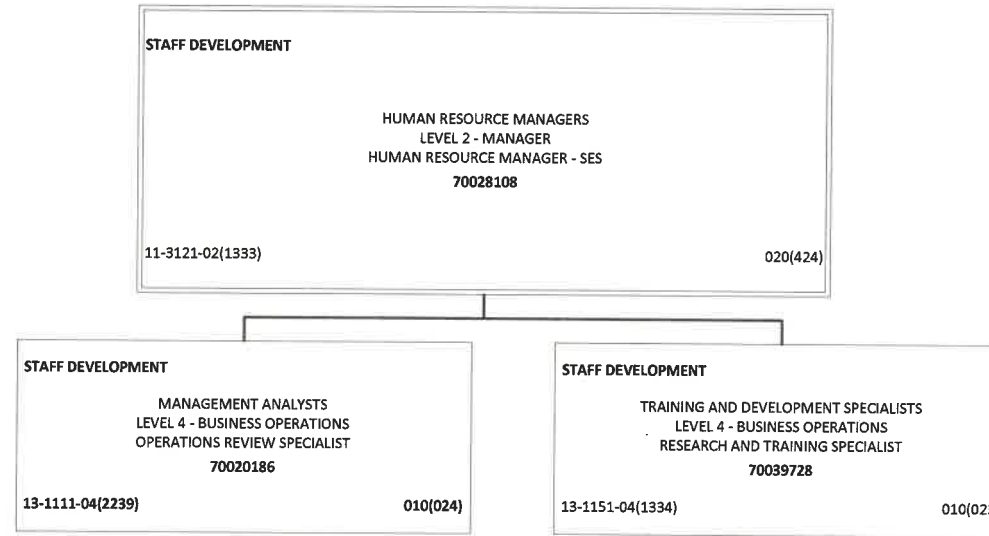
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Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES
Bureau/Comparable: STAFF DEVELOPMENT
Section/Subsection:

SD (HR MANAGER-SES 28108)

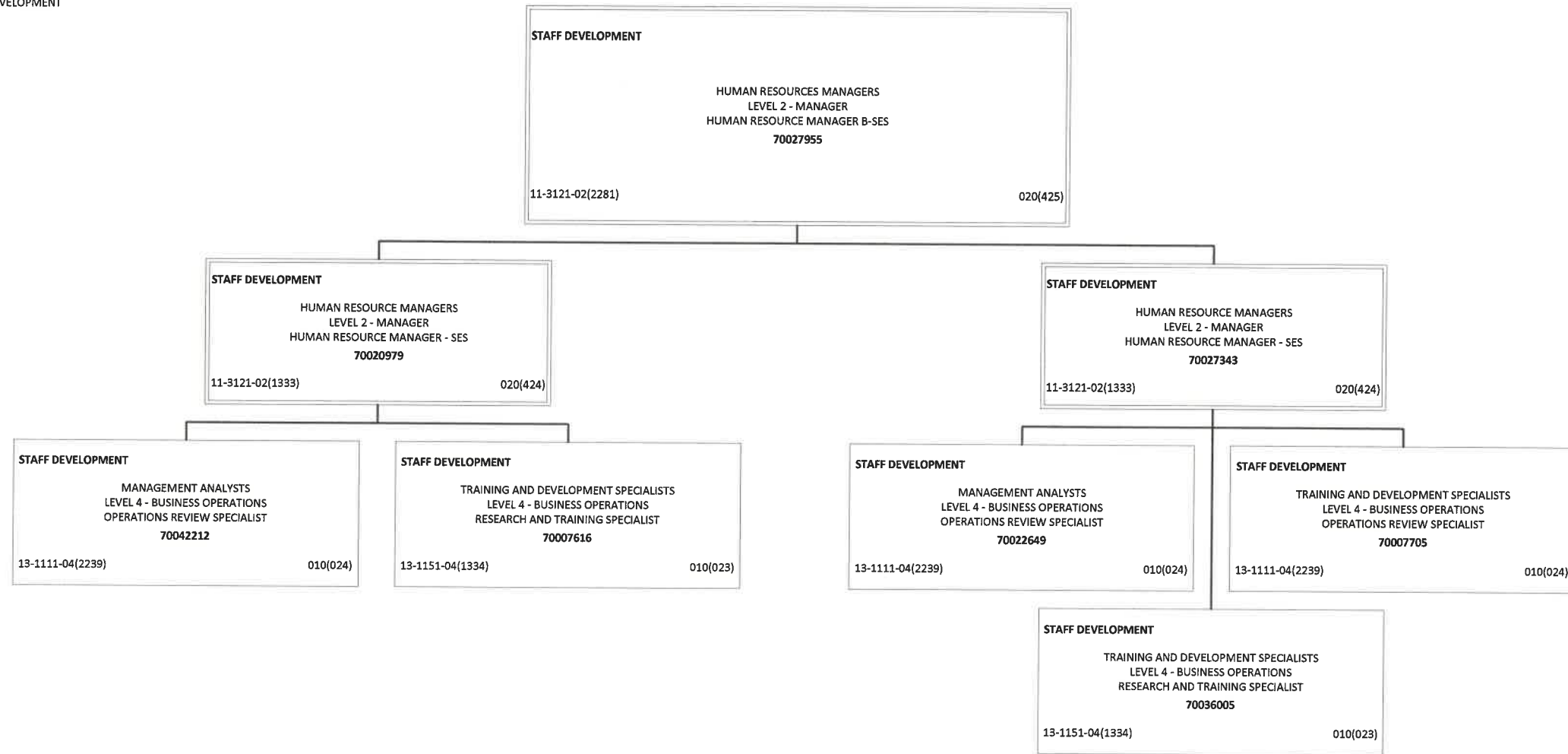
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Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES
Bureau/Comparable: STAFF DEVELOPMENT
Section/Subsection:

SD (HR MANAGER B-SES 27955)

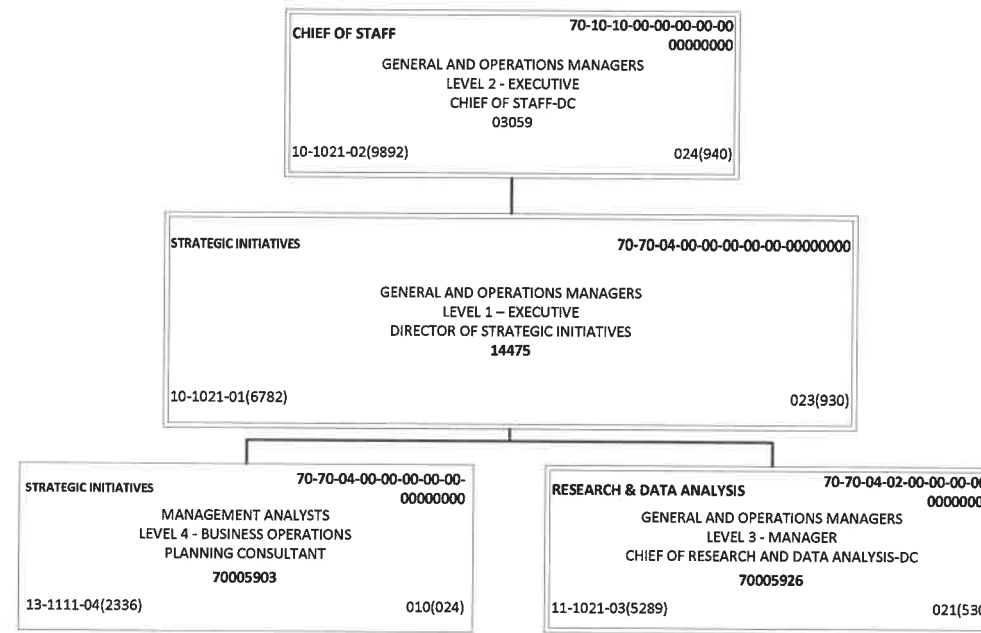
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/STRATEGIC INITIATIVES
 Bureau/Comparable: POLICY MANAGEMENT AND INMATE APPEALS
 Bureau/Comparable: RESEARCH & DATA ANALYSIS
 Section/Subsection:

STRATEGIC INITIATIVES

CURRENT



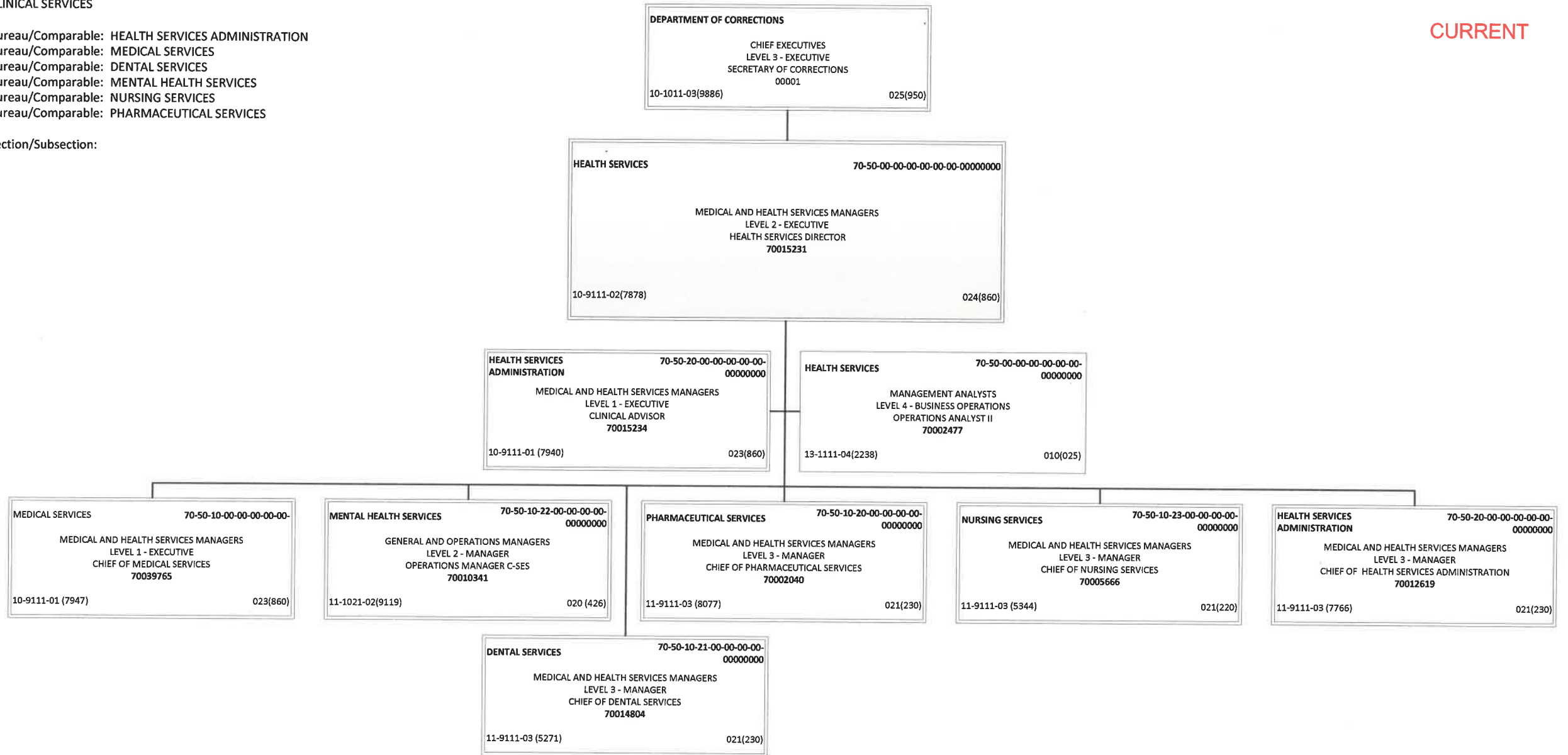
ame of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES/
 CLINICAL SERVICES

Bureau/Comparable: HEALTH SERVICES ADMINISTRATION
 Bureau/Comparable: MEDICAL SERVICES
 Bureau/Comparable: DENTAL SERVICES
 Bureau/Comparable: MENTAL HEALTH SERVICES
 Bureau/Comparable: NURSING SERVICES
 Bureau/Comparable: PHARMACEUTICAL SERVICES

Section/Subsection:

OVERVIEW

CURRENT

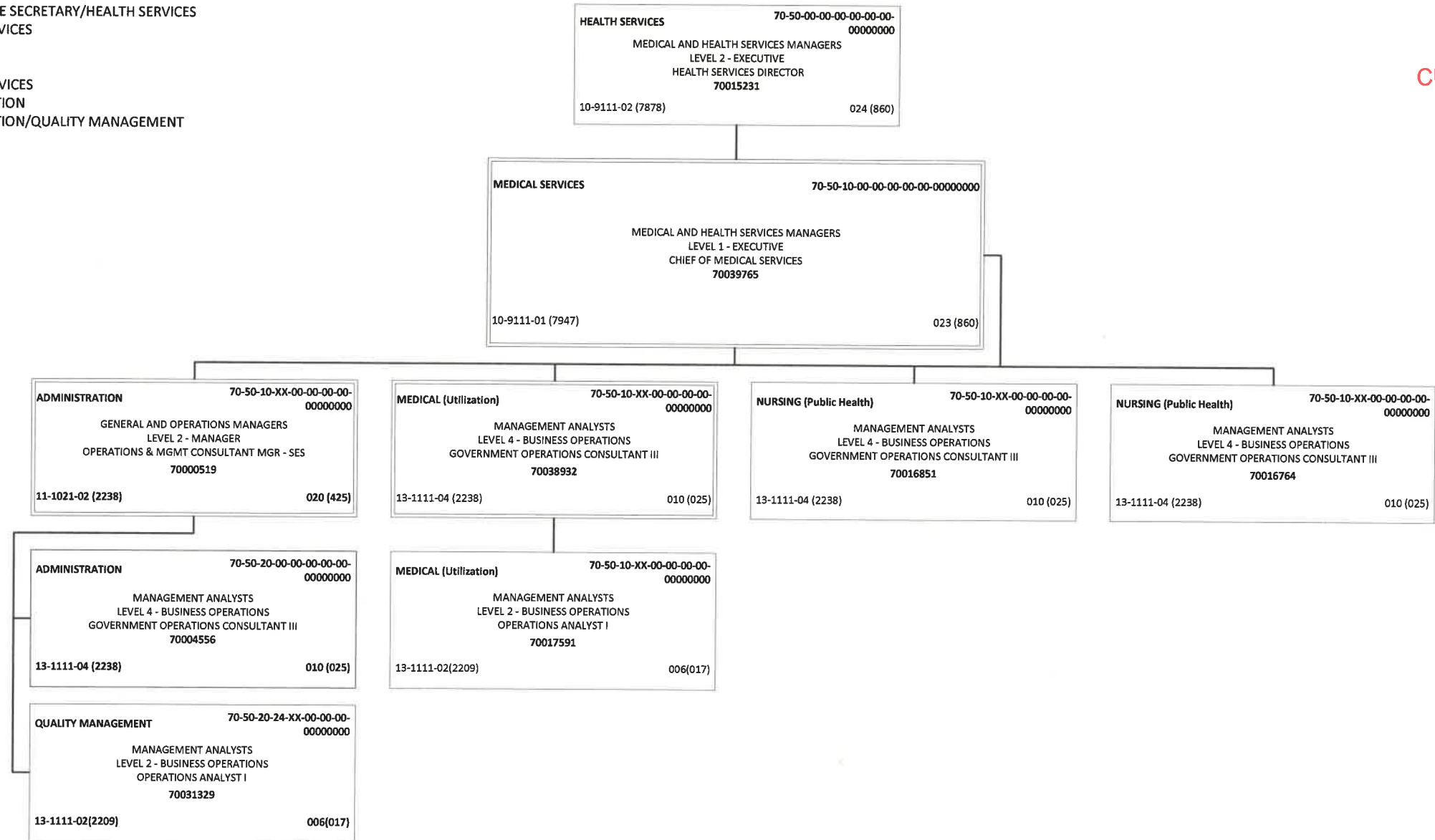


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: MEDICAL SERVICES

Section/Subsection: MEDICAL
 Section/Subsection: NURSING SERVICES
 Section/Subsection: ADMINISTRATION
 Section/Subsection: ADMINISTRATION/QUALITY MANAGEMENT

MEDICAL SERVICES (39765)

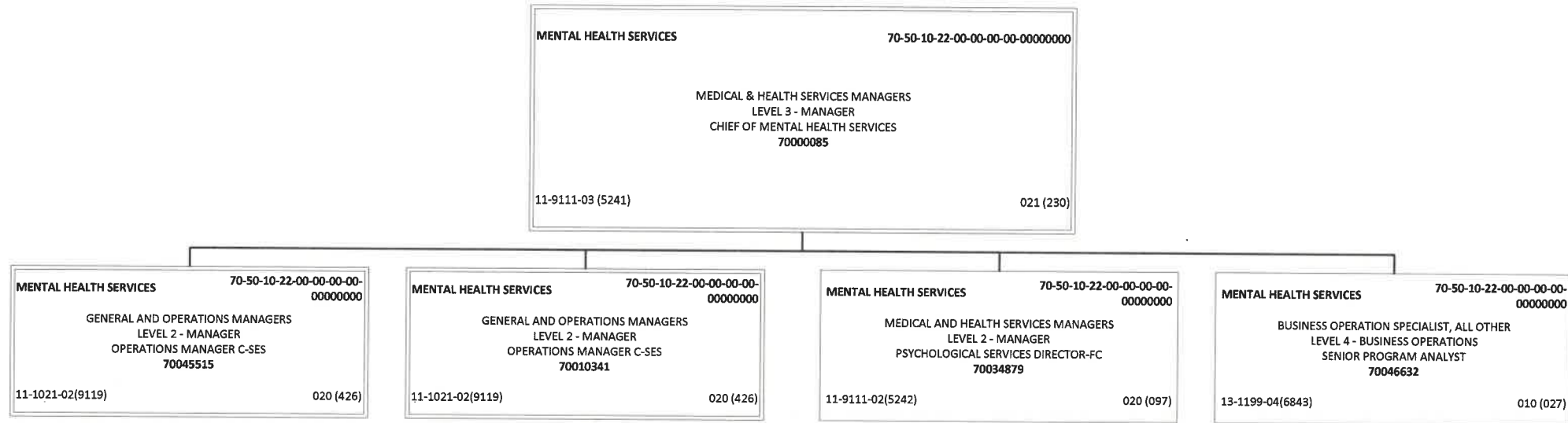
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: MENTAL HEALTH SERVICES
 Section/Subsection: QUALITY MANAGEMENT

MENTAL HEALTH SERVICES (00085)

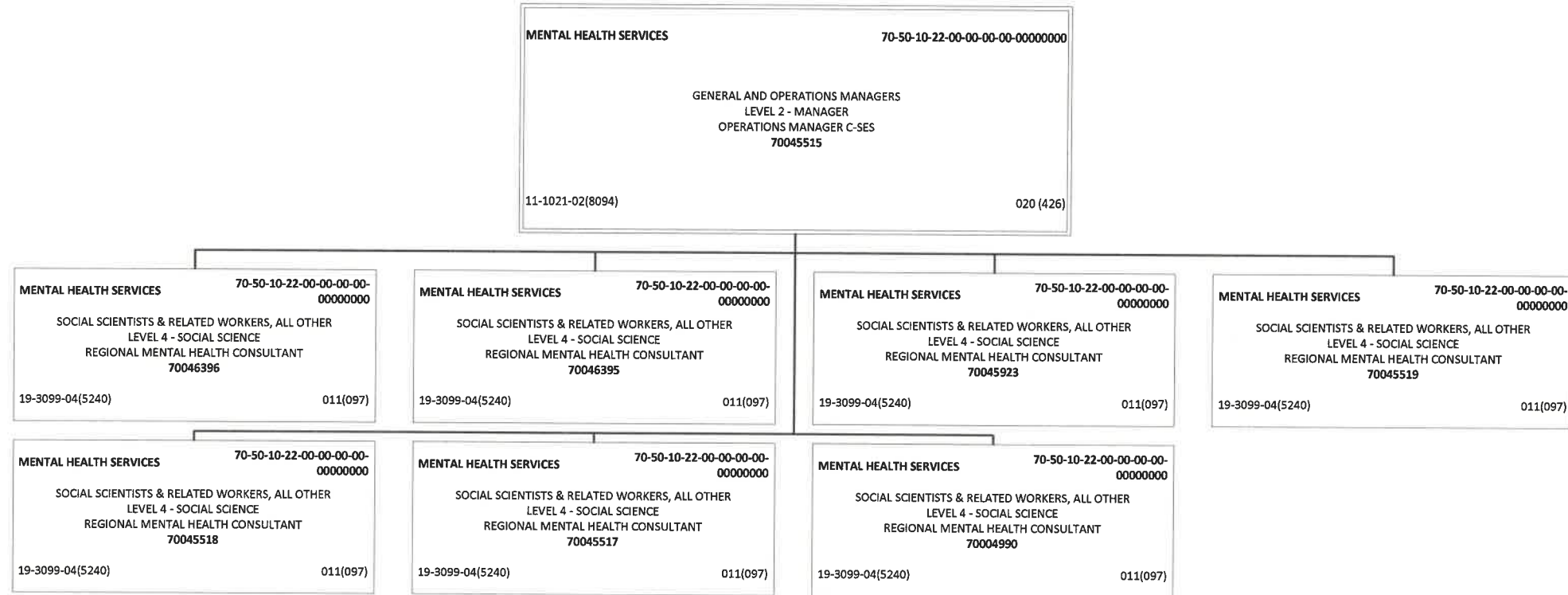
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: MENTAL HEALTH SERVICES
 Section/Subsection:

MENTAL HEALTH SERVICES (45515)

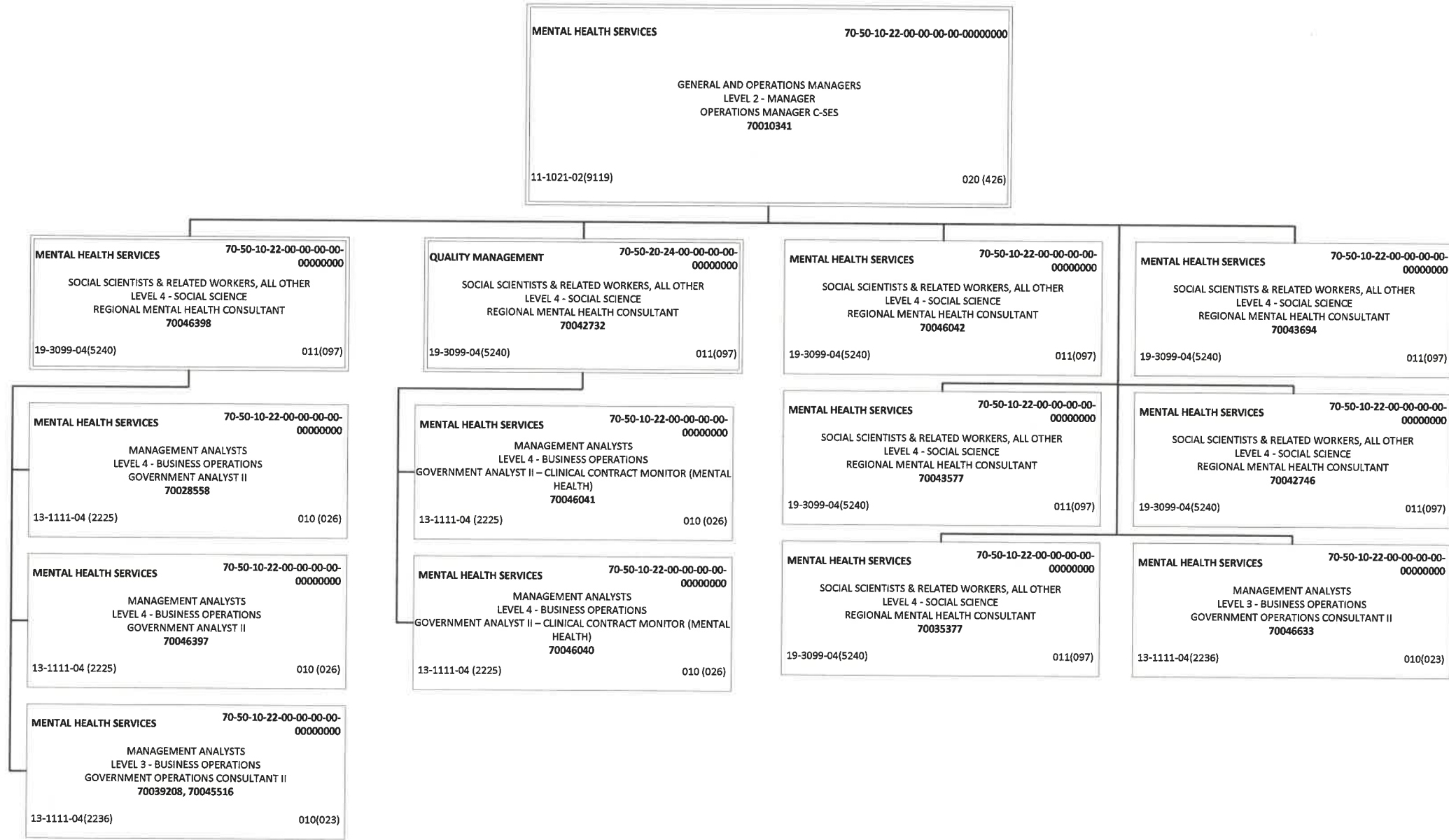
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: MENTAL HEALTH SERVICES
 Section/Subsection:

MENTAL HEALTH SERVICES (10341)

CURRENT

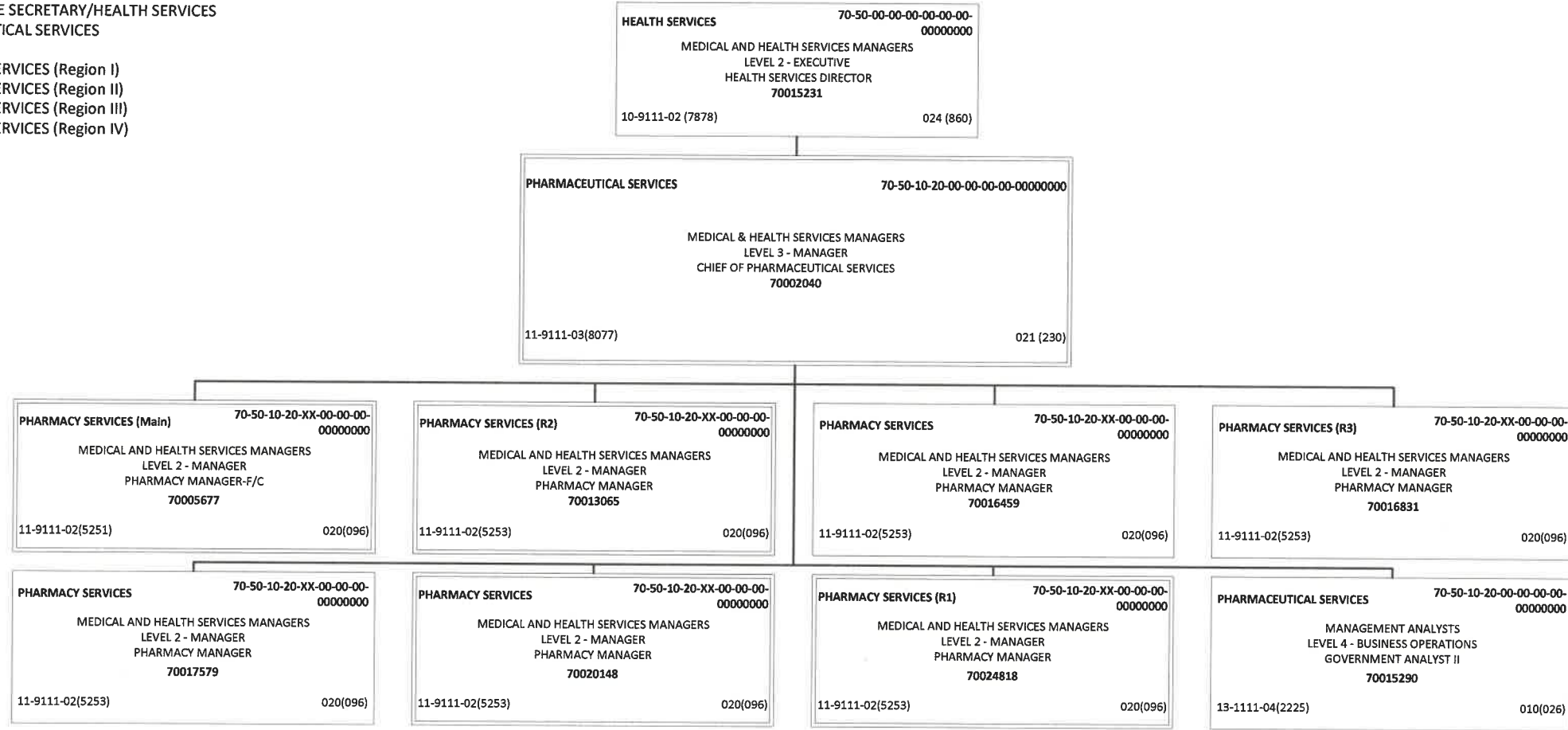


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: PHARMACEUTICAL SERVICES

Section/Subsection: PHARMACY SERVICES (Region I)
 Section/Subsection: PHARMACY SERVICES (Region II)
 Section/Subsection: PHARMACY SERVICES (Region III)
 Section/Subsection: PHARMACY SERVICES (Region IV)

PHARMACEUTICAL SERVICES (02040)

CURRENT

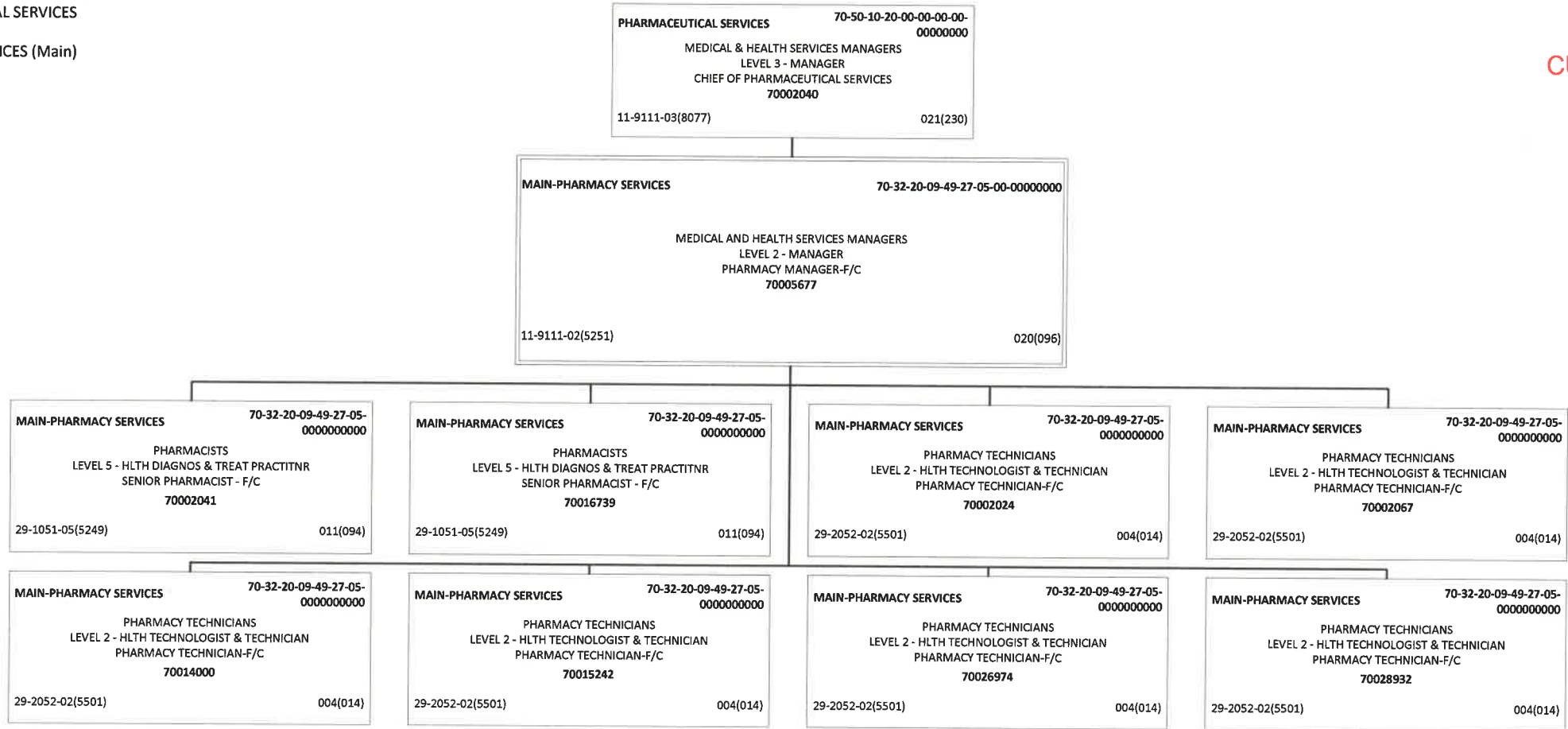


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: PHARMACEUTICAL SERVICES

PHARMACY SERVICES (Main - 05677)

Section/Subsection: PHARMACY SERVICES (Main)

CURRENT

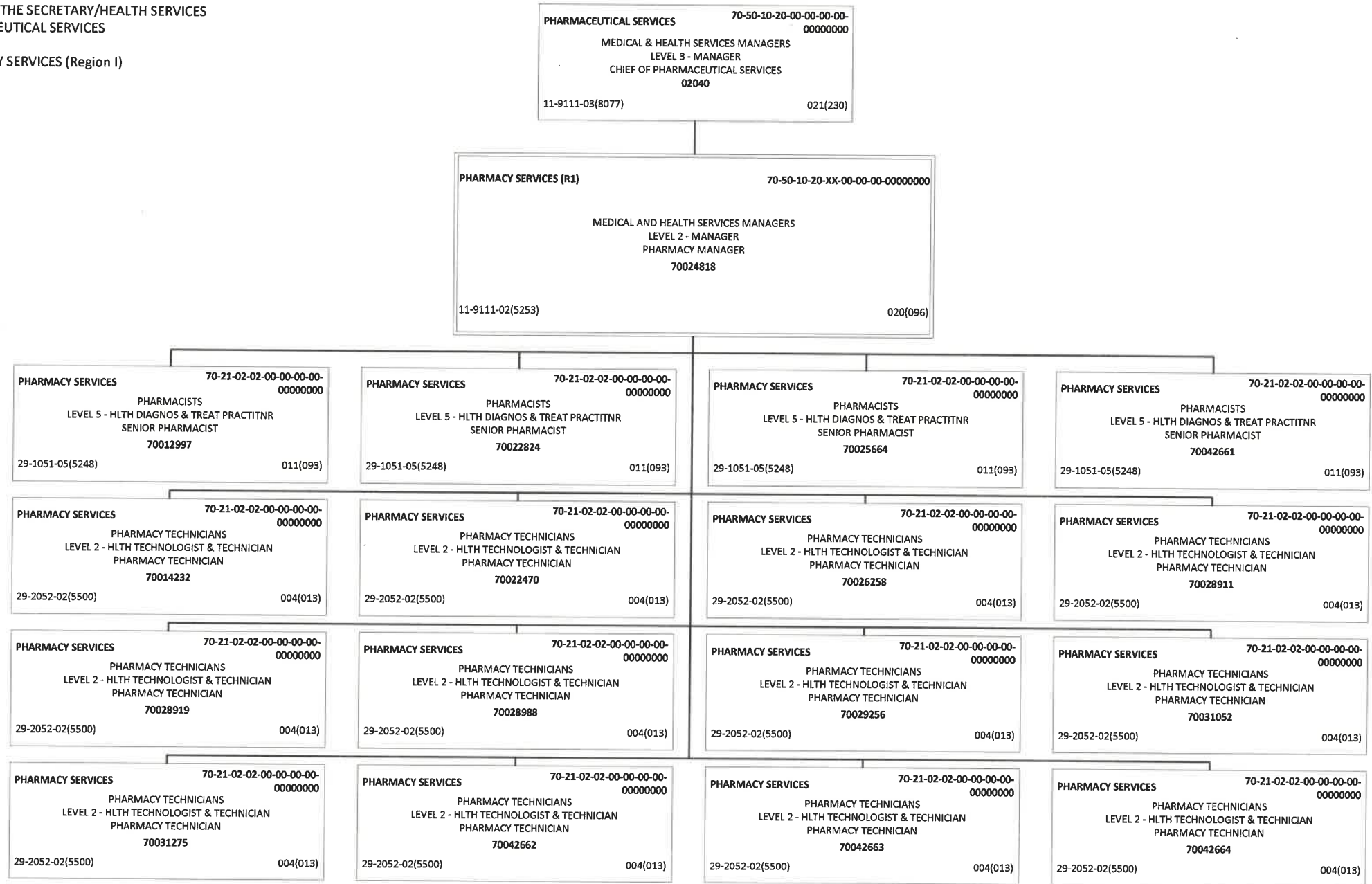


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: PHARMACEUTICAL SERVICES

Section/Subsection: PHARMACY SERVICES (Region I)

PHARMACY SERVICES (R1 - 24818)

CURRENT

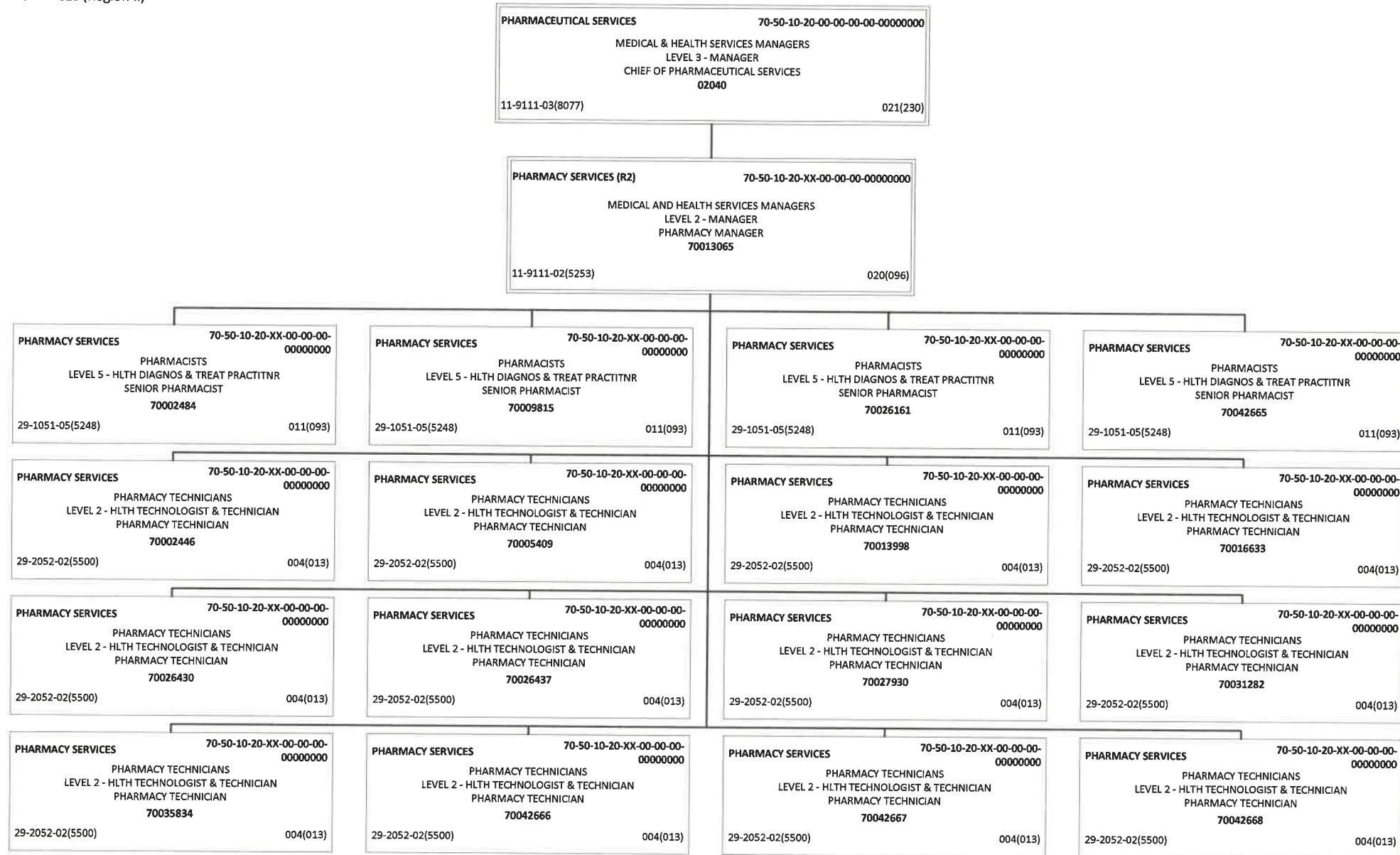


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: PHARMACEUTICAL SERVICES

PHARMACY SERVICES (R2 - 13065)

Section/Subsection: PHARMACY SERVICES (Region II)

CURRENT

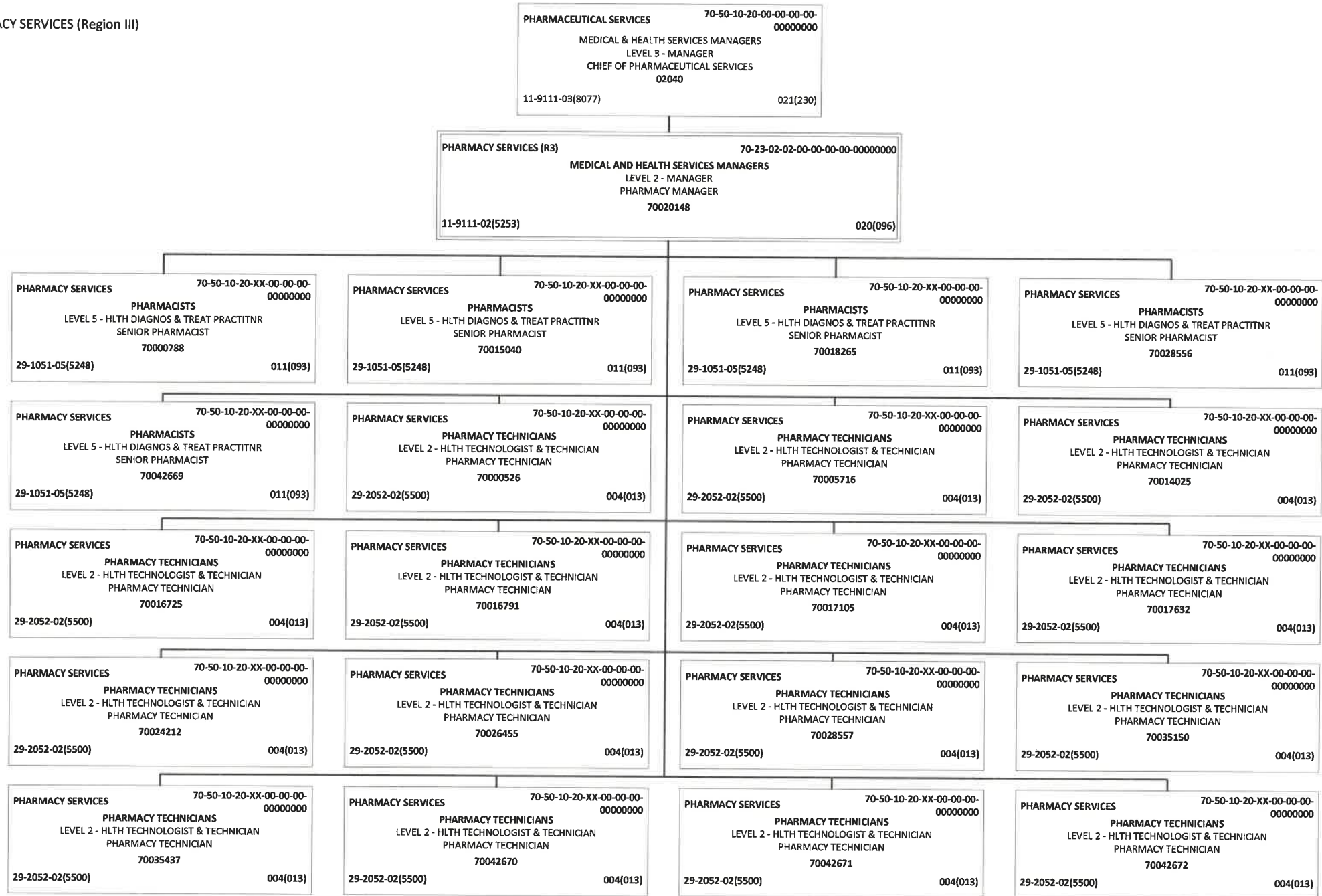


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: PHARMACEUTICAL SERVICES

PHARMACY SERVICES (R3 - 20148)

Section/Subsection: PHARMACY SERVICES (Region III)

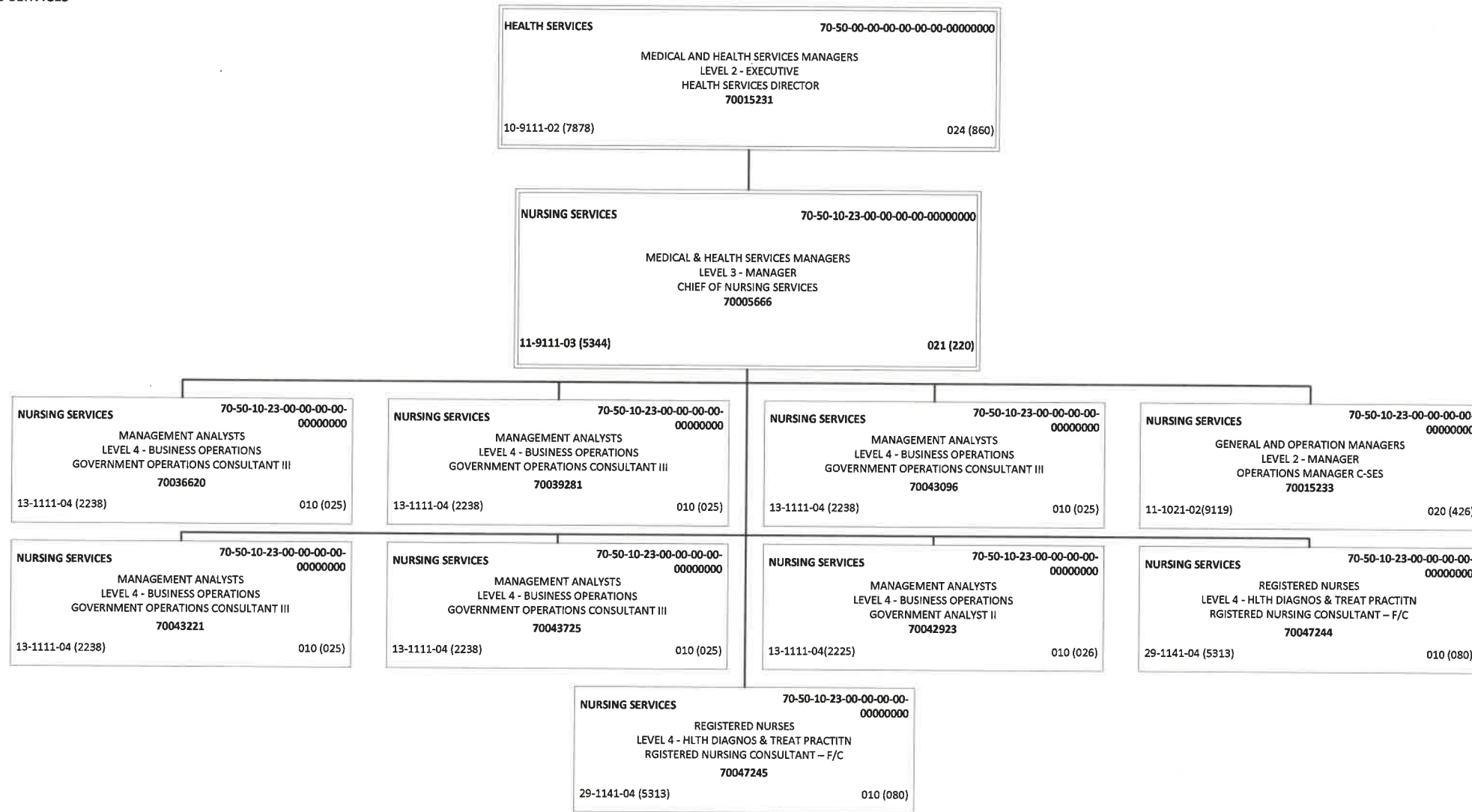
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: NURSING SERVICES
 Section/Subsection:

NURSING SERVICES (05666)

CURRENT

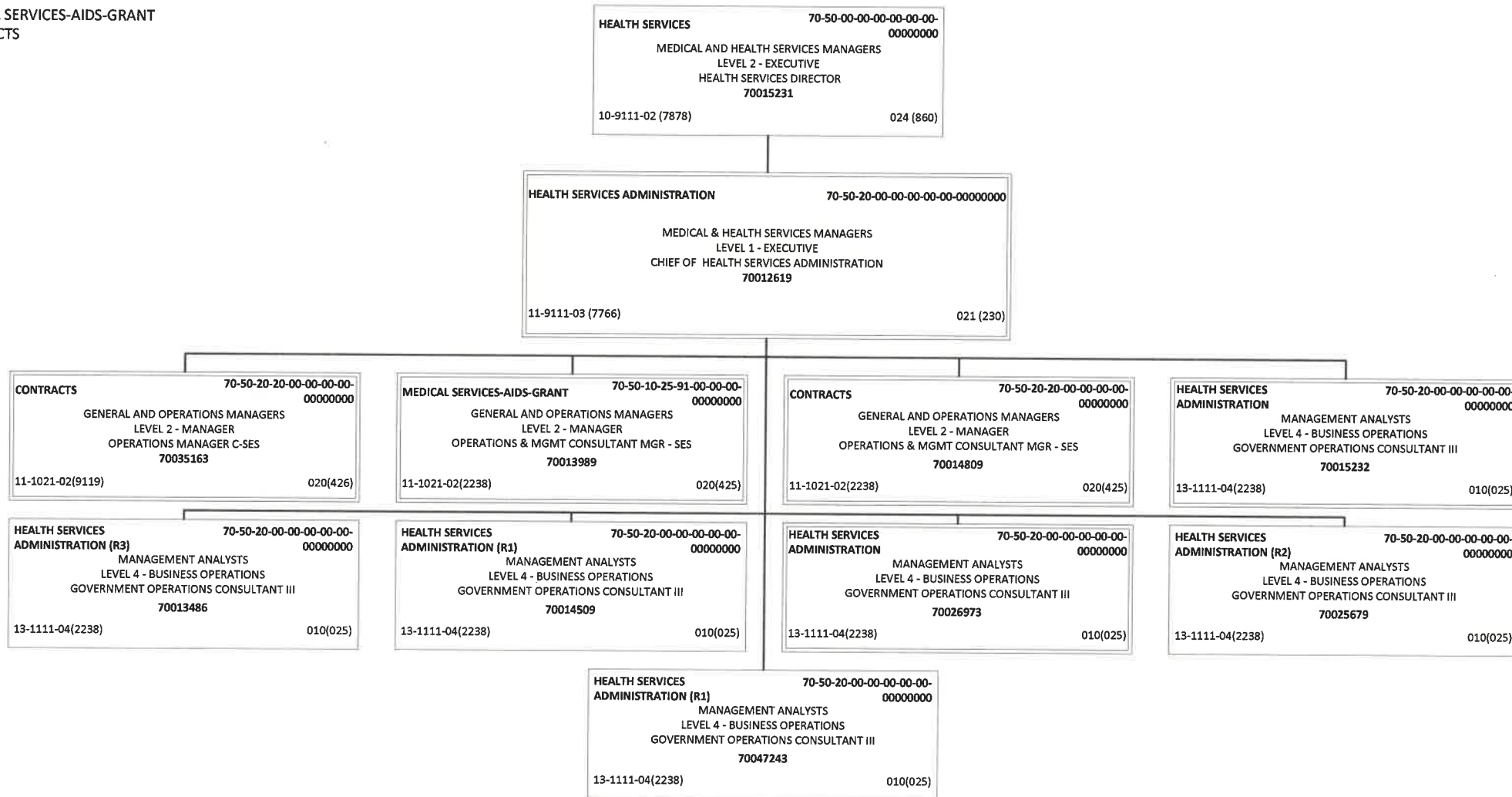


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: HEALTH SERVICES ADMINISTRATION

HEALTH SERVICE ADMINISTRATION (12619)

Section/Subsection: MEDICAL SERVICES-AIDS-GRANT
 Section/Subsection: CONTRACTS

CURRENT

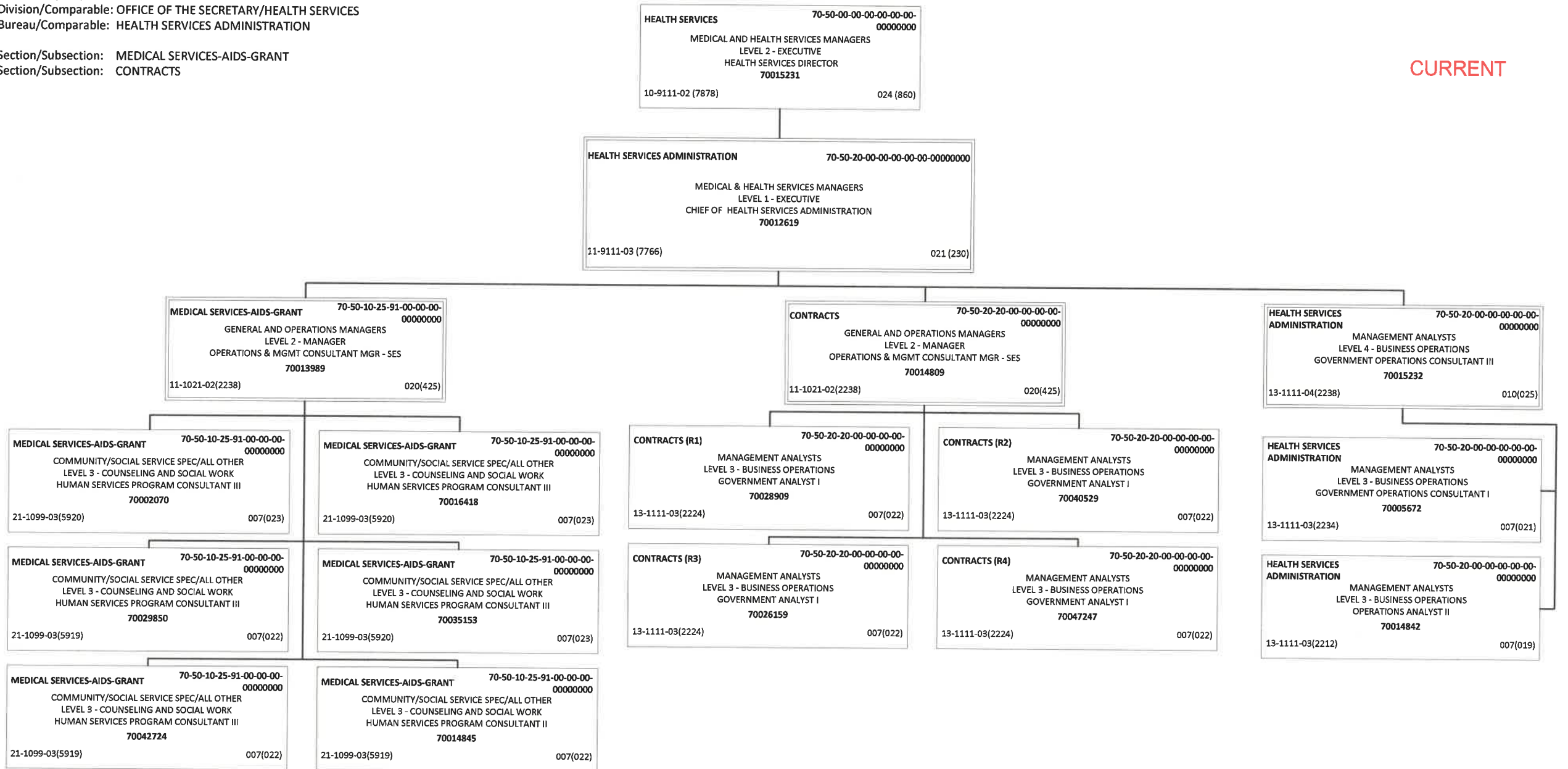


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: HEALTH SERVICES ADMINISTRATION

Section/Subsection: MEDICAL SERVICES-AIDS-GRANT
 Section/Subsection: CONTRACTS

HEALTH SERVICE ADMINISTRATION CONT. (12619)

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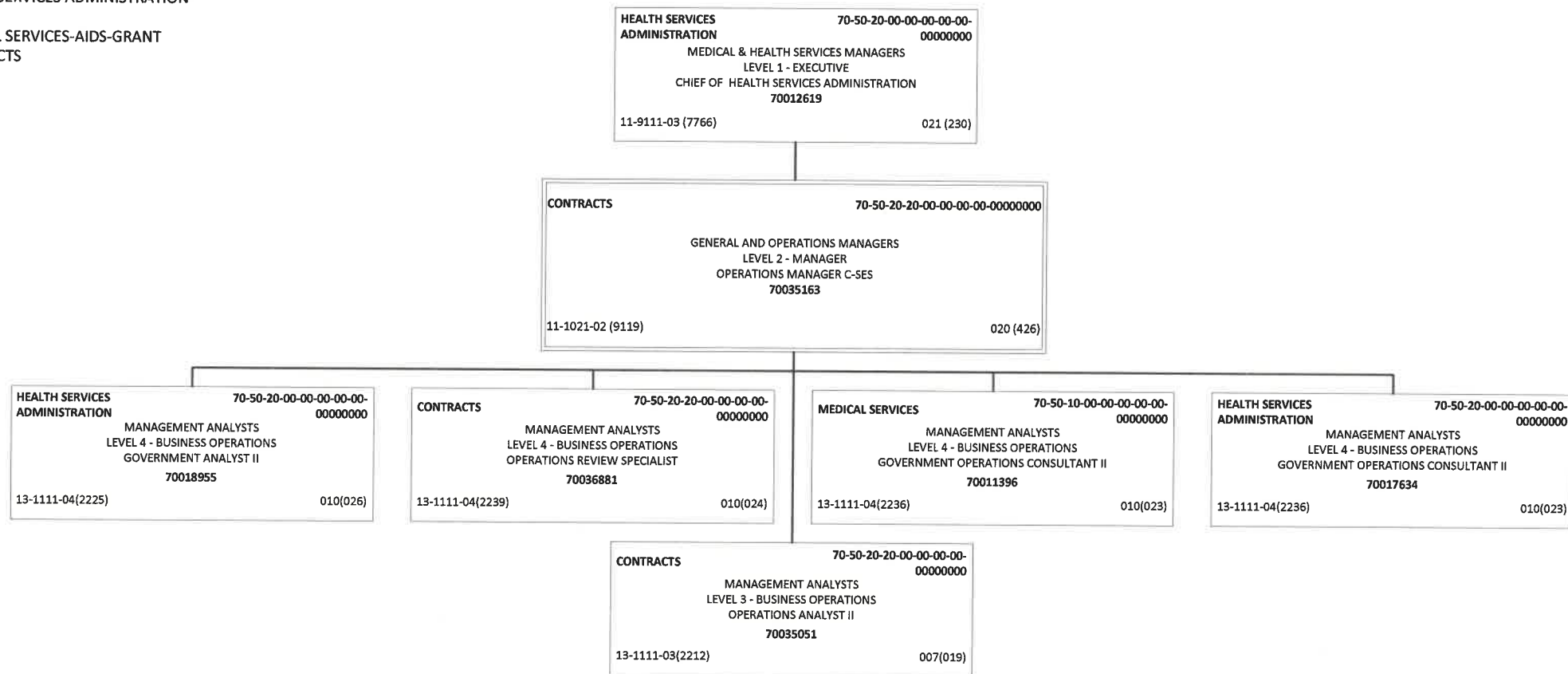


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: HEALTH SERVICES ADMINISTRATION

Section/Subsection: MEDICAL SERVICES-AIDS-GRANT
 Section/Subsection: CONTRACTS

HEALTH SERVICE ADMINISTRATION CONTRACTS (35163)

CURRENT

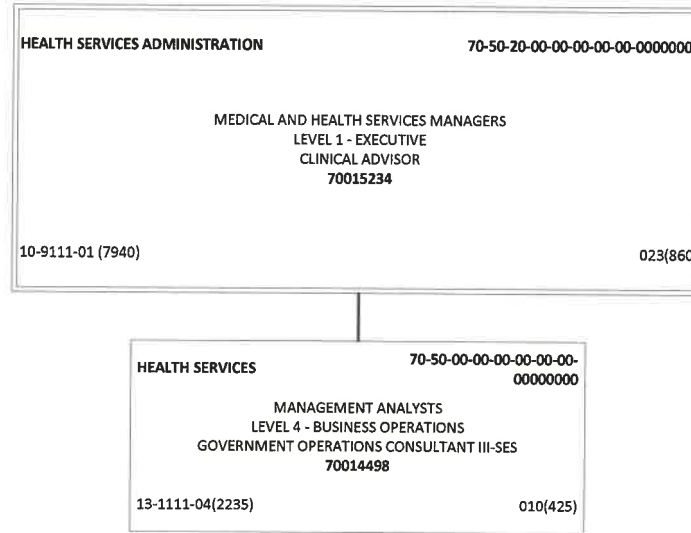


Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
Bureau/Comparable: HEALTH SERVICES ADMINISTRATION

Section/Subsection: HEALTH SERVICES
Section/Subsection:

HEALTH SERVICE ADMINISTRATION (15234)

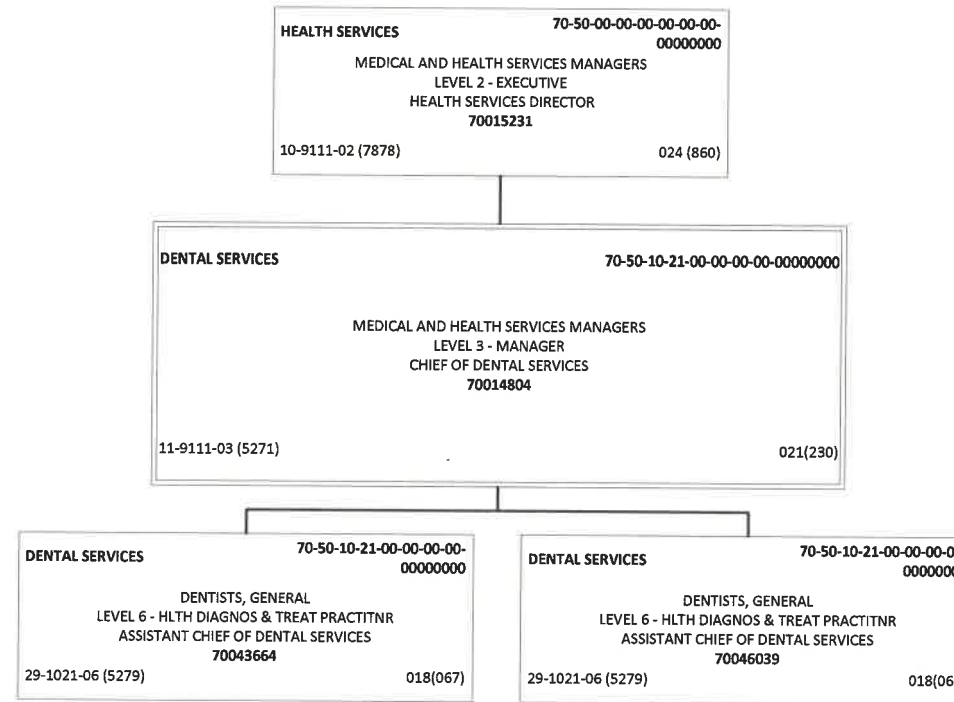
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: DENTAL SERVICES
 Section/Subsection:

DENTAL SERVICES (14804)

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

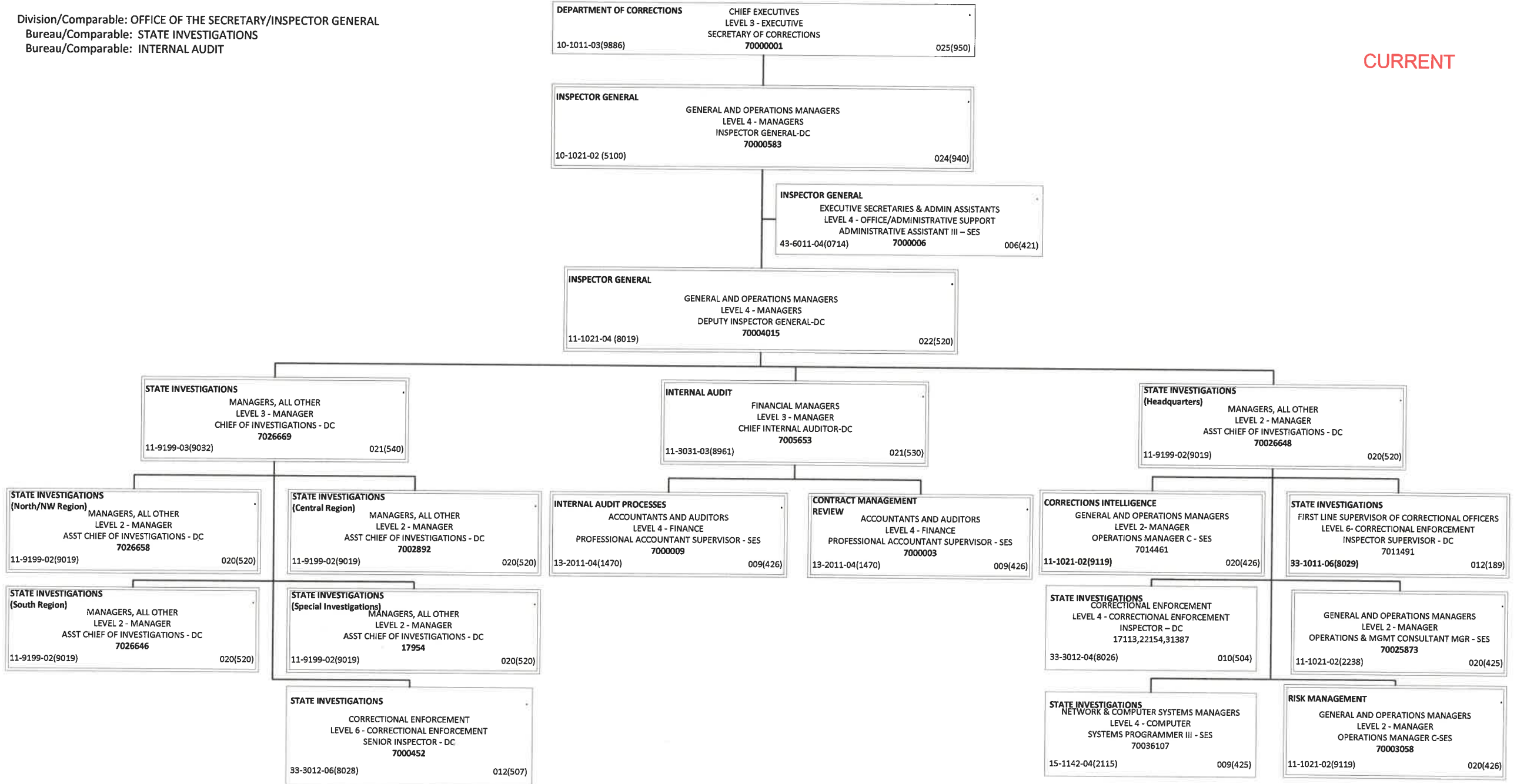
Division/Comparable: OFFICE OF THE SECRETARY/INSPECTOR GENERAL

Bureau/Comparable: STATE INVESTIGATIONS

Bureau/Comparable: INTERNAL AUDIT

INSPECTOR GENERAL OVERVIEW

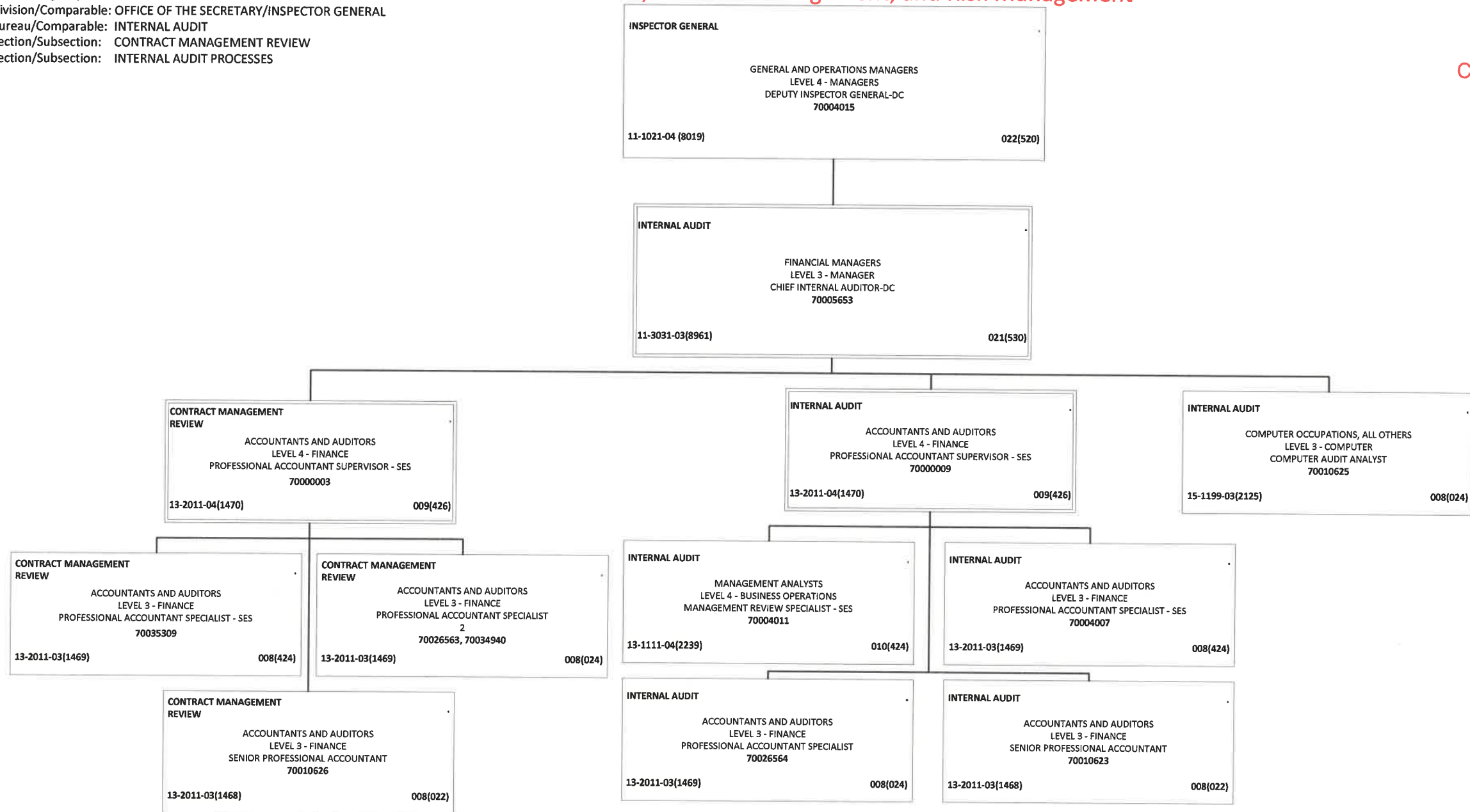
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/INSPECTOR GENERAL
 Bureau/Comparable: INTERNAL AUDIT
 Section/Subsection: CONTRACT MANAGEMENT REVIEW
 Section/Subsection: INTERNAL AUDIT PROCESSES

Internal Process, Contract Management, and Risk Management

CURRENT



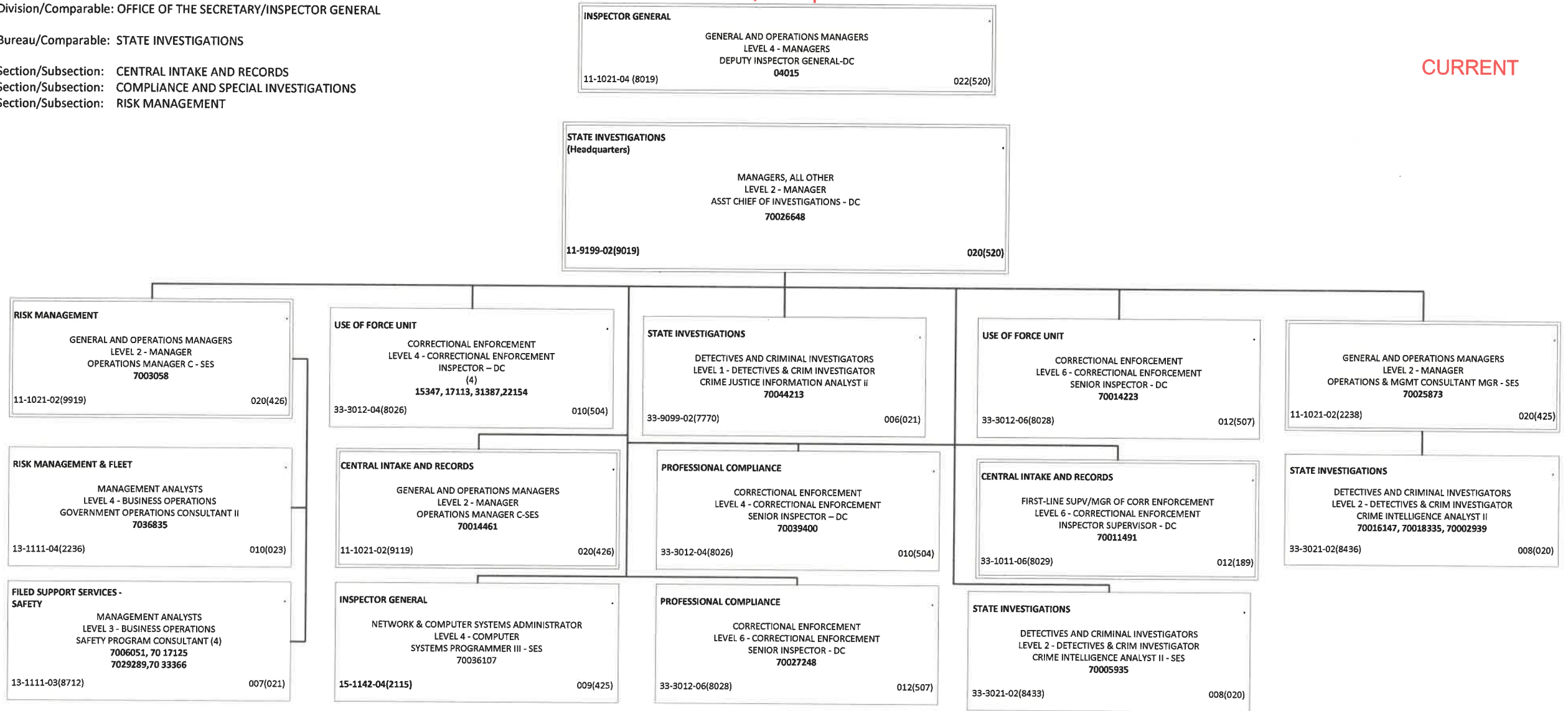
Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: OFFICE OF THE SECRETARY/INSPECTOR GENERAL

Bureau/Comparable: STATE INVESTIGATIONS

Section/Subsection: CENTRAL INTAKE AND RECORDS
Section/Subsection: COMPLIANCE AND SPECIAL INVESTIGATIONS
Section/Subsection: RISK MANAGEMENT

Intake, Compliance

CURRENT



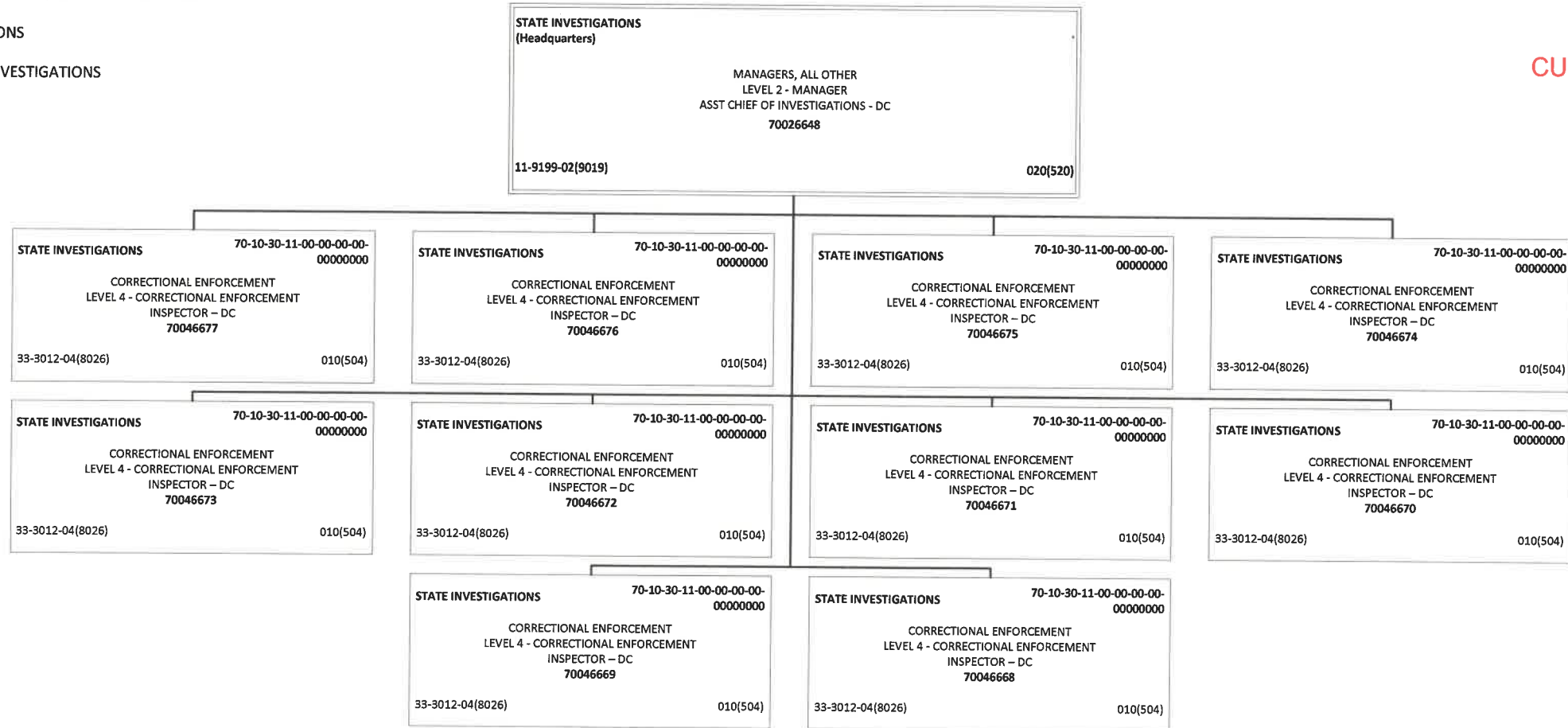
Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: OFFICE OF THE SECRETARY/INSPECTOR GENERAL

Bureau/Comparable: STATE INVESTIGATIONS

Section/Subsection: ADMINISTRATIVE INVESTIGATIONS

Admin Investigation (26648)

CURRENT



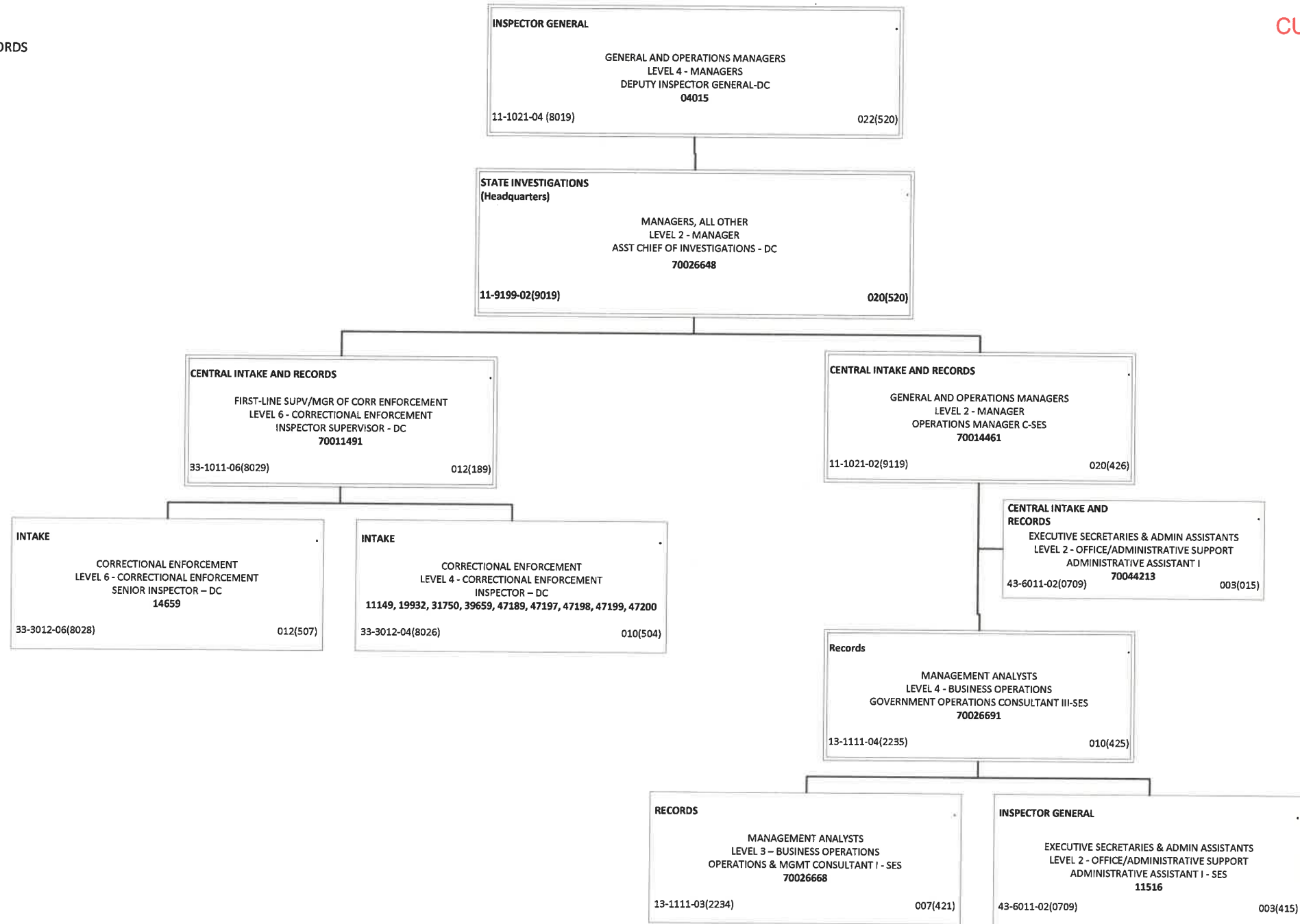
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Division/Comparable: OFFICE OF THE SECRETARY/INSPECTOR GENERAL

Bureau/Comparable: STATE INVESTIGATIONS

Section/Subsection: CENTRAL INTAKE AND RECORDS

Intake, Compliance (Cont.)

CURRENT



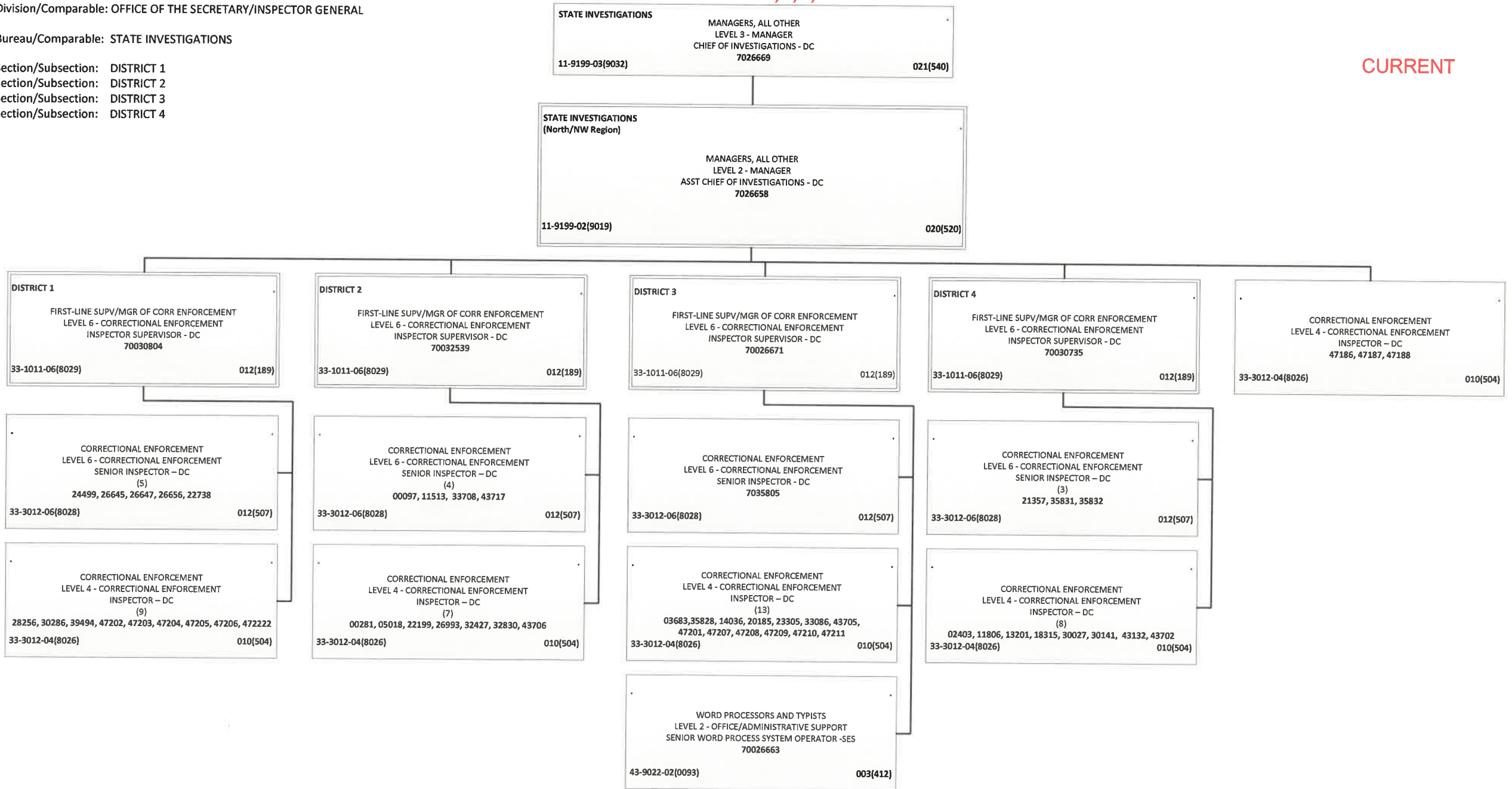
Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/INSPECTOR GENERAL

Bureau/Comparable: STATE INVESTIGATIONS

Section/Subsection: DISTRICT 1
 Section/Subsection: DISTRICT 2
 Section/Subsection: DISTRICT 3
 Section/Subsection: DISTRICT 4

Districts 1,2,3,4

CURRENT



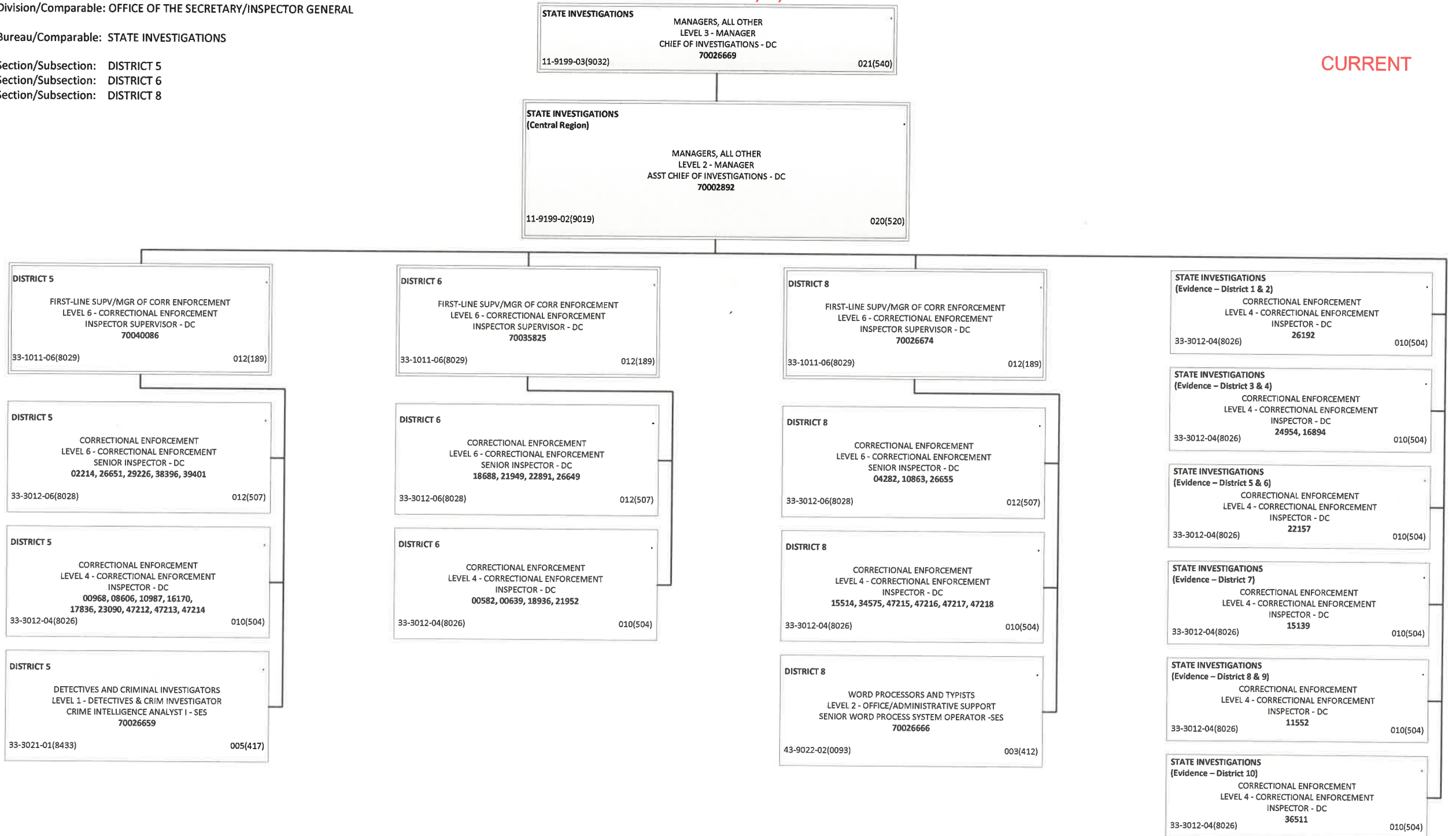
Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/INSPECTOR GENERAL

Bureau/Comparable: STATE INVESTIGATIONS

Section/Subsection: DISTRICT 5
 Section/Subsection: DISTRICT 6
 Section/Subsection: DISTRICT 8

Districts 5, 6, 8

CURRENT



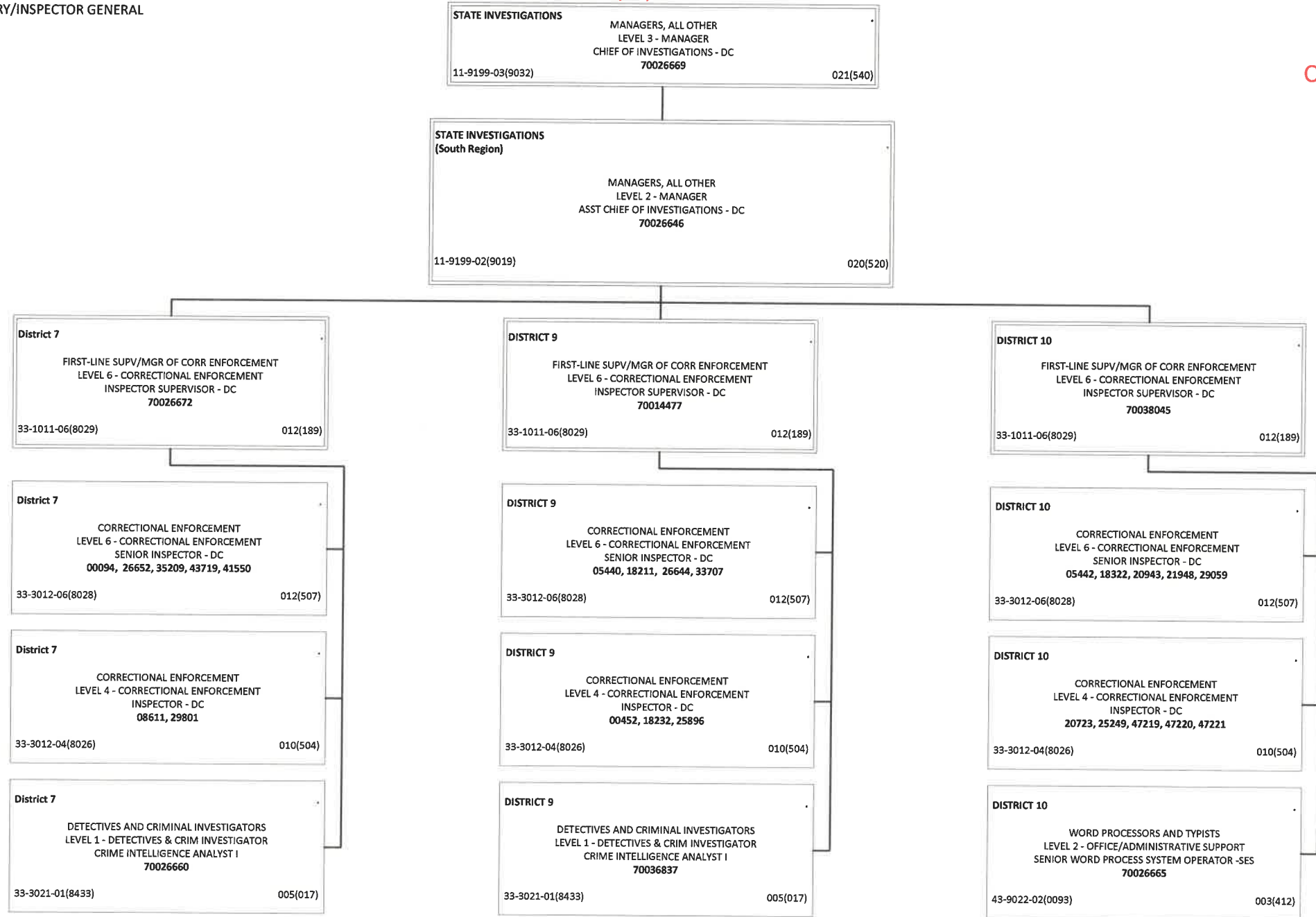
Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/INSPECTOR GENERAL

Bureau/Comparable: STATE INVESTIGATIONS

Section/Subsection: DISTRICT 7
 Section/Subsection: DISTRICT 9
 Section/Subsection: DISTRICT 10

Districts 7, 9, 10

CURRENT

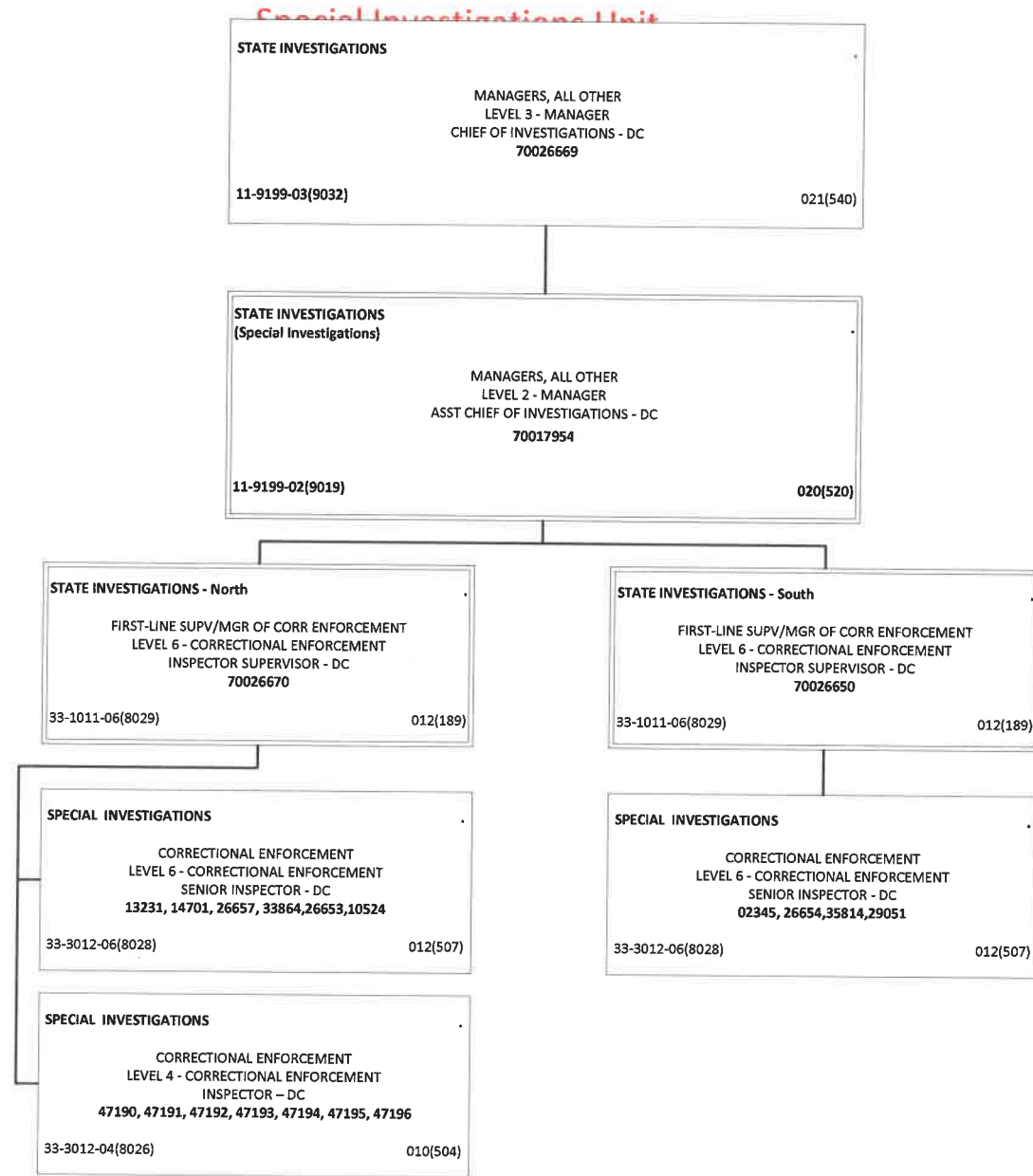


Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: OFFICE OF THE SECRETARY/INSPECTOR GENERAL

Bureau/Comparable: STATE INVESTIGATIONS

Section/Subsection:

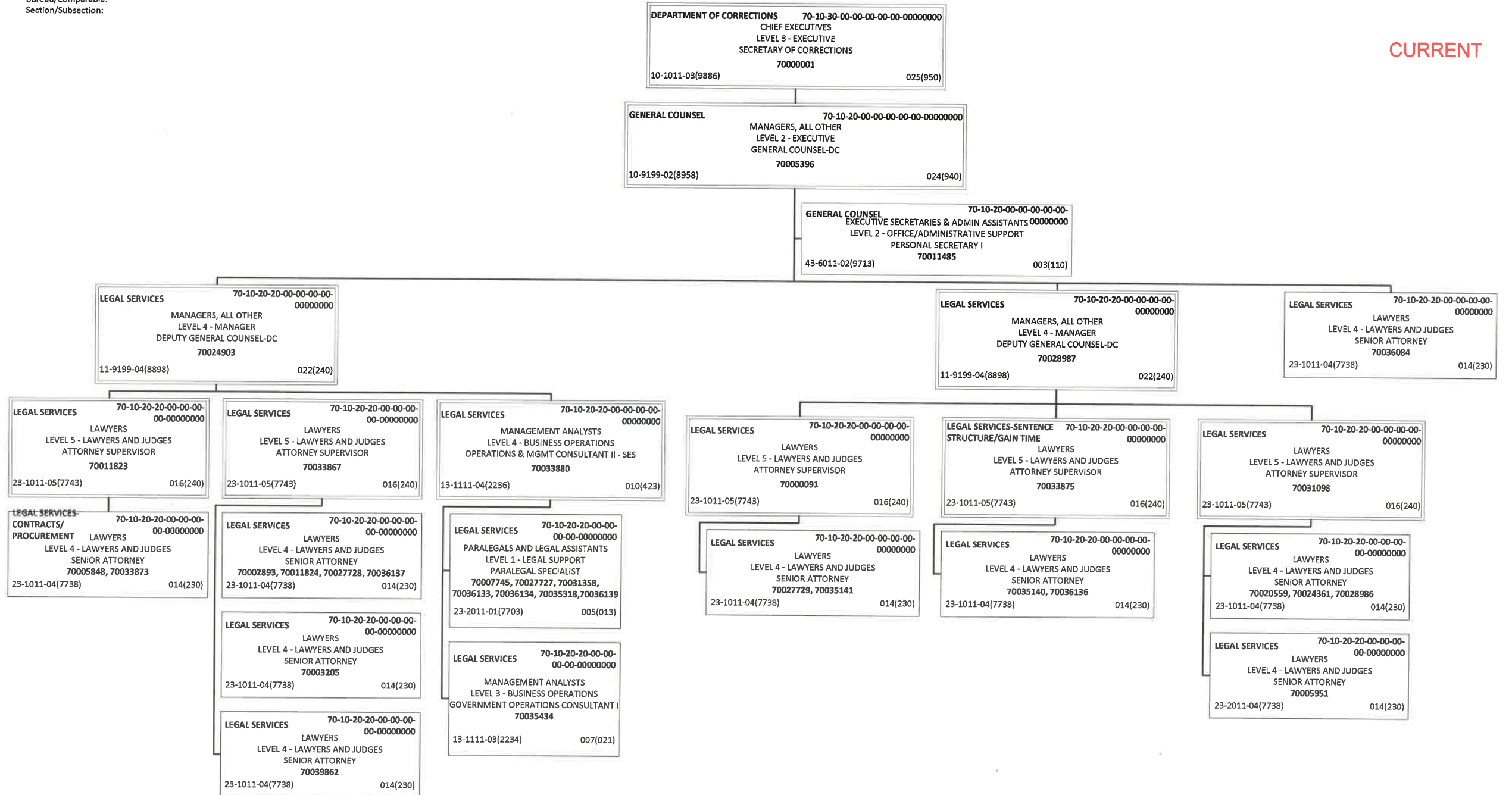
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Name of Agency: Department of Corrections
 Division/Comparable: Office Of The Secretary/General Counsel
 Bureau/Comparable:
 Section/Subsection:

GC OVERVIEW

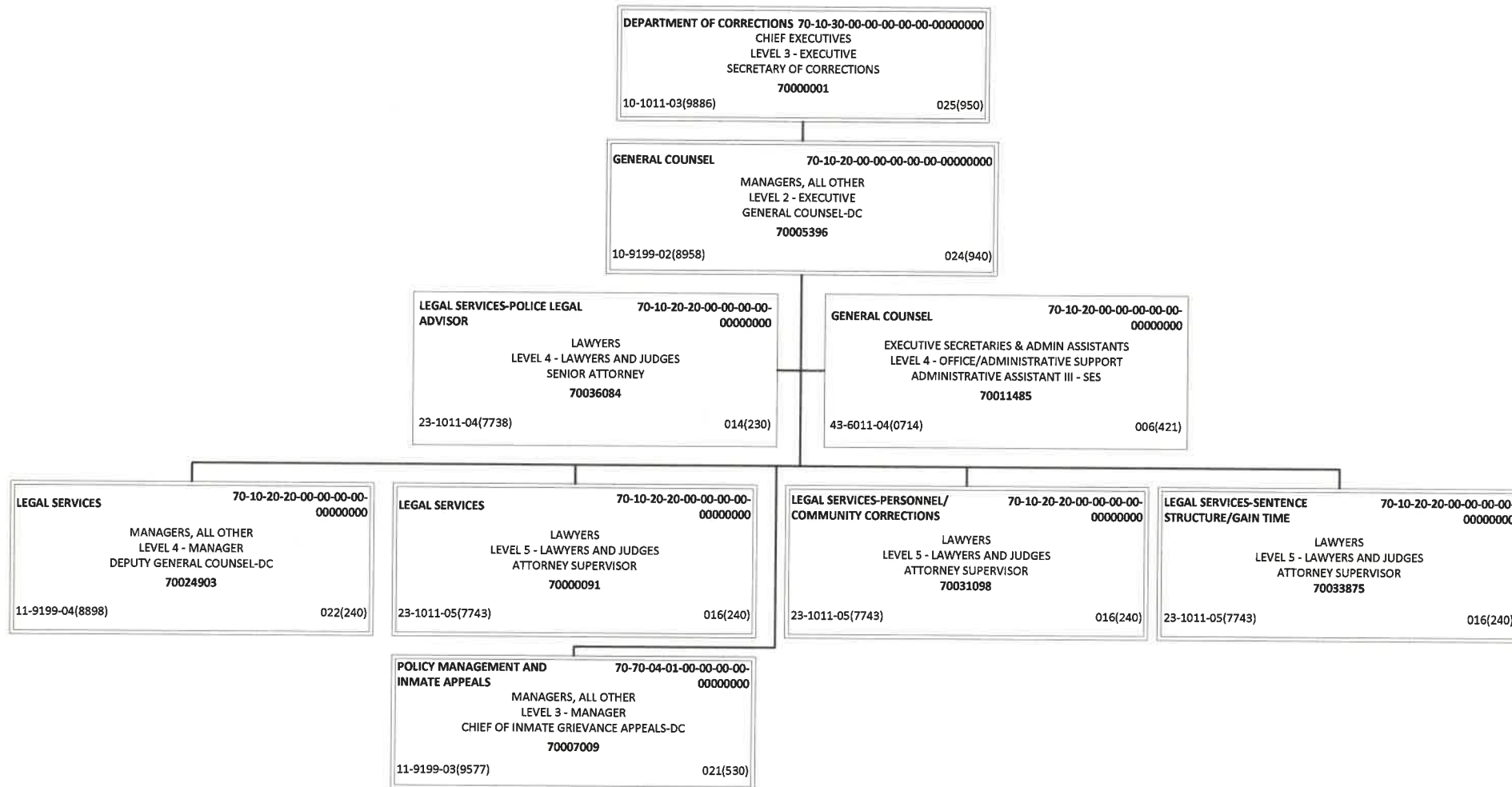
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Name of Agency: Department of Corrections
 Division/Comparable: Office Of The Secretary/General Counsel
 Bureau/Comparable:
 Section/Subsection:

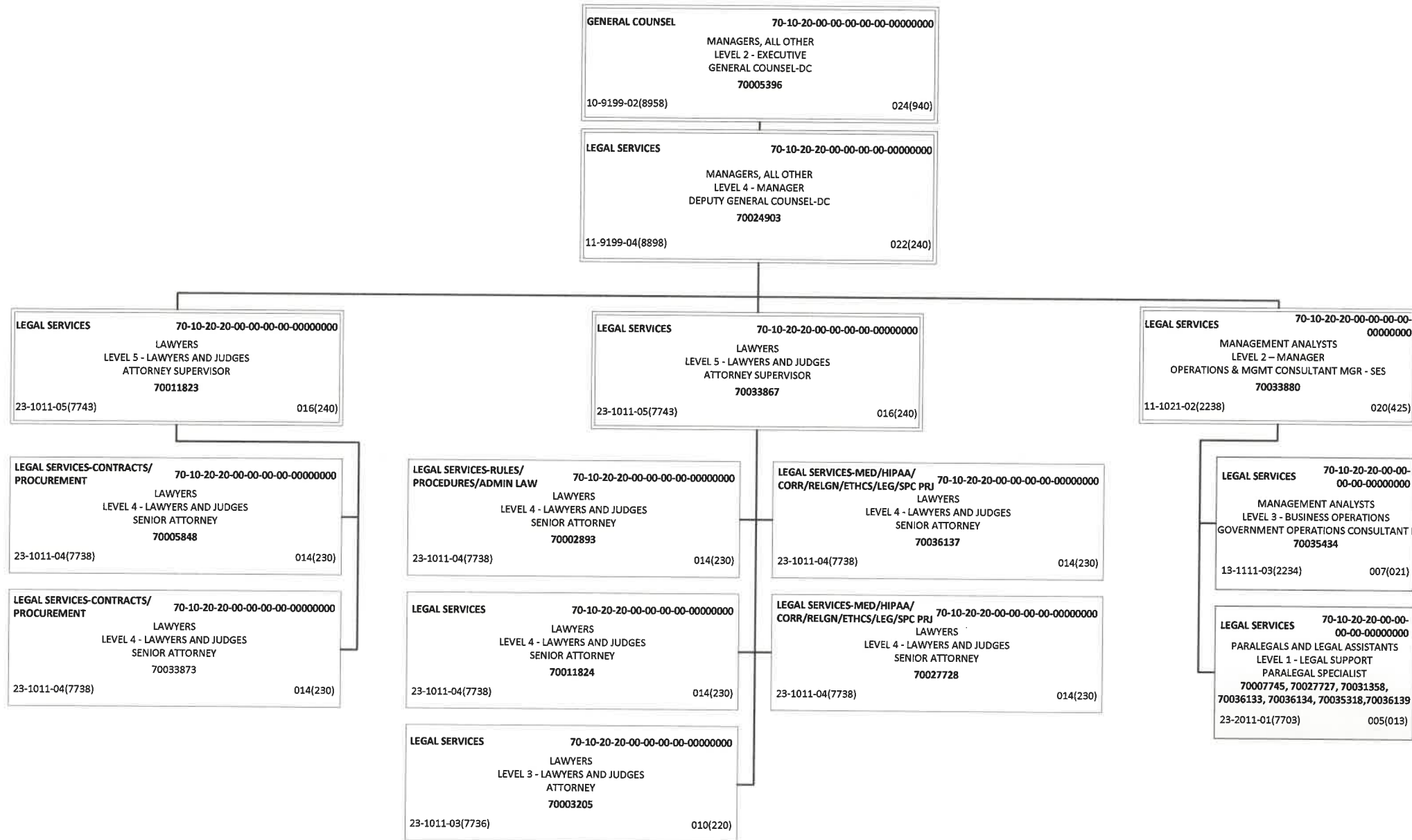
GENERAL COUNSEL 70005396

CURRENT



LEGAL SERVICES (Deputy General Counsel 70024903)

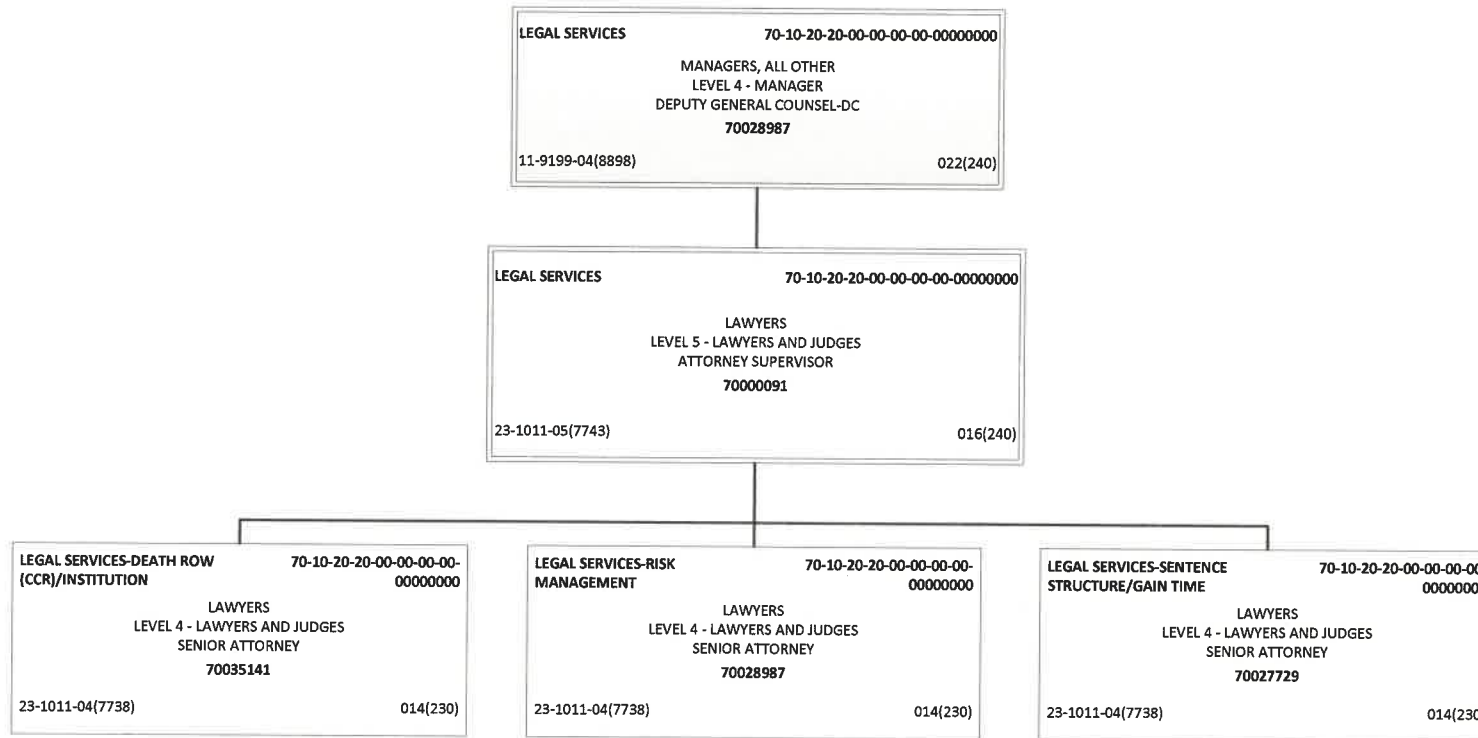
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Name of Agency: Department of Corrections
 Division/Comparable: Office Of The Secretary/General Counsel
 Bureau/Comparable: Legal Services
 Section/Subsection:

LEGAL SERVICES (Attorney 70000091)

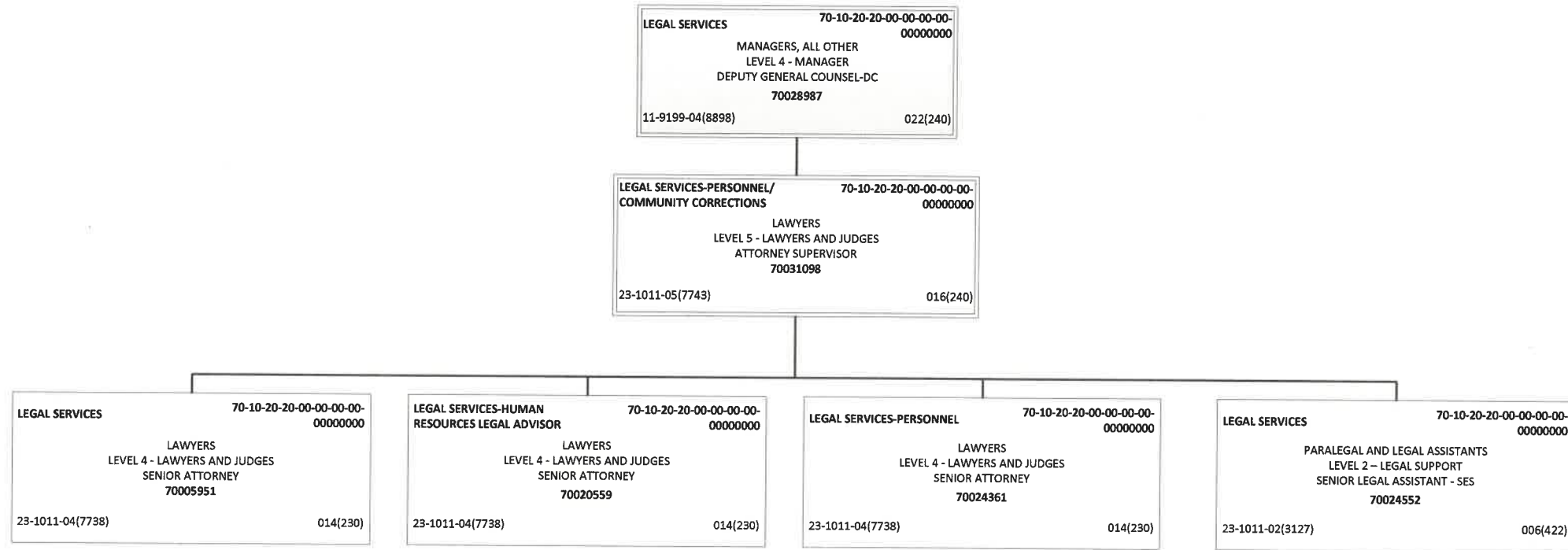
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Name of Agency: Department of Corrections
 Division/Comparable: Office Of The Secretary/General Counsel
 Bureau/Comparable: Legal Services
 Section/Subsection:

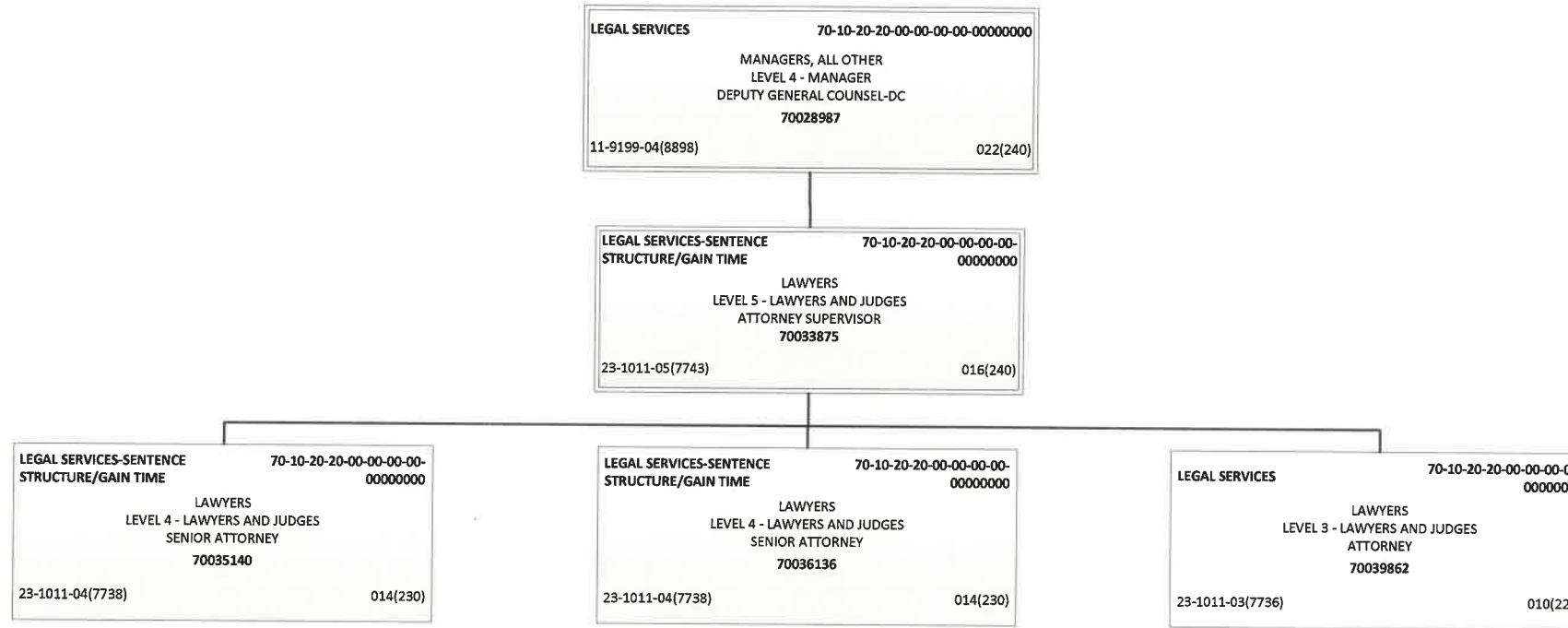
LEGAL SERVICES (Attorney Supervisor 70031098)

CURRENT



LEGAL SERVICES (Attorney Supervisor 70033875)

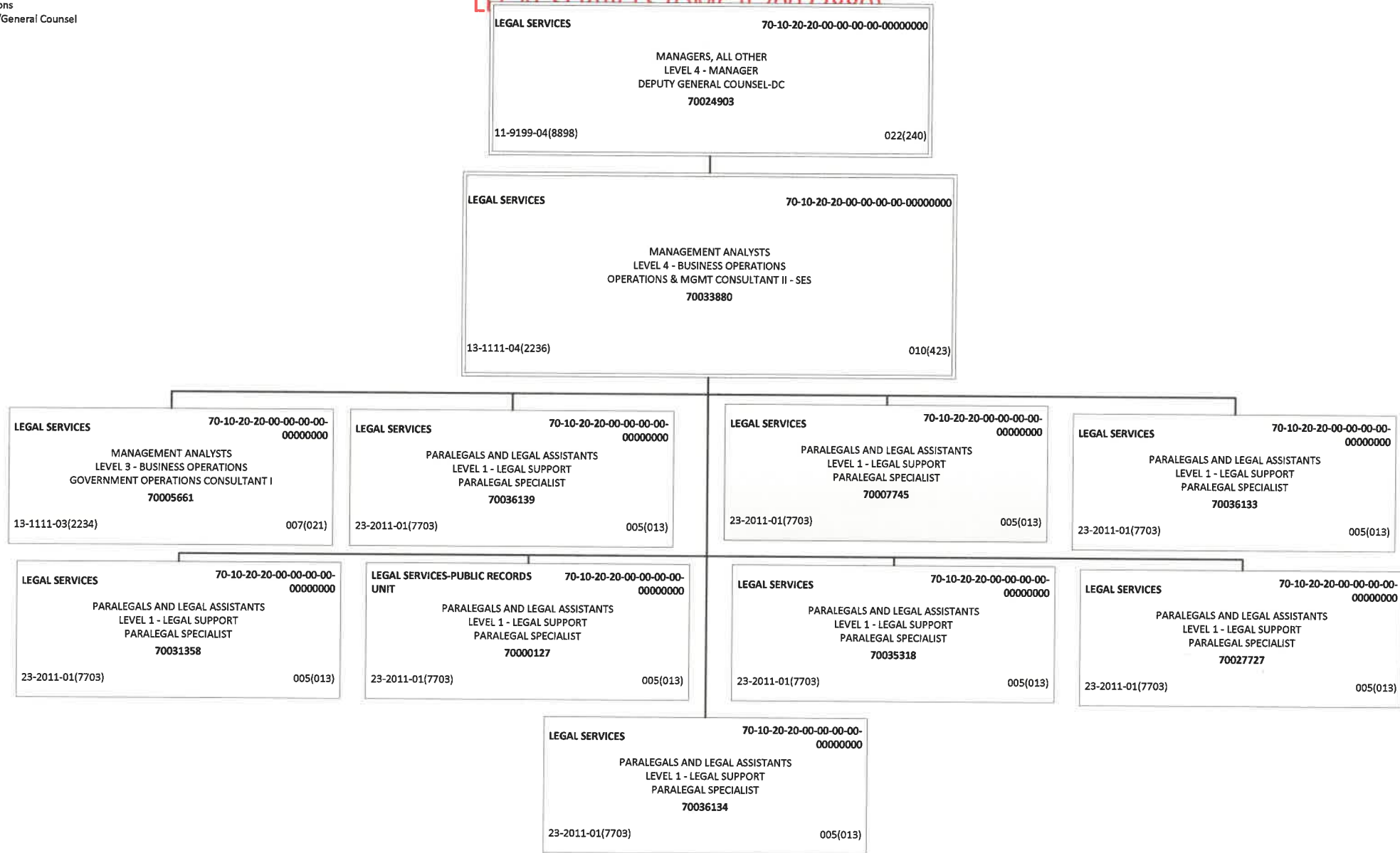
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Name of Agency: Department of Corrections
 Division/Comparable: Office Of The Secretary/General Counsel
 Bureau/Comparable: Legal Services
 Section/Subsection:

LEGAL SERVICES (OMC II 70023880)

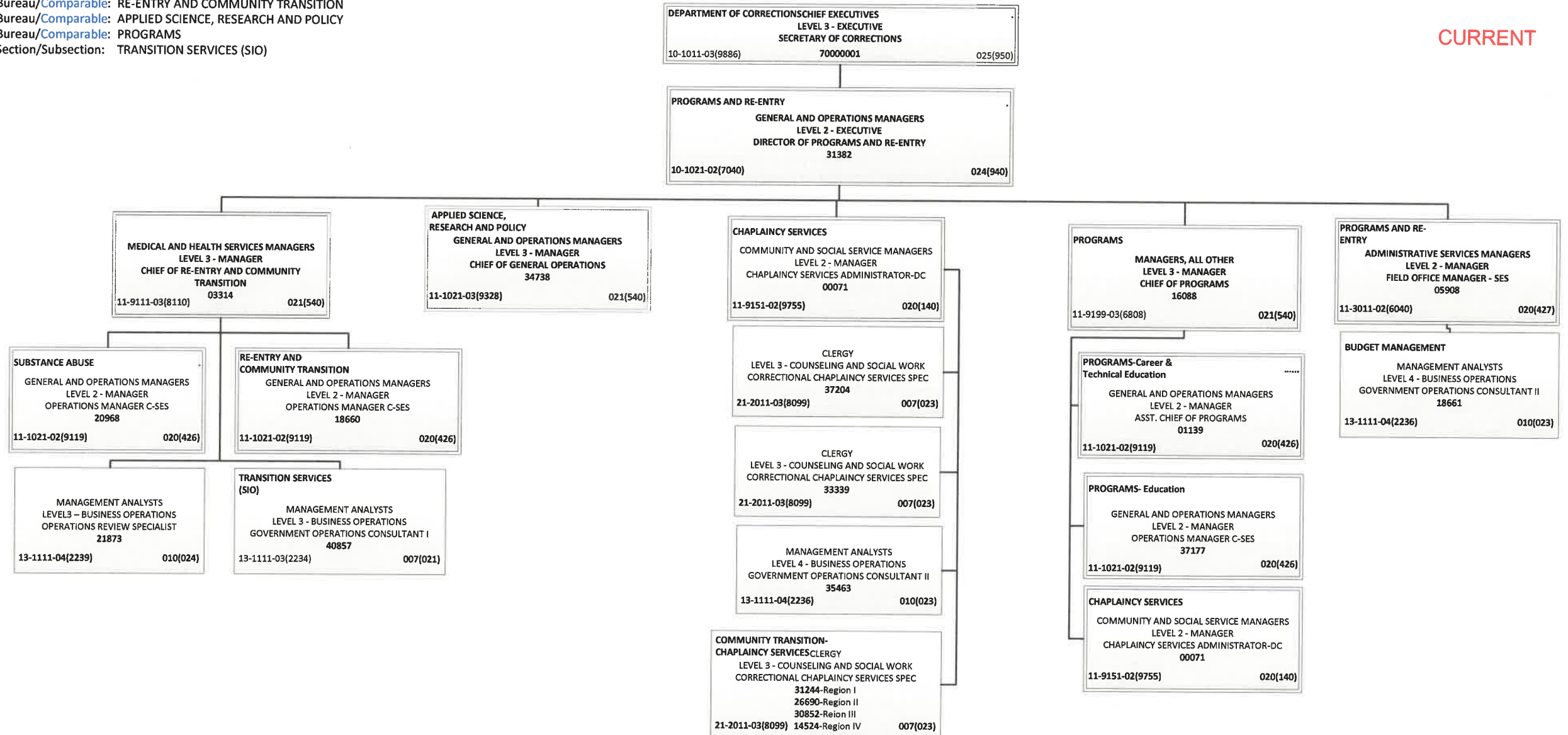
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/PROGRAMS AND RE-ENTRY
 Bureau/Comparable: RE-ENTRY AND COMMUNITY TRANSITION
 Bureau/Comparable: APPLIED SCIENCE, RESEARCH AND POLICY
 Bureau/Comparable: PROGRAMS
 Section/Subsection: TRANSITION SERVICES (SIO)

PROGRAMS AND RE-ENTRY OVERVIEW

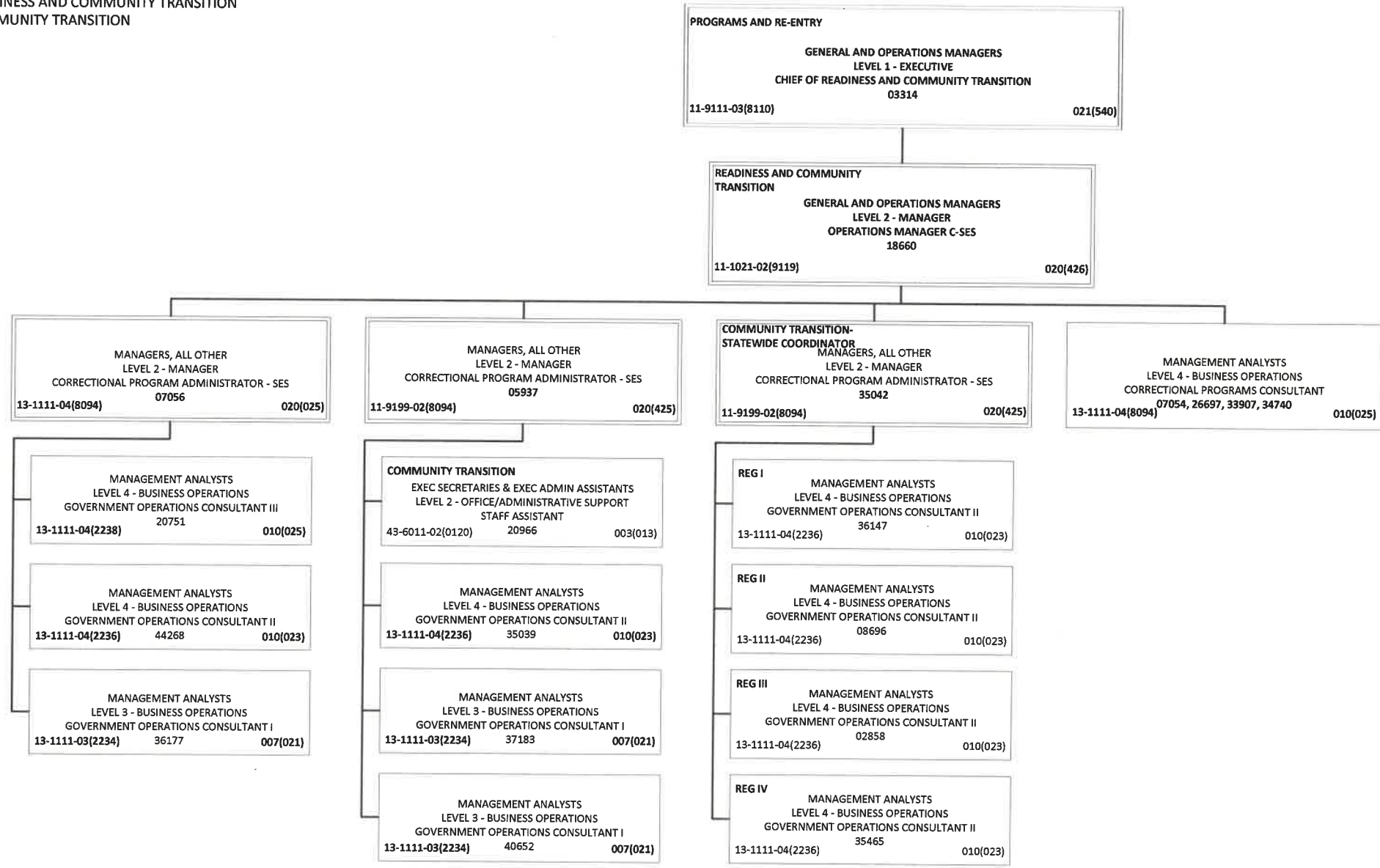
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RE-ENTRY AND COMMUNITY TRANSITION

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/PROGRAMS AND RE-ENTRY
 Bureau/Comparable: READINESS AND COMMUNITY TRANSITION
 Section/Subsection: COMMUNITY TRANSITION

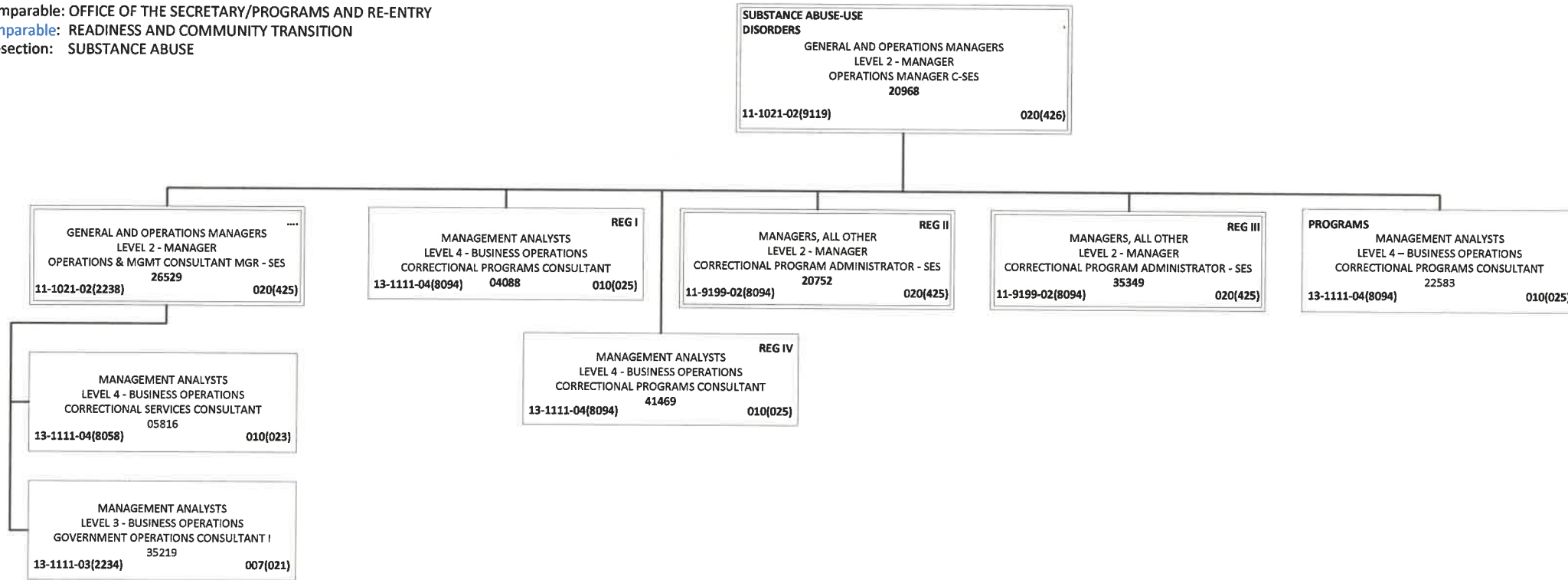
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/PROGRAMS AND RE-ENTRY
 Bureau/Comparable: READINESS AND COMMUNITY TRANSITION
 Section/Subsection: SUBSTANCE ABUSE

SUBSTANCE ABUSE

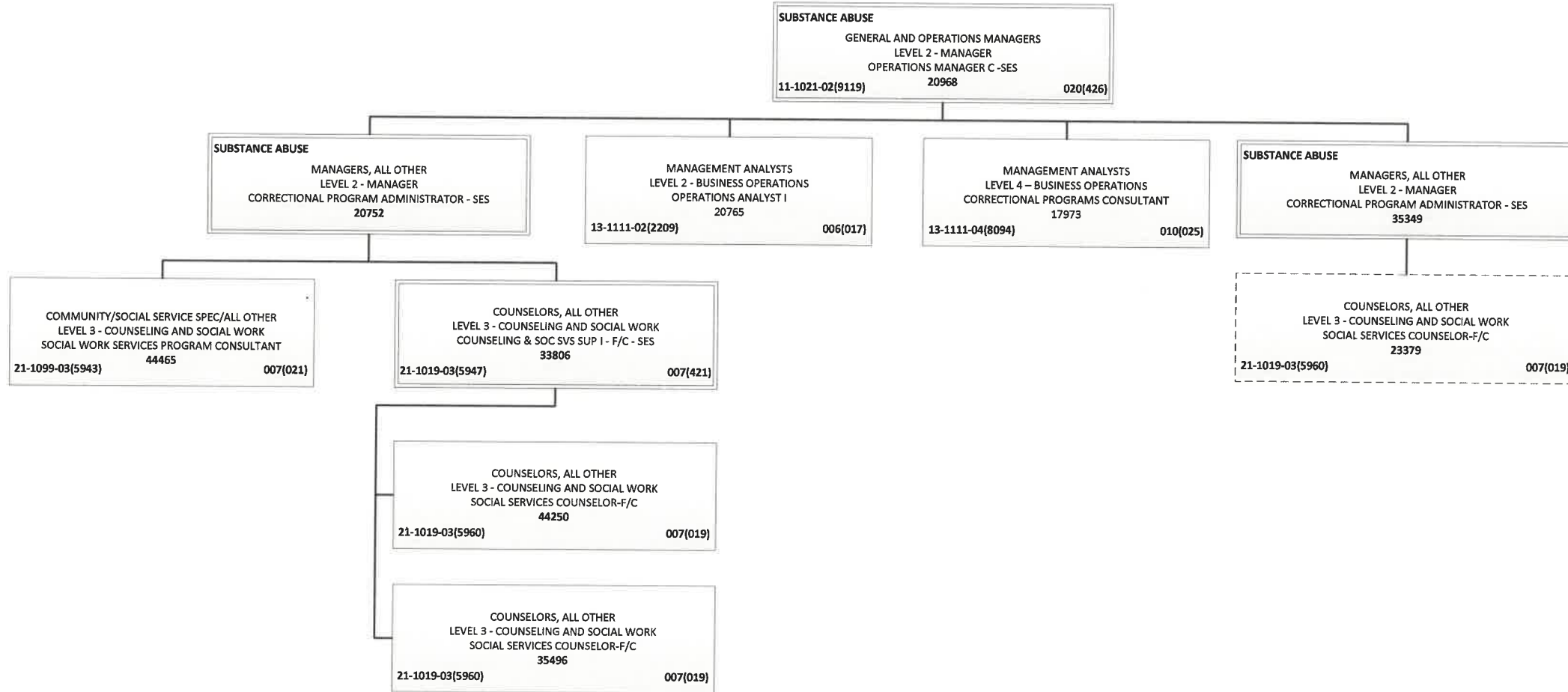
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SUBSTANCE ABUSE (CON'T)

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/PROGRAMS AND RE-ENTRY
 Bureau/Comparable: READINESS AND COMMUNITY TRANSITION
 Section/Subsection: SUBSTANCE ABUSE (Con't)

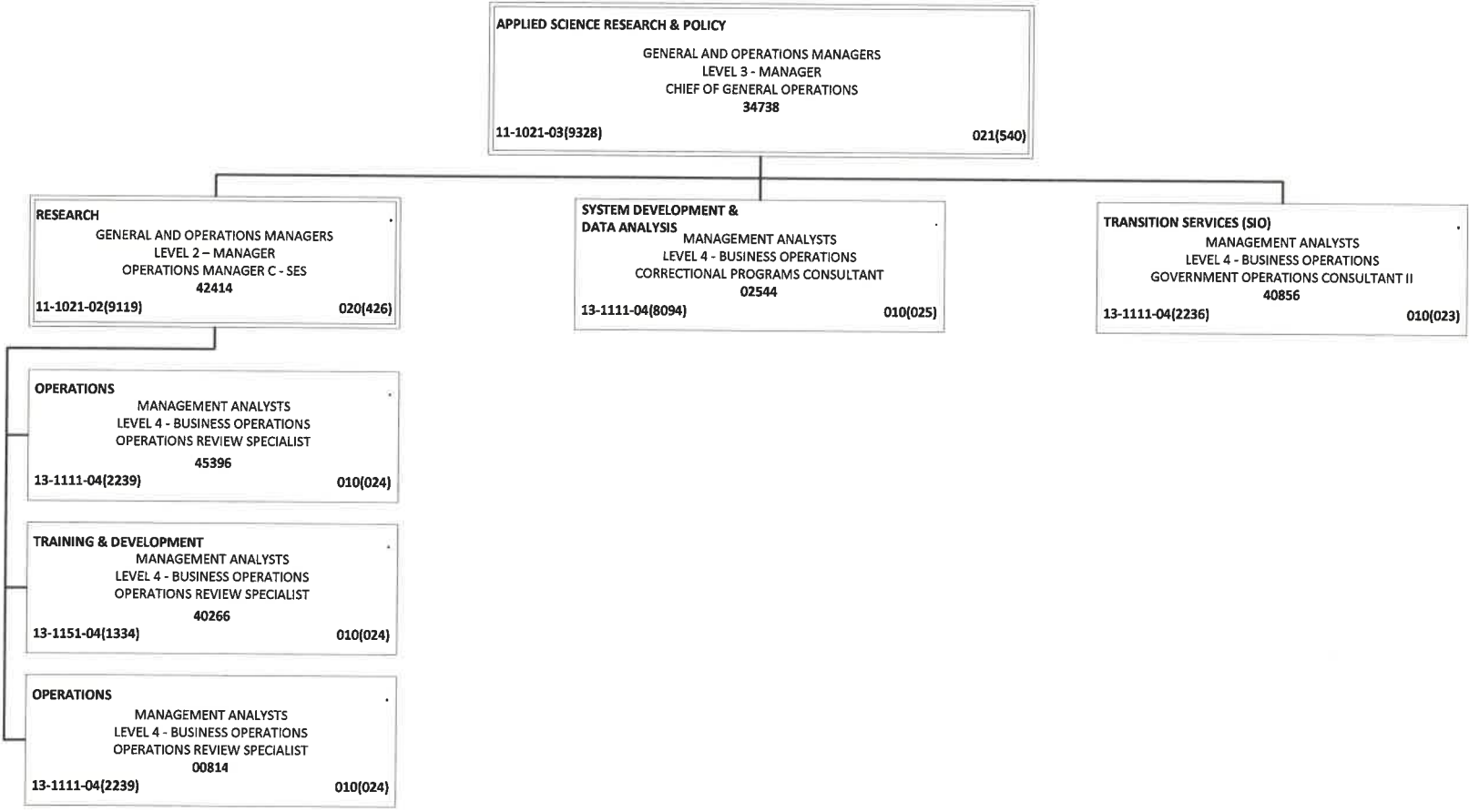
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APPLIED SCIENCE RESEARCH & POLICY

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/PROGRAMS AND RE-ENTRY
 Bureau/Comparable: APPLIED SCIENCE RESEARCH & POLICY

CURRENT

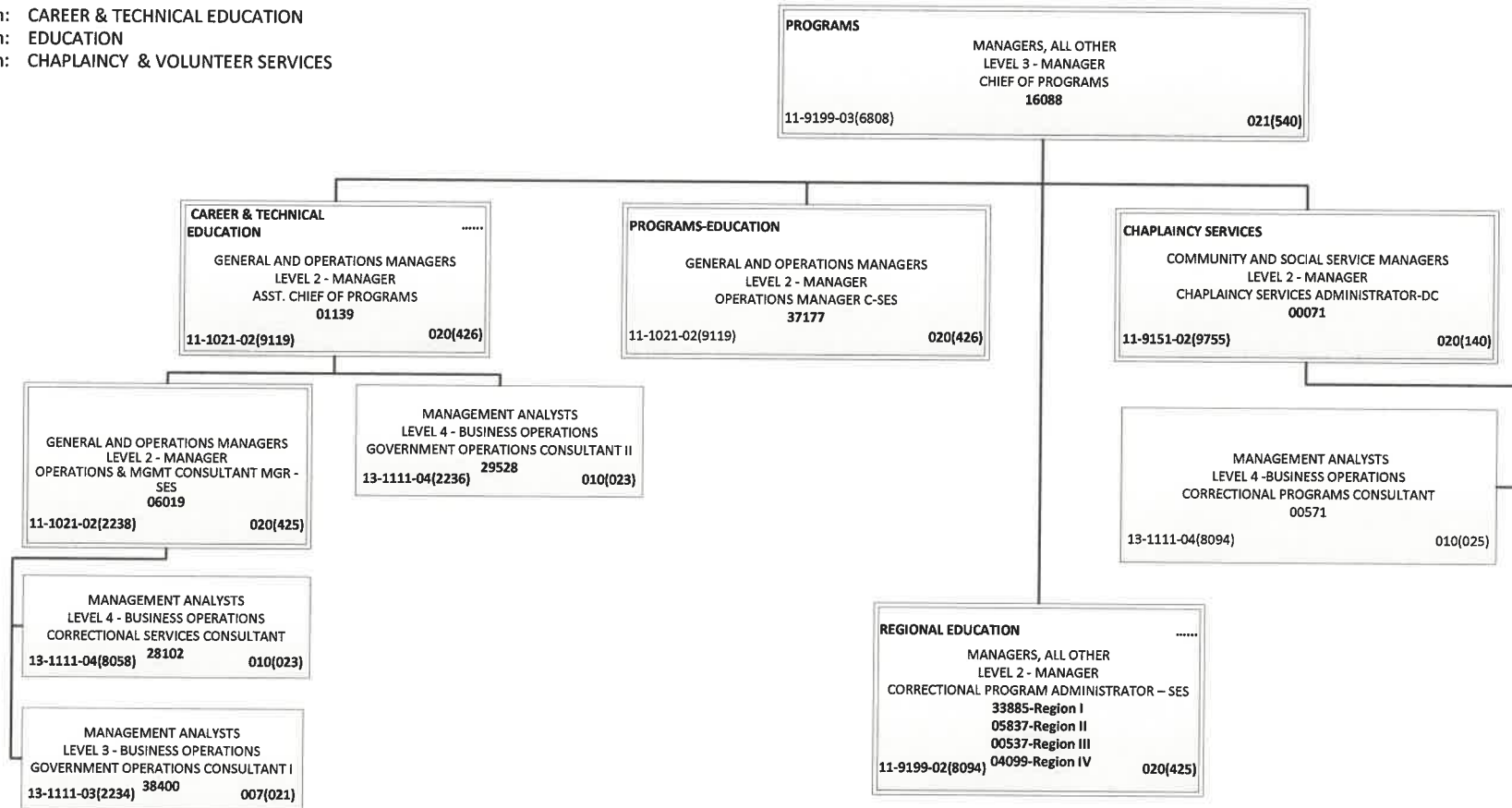


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/PROGRAMS AND RE-ENTRY
 Bureau/Comparable: PROGRAMS

PROGRAMS OVERVIEW

CURRENT

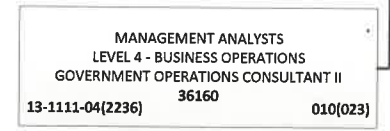
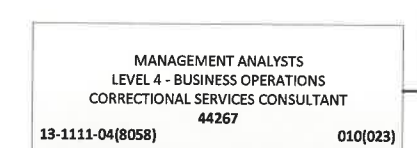
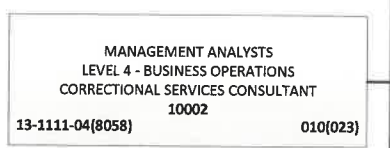
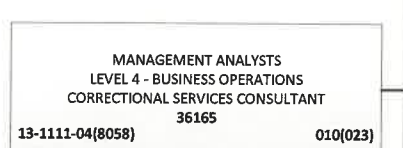
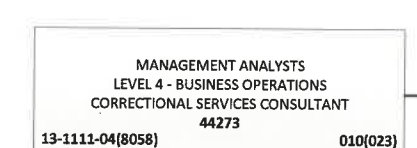
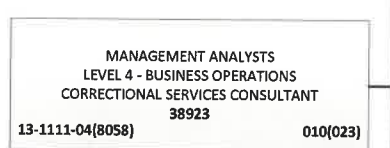
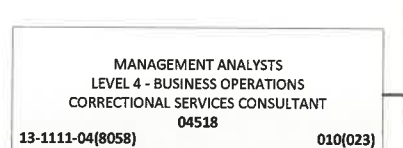
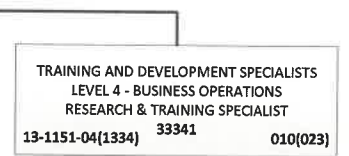
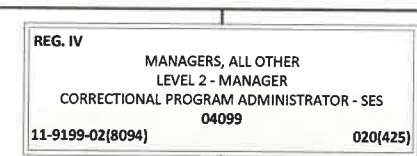
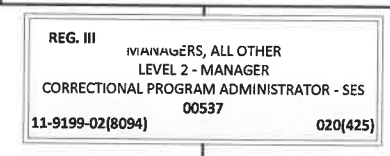
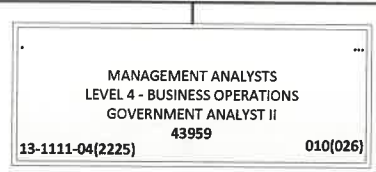
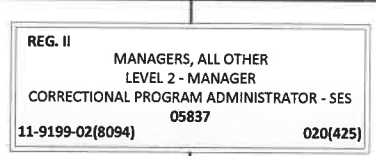
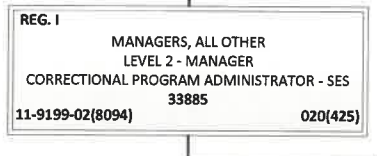
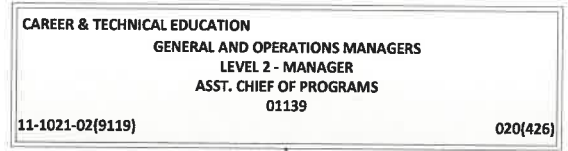
Section/Subsection: CAREER & TECHNICAL EDUCATION
 Section/Subsection: EDUCATION
 Section/Subsection: CHAPLAINCY & VOLUNTEER SERVICES



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/PROGRAMS AND RE-ENTRY
 Bureau/Comparable: PROGRAMS
 Section/Subsection: CAREER & TECHNICAL EDUCATION

CAREER & TECHNICAL EDUCATION

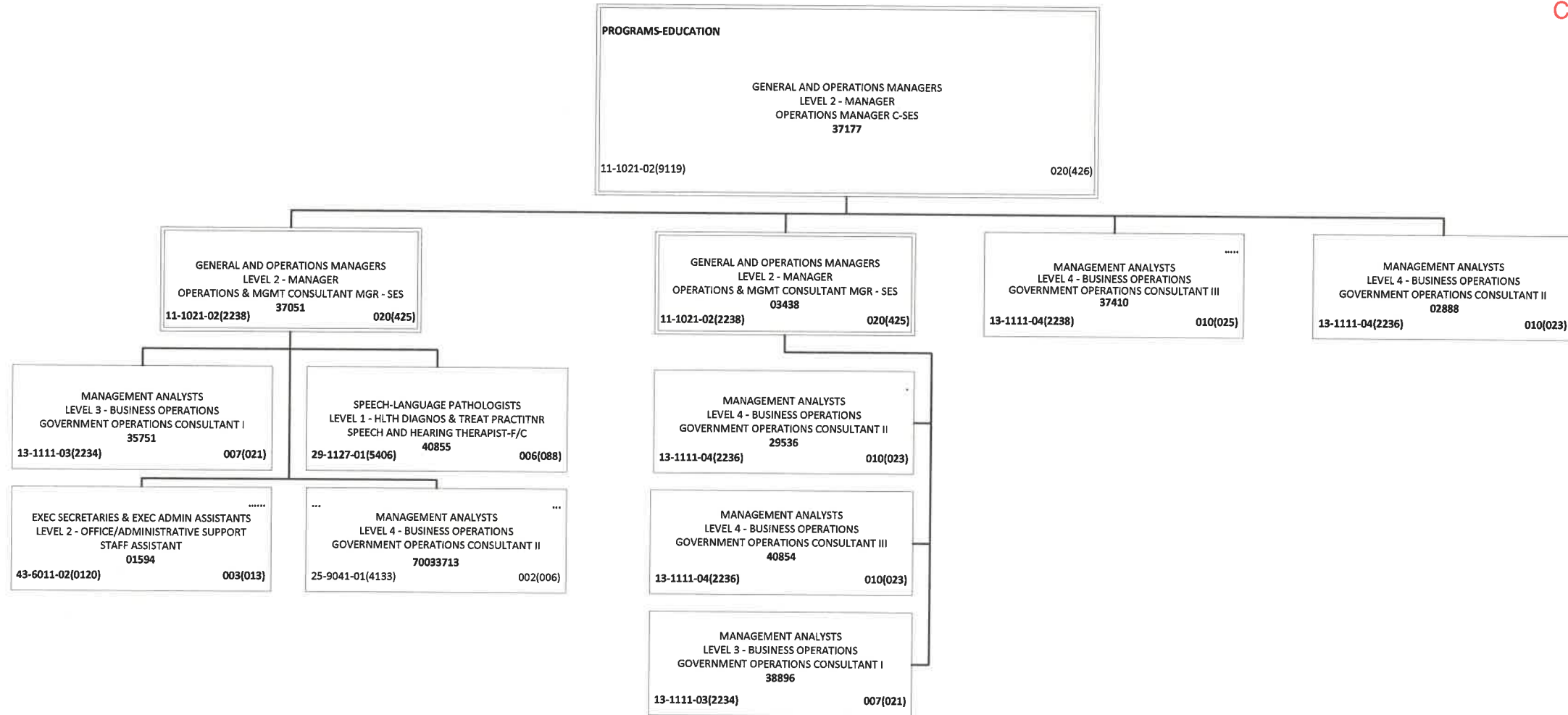
CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/PROGRAMS AND RE-ENTRY
 Bureau/Comparable: PROGRAMS
 Section/Subsection: EDUCATION

EDUCATION

CURRENT



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

Contact Information
Agency: Department of Corrections
Name: Mark Tallent
Phone: (850)-717-3019
E-mail address: Mark.Tallent@fdc.myflorida.com

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.
Purchase of critical security equipment and food service equipment located in facilities statewide.
2. Describe and justify the need for the deferred-payment commodity contract including guaranteed energy performance savings contracts.
The purchase of critical security equipment and food service equipment is expected to be from a state or agency term contract in accordance with appropriate purchasing statutes and rules.
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).
Historically, financing equipment is the most economical means of purchasing items when the Department does not have funds to cover the purchase in one lump sum.
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.
The Department proposes to utilize the existing base appropriation for security enhancements and other equipment.

Schedule XIV
Variance from Long Range Financial Outlook

Agency: Department of Corrections

Contact: Mark Tallent

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	8.5 Hour Shift	B	\$17.3M	\$1
b				
c				
d				
e				
f				

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

A. The Outlook is based on the average increase in funding for this issue over the last two fiscal year. The Department's request is based on year three plan to address critical staffing needs.

* R/B = Revenue or Budget Driver

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 70 Department of Corrections **Budget Period 2022 - 2023**
Budget Entity: 70032000 Correctional Facilities Maintenance and Repair

(1) SECTION I	(2)	(3)	(4)
	ACTUAL FY 2020 - 2021	ESTIMATED FY 2021 - 22	REQUEST FY 2022 - 2023
Interest on Debt	(A) \$5,835,257.50	\$8,891,530.00	\$9,449,025.00
Principal	(B) \$14,290,000.00	\$20,665,000.00	\$20,925,000.00
Repayment of Loans	(C)		
Fiscal Agent or Other Fees	(D) \$6,549.41	\$6,549.41	\$6,549.41
Other Debt Service	(E)		
Total Debt Service	(F) \$20,131,806.91	\$29,563,079.41	\$30,380,574.41

Explanation: This information reflects bond series 2015A and 2018A (Refinance of 2008A, 2009A, 2009B, 2009C). The tables following Section II below provide detailed breakdowns of the individual series.

SECTION II

ISSUE: Lake City Correctional Facility - Series 2015A

(1) INTEREST RATE	(2) MATURITY DATE	(3) ISSUE AMOUNT	(4) JUNE 30, 2022	(5) JUNE 30, 2023
5.000%	8/1/2025	\$11,725,000.00	\$5,675,000.00	\$4,730,000.00

(6)	(7)	(8)	(9)
	ACTUAL FY 2020 - 2021	ESTIMATED FY 2021 - 22	REQUEST FY 2022 - 2023
Interest on Debt	(G) \$282,263.28	\$260,125.00	\$209,125.00
Principal	(H) \$900,000.00	\$945,000.00	\$1,095,000.00
Fiscal Agent or Other Fees	(I) \$672.54	\$672.54	\$672.54
Other	(J) -	-	-
Total Debt Service	(K) \$1,182,935.82	\$1,205,797.54	\$1,304,797.54

ISSUE: South Bay Correctional Facility - Series 2015A

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2022	JUNE 30, 2023
5.000%	8/1/2025	\$15,730,000.00	\$6,675,000.00	\$5,565,000.00

	ACTUAL FY 2020 - 2021	ESTIMATED FY 2021 - 22	REQUEST FY 2022 - 2023
Interest on Debt	(G) \$332,036.55	\$306,000.00	\$246,000.00
Principal	(H) \$1,060,000.00	\$1,110,000.00	\$1,290,000.00
Fiscal Agent or Other Fees	(I) \$672.54	\$672.54	\$672.54
Other	(J) -	-	-
Total Debt Service	(K) \$1,392,709.09	\$1,416,672.54	\$1,536,672.54

ISSUE: Bay Correctional Facility - Series 2015A

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2022	JUNE 30, 2023
5.000%	8/1/2025	\$6,800,500.00	\$3,573,500.00	\$2,977,000.00

	ACTUAL FY 2020 - 2021	ESTIMATED FY 2021 - 22	REQUEST FY 2022 - 2023
Interest on Debt	(G) \$177,758.27	\$163,762.50	\$131,625.00
Principal	(H) \$567,500.00	\$596,500.00	\$689,000.00
Fiscal Agent or Other Fees	(I) \$672.54	\$672.54	\$672.54
Other	(J)		
Total Debt Service	(K) \$745,930.81	\$760,935.04	\$821,297.54

ISSUE: Gadsden Correctional Facility - Series 2015A

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2022	JUNE 30, 2023
5.000%	8/1/2025	\$10,880,800.00	\$5,717,600.00	\$4,763,200.00

	ACTUAL FY 2020 - 2021	ESTIMATED FY 2021 - 22	REQUEST FY 2022 - 2023

Interest on Debt	(G)	\$284,413.23	\$262,020.00	\$210,600.00
Principal	(H)	\$908,000.00	\$954,400.00	\$1,102,400.00
Fiscal Agent or Other Fees	(I)	\$672.54	\$672.54	\$672.54
Other	(J)			
Total Debt Service	(K)	\$1,193,085.77	\$1,217,092.54	\$1,313,672.54
ISSUE: Moore Haven Correctional Facility - Series 2015A				
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2022	JUNE 30, 2023
5.000%	8/1/2025	\$8,840,650.00	\$4,645,550.00	\$3,870,100.00
		ACTUAL	ESTIMATED	REQUEST
		FY 2020 - 2021	FY 2021 - 22	FY 2022 - 2023
Interest on Debt	(G)	\$231,085.75	\$212,891.25	\$171,112.50
Principal	(H)	\$737,750.00	\$775,450.00	\$895,700.00
Fiscal Agent or Other Fees	(I)	\$672.54	\$672.54	\$672.54
Other	(J)			
Total Debt Service	(K)	\$969,508.29	\$989,013.79	\$1,067,485.04
ISSUE: Graceville Correctional Facility - Series 2015A				
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2022	JUNE 30, 2023
5.000%	8/1/2025	\$41,483,050.00	\$21,798,350.00	\$18,159,700.00
		ACTUAL	ESTIMATED	REQUEST
		FY 2020 - 2021	FY 2021 - 22	FY 2022 - 2023
Interest on Debt	(G)	\$1,084,325.42	\$998,951.25	\$802,912.50
Principal	(H)	\$3,461,750.00	\$3,638,650.00	\$4,202,900.00
Fiscal Agent or Other Fees	(I)	\$672.54	\$672.54	\$672.54
Other	(J)			
Total Debt Service	(K)	\$4,546,747.96	\$4,638,273.79	\$5,006,485.04
ISSUE: Graceville Correctional Facility - Series 2018A (Formely 2008A)				
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2022	JUNE 30, 2023
5.000%	11/1/2027	\$11,265,000.00	\$9,180,000.00	\$8,055,000.00
		ACTUAL	ESTIMATED	REQUEST
		FY 2020 - 2021	FY 2021 - 22	FY 2022 - 2023
Interest on Debt	(G)	\$485,750.00	\$430,875.00	\$373,250.00
Principal	(H)	\$1,070,000.00	\$1,125,000.00	\$1,180,000.00
Fiscal Agent or Other Fees	(I)	\$1,257.09	\$1,257.09	\$1,257.09
Other	(J)			
Total Debt Service	(K)	\$1,557,007.09	\$1,557,132.09	\$1,554,507.09
ISSUE: Blackwater Correctional Facility - Series 2018A (Formely 2009A)				
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2022	JUNE 30, 2023
5.000%	11/1/2028	\$67,265,000.00	\$56,360,000.00	\$50,485,000.00
		ACTUAL	ESTIMATED	REQUEST
		FY 2020 - 2021	FY 2021 - 22	FY 2022 - 2023
Interest on Debt	(G)	\$2,957,625.00	\$2,671,125.00	\$2,369,875.00
Principal	(H)	\$5,585,000.00	\$5,875,000.00	\$6,175,000.00
Fiscal Agent or Other Fees	(I)	\$1,257.08	\$1,257.08	\$1,257.08
Other	(J)			
Total Debt Service	(K)	\$8,543,882.08	\$8,547,382.08	\$8,546,132.08

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2022 - 2023

Department: Office of Inspector General

Chief Internal Auditor: Paul Strickland

Budget Entity: Bureau of Internal Audit

Phone Number: 717-3408

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
A20010	7/14/2020	Office of Institutions	The cash was collected and deposited in accordance with established policies and procedures and internal controls over cash receipts are adequate to prevent, deter, and detect fraud. This audit did not identify any deficiencies; therefore, no findings and recommendations are presented in this audit report.	N/A	Inspector General's Office/Bureau of Internal Audit
A20016	8/4/2020	Office of Institutions	The cash was collected and deposited in accordance with established policies and procedures and internal controls over cash receipts are adequate to prevent, deter, and detect fraud. This audit did not identify any deficiencies; therefore, no findings and recommendations are presented in this audit report.	N/A	Inspector General's Office/Bureau of Internal Audit
A20019	9/1/2020	Office of Institutions	The cash was collected and deposited in accordance with established policies and procedures and internal controls over cash receipts are adequate to prevent, deter, and detect fraud. This audit did not identify any deficiencies; therefore, no findings and recommendations are presented in this audit report.	N/A	Inspector General's Office/Bureau of Internal Audit
A20007	9/3/2020	Office of Community Corrections	This audit contained one (1) finding. The results of this audit are deemed confidential based on the provisions of Section 282.318, Florida Statutes, Security of Data and Information Technology.	Management agreed with and responded to our finding. They are taking or have taken appropriate action to rectify the audit issue.	Inspector General's Office/Bureau of Internal Audit

A20013	9/21/2020	Office of Institutions	The cash was collected and deposited in accordance with established policies and procedures and internal controls over cash receipts are adequate to prevent, deter, and detect fraud. This audit did not identify any deficiencies; therefore, no findings and recommendations are presented in this audit report.	N/A	Inspector General's Office/Bureau of Internal Audit
A20020	9/24/2020	Office of Institutions	The cash was collected and deposited in accordance with established policies and procedures and internal controls over cash receipts are adequate to prevent, deter, and detect fraud. This audit did not identify any deficiencies; therefore, no findings and recommendations are presented in this audit report.	N/A	Inspector General's Office/Bureau of Internal Audit
A21002	10/27/2020	Office of Institutions	The cash was collected and deposited in accordance with established policies and procedures and internal controls over cash receipts are adequate to prevent, deter, and detect fraud. This audit did not identify any deficiencies; therefore, no findings and recommendations are presented in this audit report.	N/A	Inspector General's Office/Bureau of Internal Audit
A20014	11/23/2020	Office of Institutions	The Department was in compliance with applicable Prison Rape Elimination Act (PREA) grants and Department procedure; and internal controls exist to adequately prevent, deter, and detect fraud. The audit did not identify any deficiencies; therefore, no findings and recommendations are presented in this report.	N/A	Inspector General's Office/Bureau of Internal Audit
A21003	12/4/2020	Office of Institutions	The cash was collected and deposited in accordance with established policies and procedures and internal controls over cash receipts are adequate to prevent, deter, and detect fraud. This audit did not identify any deficiencies; therefore, no findings and recommendations are presented in this audit report.	N/A	Inspector General's Office/Bureau of Internal Audit

A21008	12/9/2020	Office of Institutions	The cash was collected and deposited in accordance with established policies and procedures and internal controls over cash receipts are adequate to prevent, deter, and detect fraud. This audit did not identify any deficiencies; therefore, no findings and recommendations are presented in this audit report.	N/A	Inspector General's Office/Bureau of Internal Audit
A21012	2/4/2021	Office of Institutions	Finding 1: The reviewer did not initial the validated deposit slips as required by procedure. Recommendation: The Warden ensure the reviewer will initial all validated deposit receipts as required by procedure.	Management agreed with and responded to our finding. They are taking or have taken appropriate action to rectify the audit issues.	Inspector General's Office/Bureau of Internal Audit
A21013	4/22/2021	Office of Institutions	This audit contained one (1) finding; however, the results of the audit are deemed confidential based on the confidential procedures of the Office of Institutions.	Management agreed with and responded to our finding. They are taking or have taken appropriate action to rectify the audit issue.	Inspector General's Office/Bureau of Internal Audit
A21010	5/4/2021	Office of Inspector General	Audit staff found that activities are generally in compliance with FDC Procedure 108.017, Evidence, Property, and Contraband Collection, Preservation, and Disposition. The audit did not identify any deficiencies; therefore, no findings and recommendations were presented in the audit report.	N/A	Inspector General's Office/Bureau of Internal Audit
A21015	6/22/2021	Office of Institutions	This audit contained three (3) findings; however, the results of the audit are deemed confidential based on the confidential procedures of the Office of Institutions.	Management agreed with and responded to our findings. They are taking or have taken appropriate action to rectify the audit issues.	Inspector General's Office/Bureau of Internal Audit
A21006	6/24/2021	Office of Human Resources	This audit contained one (1) finding. The results of this audit are deemed confidential based on the provisions of Section 282.318, Florida Statutes, Security of Data and Information Technology.	Management agreed with and responded to our finding. They are taking or have taken appropriate action to rectify the audit issue.	Inspector General's Office/Bureau of Internal Audit
A21009	6/29/2021	Office of Institutions	Finding 1: Some employees were living in staff housing but not paying as required.	Management agreed with and responded to our finding. They are taking or have taken appropriate action to rectify the audit issue.	Inspector General's Office/Bureau of Internal Audit

			<p>Recommendation: The Office of Institutions take action to ensure monthly housing verifications are completed and are accurate.</p> <p>Recommendation: The Office of Institutions conduct a full retroactive accounting of the 14 individuals who utilized but did not pay for staff housing to determine if any additional funds are due for staff housing.</p>		

Fiscal Year 2022-23 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Department Level

Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Christian Griffin

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

	Program or Service (Budget Entity Codes)				
Action					

1. GENERAL

<p>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)</p>					
<p>1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)</p>					

AUDITS:

<p>1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)</p>					
<p>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.</p>					
<p>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)</p>					
<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)

<p>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?</p>					
<p>2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?</p>					
<p>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?</p>					

3. EXHIBIT B (EXBR, EXB)

		Program or Service (Budget Entity Codes)				
Action						
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.					
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")					
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")					
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?					
4.2	Is the program component code and title used correct?					
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)					
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")					
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.)					
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.)					

		Program or Service (Budget Entity Codes)				
Action						
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2020-21 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created. Note that there is a \$5,000 allowance at the department level.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?					
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.)					
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.)					
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?					
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?					
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.)					
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.					
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 95 of the LBR Instructions.)					
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?					
7.9	Does the issue narrative reference the specific county(ies) where applicable?					

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

		Program or Service (Budget Entity Codes)				
Action						
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.					
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 65 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2021-22 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?					Y
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?					Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?					Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?					N/A
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?					Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?					Y

		Program or Service (Budget Entity Codes)				
Action						
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A				
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A				
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Y				
8.10	Are the statutory authority references correct?	Y				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	Y				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y				
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y				
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Y				

		Program or Service (Budget Entity Codes)				
Action						
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Y				
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y				
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A				
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y				
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y				
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Y				
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	Y				
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Y				
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 126 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
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.)					

		Program or Service (Budget Entity Codes)				
Action						
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied? (See page 88 of the LBR Instructions.)					
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.					
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?					
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.					Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	Do the reductions comply with the instructions provided on pages 100 through 103 of the LBR Instructions regarding an 8.5% reduction in General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)					N/A
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
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.					
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)						
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?					N/A
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 97 through 103 of the LBR instructions?					N/A

		Program or Service (Budget Entity Codes)			
Action					
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A			
AUDIT:					
15.4	Do the issues net to zero at the department level? (GENR, LBR5)	N/A			
16. SCHEDULE XI (UCSR,SCXI) (LAS/PBS Web - see pages 111-115 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)					
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Y			
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y			
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
16.3	Does the FY 2020-21 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y			
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y			
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Y			
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in Audit #3 do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	Y			
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	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			
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y			
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y			

		Program or Service (Budget Entity Codes)				
Action						
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
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?					Y
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 155-157) for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?					Y
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?					Y
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?					Y
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?					Y
18.5	Are the appropriate counties identified in the narrative?					N/A-issues are statewide
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
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

Fiscal Year 2022-23 LBR Technical Review Checklist

Department/Budget Entity (Service): Administration/OIT
Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Christian Griffin

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

	Program or Service (Budget Entity Codes)			
Action	70010200	70010400		

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			
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			

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			
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			
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			
TIP The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. A security control feature included in the LAS/PBS Web upload process requires columns to be in the proper status before uploading to the portal.					

2. EXHIBIT A (EADR, EXA)

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

3. EXHIBIT B (EXBR, EXB)

		Program or Service (Budget Entity Codes)				
Action		70010200	70010400			
3.1	Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A	N/A			
AUDITS:						
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			
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			
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Y	Y			
4.2	Is the program component code and title used correct?	Y	Y			
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	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			
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			
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			

		Program or Service (Budget Entity Codes)				
Action		70010200	70010400			
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2020-21 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created. Note that there is a \$5,000 allowance at the department level.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y	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			
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			
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?	N/A	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?	N/A	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.)	N/A	N/A			
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	N/A			
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 95 of the LBR Instructions.)	N/A	N/A			
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A			
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A			

Action		Program or Service (Budget Entity Codes)				
		70010200	70010400			
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #22-001?	N/A	N/A			
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A			
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A			
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A			
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y			
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	N/A	N/A			
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 26 and 90 of the LBR Instructions.)	N/A	N/A			
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	N/A	Y			
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A			
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y			
AUDIT:						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Y	N/A			
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A	N/A			
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A	N/A			
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A	N/A			
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			

		Program or Service (Budget Entity Codes)				
Action		70010200	70010400			
7.25	Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2021-22? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2021-22. Do not add annualization issues for pay and benefit distribution issues, as those annualization issues (26AXXXX) have already been added to A03.	N/A	N/A			
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 65 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2021-22 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Submitted at Department Level				
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Submitted at Department Level				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Submitted at Department Level				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Submitted at Department Level				
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)?	Submitted at Department Level				
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?	Submitted at Department Level				

		Program or Service (Budget Entity Codes)			
Action		70010200	70010400		
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?	Submitted at Department Level			
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?	Submitted at Department Level			
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)?	Submitted at Department Level			
8.10	Are the statutory authority references correct?	Submitted at Department Level			
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.)	Submitted at Department Level			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Submitted at Department Level			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Submitted at Department Level			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Submitted at Department Level			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Submitted at Department Level			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Submitted at Department Level			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Submitted at Department Level			
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?	Submitted at Department Level			
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?	Submitted at Department Level			
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Submitted at Department Level			
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Submitted at Department Level			
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.)	Submitted at Department Level			
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Submitted at Department Level			
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Submitted at Department Level			

		Program or Service (Budget Entity Codes)				
Action		70010200	70010400			
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Submitted at Department Level				
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?	Submitted at Department Level				
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	Submitted at Department Level				
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?	Submitted at Department Level				
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Submitted at Department Level				
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Submitted at Department Level				
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")	Submitted at Department Level				
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)	Submitted at Department Level				
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?	Submitted at Department Level				
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Submitted at Department Level				
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	N/A			
10. SCHEDULE III (PSCR, SC3)						

		Program or Service (Budget Entity Codes)			
Action		70010200	70010400		
10.1	Is the appropriate lapse amount applied? (See page 88 of the LBR Instructions.)	N/A	N/A		
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See pages 93 through 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	N/A	N/A		
11. SCHEDULE IV (EADR, SC4)					
11.1	Are the correct Information Technology (IT) issue codes used?	N/A	N/A		
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.				
12. SCHEDULE VIIIA (EADR, SC8A)					
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Submitted at Department Level			
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.)	Submitted at Department Level			
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.)	Submitted at Department Level			
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.				
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)					
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A	N/A		
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 97 through 103 of the LBR instructions?	N/A	N/A		
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A	N/A		

	Program or Service (Budget Entity Codes)			
Action	70010200	70010400		

AUDIT:

15.4 Do the issues net to zero at the department level? (GENR, LBR5)	N/A	N/A		
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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.)	Submitted at Department Level			
16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Submitted at Department Level			

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)	Submitted at Department Level			
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")	Submitted at Department Level			
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")	Submitted at Department Level			
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.)	Submitted at Department Level			
16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Submitted at Department Level			
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?	Submitted at Department Level			
17.2 Does manual exhibits tie to LAS/PBS where applicable?	Submitted at Department Level			
17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Submitted at Department Level			
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?	Submitted at Department Level			
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) ?	Submitted at Department Level			

	Program or Service (Budget Entity Codes)			
Action	70010200	70010400		

AUDITS - GENERAL INFORMATION

TIP Review *Section 6: Audits* of the LBR Instructions (pages 155-157) for a list of audits and their descriptions.

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

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

18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included? FCO submitted separately

18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? FCO submitted separately

18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? FCO submitted separately

18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? FCO submitted separately

18.5 Are the appropriate counties identified in the narrative? FCO submitted separately

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? FCO submitted separately

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

Fiscal Year 2022-23 LBR Technical Review Checklist

Department/Budget Entity (Service): Corrections/Security and Institutional Operations
Agency Budget Officer/OPB Analyst Name: Mark Tallent/Christian Griffin

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

	Program or Service (Budget Entity Codes)				
Action	70031100	70031200	70031300	70031400	70031600

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

AUDITS:

1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y	Y	Y	Y	Y
1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I (SC1R, SC1 or SC1R, SC1D adding column A12) to verify.	Y	Y	Y	Y	Y
1.5 Has Column A12 security been set correctly to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? (CSDR, CSA)	Y	Y	Y	Y	Y
TIP The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. A security control feature included in the LAS/PBS Web upload process requires columns to be in the proper status before uploading to the portal.					

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 57 of the LBR Instructions?	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y	Y	Y	Y

3. EXHIBIT B (EXBR, EXB)

		Program or Service (Budget Entity Codes)				
Action		70031100	70031200	70031300	70031400	70031600
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	N/A	N/A	N/A	N/A
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
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
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Y	Y	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	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
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y	Y	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y	Y	Y	Y	Y

		Program or Service (Budget Entity Codes)				
Action		70031100	70031200	70031300	70031400	70031600
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2020-21 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created. Note that there is a \$5,000 allowance at the department level.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y	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
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
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?	N/A	N/A	N/A	N/A	N/A
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A	N/A	N/A	N/A	N/A
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.5 of the LBR Instructions.)	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	N/A	N/A	Y	N/A
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 95 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A	N/A	N/A
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A	N/A	N/A	N/A

Action		Program or Service (Budget Entity Codes)				
		70031100	70031200	70031300	70031400	70031600
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #22-001?	N/A	N/A	N/A	N/A	N/A
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A	N/A	N/A	N/A
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A	N/A	N/A
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?	Y	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	N/A
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 26 and 90 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	N/A	N/A	N/A	N/A	N/A
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y	N/A	N/A	N/A	N/A
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y	Y
AUDIT:						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A	N/A	N/A	N/A	N/A
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A	N/A	N/A	N/A	N/A
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A	N/A	N/A	N/A	N/A
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A	N/A	N/A	N/A	N/A
7.24	Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. (NAAR, BSNR)	Y	Y	Y	Y	Y

		Program or Service (Budget Entity Codes)				
Action		70031100	70031200	70031300	70031400	70031600
7.25	Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2021-22? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2021-22. Do not add annualization issues for pay and benefit distribution issues, as those annualization issues (26AXXXX) have already been added to A03.	N/A	N/A	N/A	N/A	N/A
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 65 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2021-22 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Submitted at Department level				
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Submitted at Department level				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Submitted at Department level				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Submitted at Department level				
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)?	Submitted at Department level				
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?	Submitted at Department level				

		Program or Service (Budget Entity Codes)				
Action		70031100	70031200	70031300	70031400	70031600
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?	Submitted at Department level				
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?	Submitted at Department level				
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)?	Submitted at Department level				
8.10	Are the statutory authority references correct?	Submitted at Department level				
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.)	Submitted at Department level				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Submitted at Department level				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Submitted at Department level				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Submitted at Department level				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Submitted at Department level				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Submitted at Department level				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Submitted at Department level				
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?	Submitted at Department level				
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?	Submitted at Department level				
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Submitted at Department level				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Submitted at Department level				
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.)	Submitted at Department level				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Submitted at Department level				
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Submitted at Department level				

		Program or Service (Budget Entity Codes)				
Action		70031100	70031200	70031300	70031400	70031600
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Submitted at Department level				
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?	Submitted at Department level				
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	Submitted at Department level				
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?	Submitted at Department level				
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Submitted at Department level				
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Submitted at Department level				
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")	Submitted at Department level				
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)	Submitted at Department level				
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?	Submitted at Department level				
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Submitted at Department level				
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	N/A	N/A	Y	N/A

	Program or Service (Budget Entity Codes)				
Action	70031100	70031200	70031300	70031400	70031600

10. SCHEDULE III (PSCR, SC3)

10.1	Is the appropriate lapse amount applied? (See page 88 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See pages 93 through 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y	Y	Y	Y	Y

11. SCHEDULE IV (EADR, SC4)

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

12. SCHEDULE VIIIA (EADR, SC8A)

12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Submitted at Department level				
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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.)	Submitted at Department level				
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.)	Submitted at Department level				
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.					

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

15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A	N/A	N/A	N/A	N/A
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 97 through 103 of the LBR instructions?	N/A	N/A	N/A	N/A	N/A

		Program or Service (Budget Entity Codes)				
Action		70031100	70031200	70031300	70031400	70031600
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A	N/A	N/A	N/A	N/A
AUDIT:						
15.4	Do the issues net to zero at the department level? (GENR, LBR5)	N/A	N/A	N/A	N/A	N/A
16. SCHEDULE XI (UCSR,SCXI) (LAS/PBS Web - see pages 111-115 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)						
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Submitted at Department level				
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Submitted at Department level				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
16.3	Does the FY 2020-21 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y	Y	Y	Y	Y
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Submitted at Department level				
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")	Submitted at Department level				
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.)	Submitted at Department level				
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Submitted at Department level				
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?	Submitted at Department level				
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Submitted at Department level				
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Submitted at Department level				

		Program or Service (Budget Entity Codes)				
Action		70031100	70031200	70031300	70031400	70031600
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?	Submitted at Department level				
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) ?	Submitted at Department level				
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 155-157) for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	FCO submitted separately				
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	FCO submitted separately				
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	FCO submitted separately				
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	FCO submitted separately				
18.5	Are the appropriate counties identified in the narrative?	FCO submitted separately				
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?	FCO submitted separately				
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

Fiscal Year 2022-23 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Community Corrections
Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Christain Griffin

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

	Program or Service (Budget Entity Codes)				
Action	70050100				

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				
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	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				
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				
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				
TIP The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. A security control feature included in the LAS/PBS Web upload process requires columns to be in the proper status before uploading to the portal.					

2. EXHIBIT A (EADR, EXA)

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				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				

3. EXHIBIT B (EXBR, EXB)

		Program or Service (Budget Entity Codes)				
Action		70050100				
3.1	Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A				
AUDITS:						
3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity 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				
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y				

		Program or Service (Budget Entity Codes)				
Action		70050100				
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2020-21 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created. Note that there is a \$5,000 allowance at the department level.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y				
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				
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				
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?	N/A				
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.5 of the LBR Instructions.)	N/A				
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 95 of the LBR Instructions.)	Y				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A				

Action		Program or Service (Budget Entity Codes)				
		70050100				
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #22-001?	N/A				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A				
7.14	Do the amounts reflect appropriate FSI assignments?	N/A				
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	N/A				
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 26 and 90 of the LBR Instructions.)	Y				
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	N/A				
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y				
AUDIT:						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Y				
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A				
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A				
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A				
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				

		Program or Service (Budget Entity Codes)				
Action		70050100				
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.	Y				
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
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?	Submitted at Department Level				
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Submitted at Department Level				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Submitted at Department Level				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Submitted at Department Level				
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)?	Submitted at Department Level				
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?	Submitted at Department Level				

		Program or Service (Budget Entity Codes)			
Action		70050100			
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?	Submitted at Department Level			
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?	Submitted at Department Level			
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)?	Submitted at Department Level			
8.10	Are the statutory authority references correct?	Submitted at Department Level			
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.)	Submitted at Department Level			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Submitted at Department Level			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Submitted at Department Level			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Submitted at Department Level			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Submitted at Department Level			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Submitted at Department Level			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Submitted at Department Level			
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?	Submitted at Department Level			
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?	Submitted at Department Level			
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Submitted at Department Level			
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Submitted at Department Level			
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.)	Submitted at Department Level			
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Submitted at Department Level			
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Submitted at Department Level			

		Program or Service (Budget Entity Codes)				
Action		70050100				
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Submitted at Department Level				
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?	Submitted at Department Level				
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	Submitted at Department Level				
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?	Submitted at Department Level				
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Submitted at Department Level				
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Submitted at Department Level				
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")	Submitted at Department Level				
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)	Submitted at Department Level				
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?	Submitted at Department Level				
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Submitted at Department Level				
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.)	N/A				
10. SCHEDULE III (PSCR, SC3)						

		Program or Service (Budget Entity Codes)				
Action		70050100				
10.1	Is the appropriate lapse amount applied? (See page 88 of the LBR Instructions.)	N/A				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See pages 93 through 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y				
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A				
TIP If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.						
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Submitted at Department Level				
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	Do the reductions comply with the instructions provided on pages 100 through 103 of the LBR Instructions regarding an 8.5% reduction in General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	N/A				
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.)	Submitted at Department Level				
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.						
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)						
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A				
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 97 through 103 of the LBR instructions?	N/A				
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A				

		Program or Service (Budget Entity Codes)			
Action		70050100			
AUDIT:					
15.4	Do the issues net to zero at the department level? (GENR, LBR5)	N/A			
16. SCHEDULE XI (UCSR,SCXI) (LAS/PBS Web - see pages 111-115 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)					
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Submitted at Department Level			
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Submitted at Department Level			
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			
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")	Submitted at Department Level			
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")	Submitted at Department Level			
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.)	Submitted at Department Level			
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Submitted at Department Level			
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?	Submitted at Department Level			
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Submitted at Department Level			
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Submitted at Department Level			
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?	Submitted at Department Level			
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) ?	Submitted at Department Level			

	Program or Service (Budget Entity Codes)			
Action	70050100			

AUDITS - GENERAL INFORMATION

TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 155-157) for a list of audits and their descriptions.	
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.	

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

18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	FCO submitted separately
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	FCO submitted separately
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	FCO submitted separately
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	FCO submitted separately
18.5	Are the appropriate counties identified in the narrative?	FCO submitted separately
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?	FCO submitted separately
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.	

19. FLORIDA FISCAL PORTAL

19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y				
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Fiscal Year 2022-23 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Health Services
Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Christian Griffin

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

	Program or Service (Budget Entity Codes)				
Action	70251000				

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				
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	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				
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				
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				
TIP The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. A security control feature included in the LAS/PBS Web upload process requires columns to be in the proper status before uploading to the portal.					

2. EXHIBIT A (EADR, EXA)

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				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				

3. EXHIBIT B (EXBR, EXB)

		Program or Service (Budget Entity Codes)				
Action		70251000				
3.1	Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A				
AUDITS:						
3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity 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				
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y				

		Program or Service (Budget Entity Codes)				
Action		70251000				
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2020-21 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created. Note that there is a \$5,000 allowance at the department level.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y				
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				
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				
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?	N/A				
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.5 of the LBR Instructions.)	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.	N/A				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 95 of the LBR Instructions.)	Y				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A				

		Program or Service (Budget Entity Codes)				
Action		70251000				
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #22-001?	N/A				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	N/A				
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 26 and 90 of the LBR Instructions.)	N/A				
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	N/A				
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y				
AUDIT:						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A				
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A				
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A				
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A				
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				

		Program or Service (Budget Entity Codes)				
Action		70251000				
7.25	Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2021-22? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2021-22. Do not add annualization issues for pay and benefit distribution issues, as those annualization issues (26AXXXX) have already been added to A03.	N/A				
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 65 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2021-22 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Submitted at Department Level				
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Submitted at Department Level				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Submitted at Department Level				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Submitted at Department Level				
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)?	Submitted at Department Level				
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?	Submitted at Department Level				

		Program or Service (Budget Entity Codes)			
Action		70251000			
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?	Submitted at Department Level			
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?	Submitted at Department Level			
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)?	Submitted at Department Level			
8.10	Are the statutory authority references correct?	Submitted at Department Level			
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.)	Submitted at Department Level			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Submitted at Department Level			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Submitted at Department Level			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Submitted at Department Level			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Submitted at Department Level			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Submitted at Department Level			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Submitted at Department Level			
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?	Submitted at Department Level			
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?	Submitted at Department Level			
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Submitted at Department Level			
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Submitted at Department Level			
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.)	Submitted at Department Level			
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Submitted at Department Level			
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Submitted at Department Level			

		Program or Service (Budget Entity Codes)				
Action		70251000				
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Submitted at Department Level				
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?	Submitted at Department Level				
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	Submitted at Department Level				
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?	Submitted at Department Level				
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Submitted at Department Level				
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Submitted at Department Level				
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")	Submitted at Department Level				
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)	Submitted at Department Level				
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?	Submitted at Department Level				
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Submitted at Department Level				
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				

	Program or Service (Budget Entity Codes)				
Action	70251000				

10. SCHEDULE III (PSCR, SC3)

10.1	Is the appropriate lapse amount applied? (See page 88 of the LBR Instructions.)	N/A				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See pages 93 through 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y				

11. SCHEDULE IV (EADR, SC4)

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

12. SCHEDULE VIIIA (EADR, SC8A)

12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Submitted at Department Level				
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13. SCHEDULE VIIIB-1 (EADR, S8B1)

13.1	Do the reductions comply with the instructions provided on pages 100 through 103 of the LBR Instructions regarding an 8.5% reduction in General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	N/A				
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.)	Submitted at Department Level				
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.					

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

15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A				
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 97 through 103 of the LBR instructions?	N/A				

		Program or Service (Budget Entity Codes)				
Action		70251000				
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A				
AUDIT:						
15.4	Do the issues net to zero at the department level? (GENR, LBR5)	N/A				
16. SCHEDULE XI (UCSR,SCXI) (LAS/PBS Web - see pages 111-115 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)						
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Submitted at Department Level				
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Submitted at Department Level				
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				
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")	Submitted at Department Level				
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")	Submitted at Department Level				
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.)	Submitted at Department Level				
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Submitted at Department Level				
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?	Submitted at Department Level				
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Submitted at Department Level				
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Submitted at Department Level				

		Program or Service (Budget Entity Codes)				
Action		70251000				
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?	Submitted at Department Level				
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) ?	Submitted at Department Level				
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 155-157) for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	FCO Submitted Separately				
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	FCO Submitted Separately				
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	FCO Submitted Separately				
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	FCO Submitted Separately				
18.5	Are the appropriate counties identified in the narrative?	FCO Submitted Separately				
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?	FCO Submitted Separately				
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				

Fiscal Year 2022-23 LBR Technical Review Checklist

Department/Budget Entity (Service): Corrections/Education and Programs				
Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Christian Griffin				
A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.				
	Program or Service (Budget Entity Code)			
Action	70450100	70450200	70450300	70450400

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
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
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
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
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
TIP The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. A security control feature included in the LAS/PBS Web upload process requires columns to be in the proper status before uploading to the portal.				
2. EXHIBIT A (EADR, EXA)				
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
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	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?	N/A	Y	N/A	N/A
3. EXHIBIT B (EXBR, EXB)				

Action		Program or Service (Budget Entity Code)			
		70450100	70450200	70450300	70450400
3.1	Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A	N/A	N/A	N/A
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
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
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.				
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.				
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.				
4. EXHIBIT D (EADR, EXD)					
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Y	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.				
5. EXHIBIT D-1 (ED1R, EXD1)					
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	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
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
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

		Program or Service (Budget Entity Code)			
Action		70450100	70450200	70450300	70450400
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.				
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.				
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2020-21 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.				
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created. Note that there is a \$5,000 allowance at the department level.				
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)					
6.1	Are issues appropriately aligned with appropriation categories?	Y	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.)	N/A	Y	N/A	N/A
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.)	N/A	Y	N/A	N/A
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?	N/A	N/A	N/A	N/A
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A	N/A	N/A	N/A
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.5 of the LBR Instructions.)	N/A	N/A	N/A	N/A
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A	N/A	N/A	N/A
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 95 of the LBR Instructions.)	N/A	N/A	N/A	N/A
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A	N/A
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A	N/A	N/A

Action		Program or Service (Budget Entity Code)			
		70450100	70450200	70450300	70450400
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #22-001?	N/A	N/A	N/A	N/A
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A	N/A	N/A
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A	N/A
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?	N/A	Y	N/A	N/A
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	N/A	N/A	N/A	N/A
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 26 and 90 of the LBR Instructions.)	N/A	N/A	N/A	N/A
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	N/A	N/A	N/A	N/A
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	N/A	Y	N/A	N/A
AUDIT:					
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A	N/A	N/A	N/A
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A	N/A	N/A	N/A
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A	N/A	N/A	N/A
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A	N/A	N/A	N/A
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)	N/A	Y	N/A	N/A

		Program or Service (Budget Entity Code)			
Action		70450100	70450200	70450300	70450400
7.25	Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2021-22? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2021-22. Do not add annualization issues for pay and benefit distribution issues, as those annualization issues (26AXXXX) have already been added to A03.	N/A	N/A	N/A	N/A
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.				
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 65 through 70 of the LBR Instructions.				
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.				
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).				
TIP	If an appropriation made in the FY 2021-22 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.				
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)					
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Submitted at Department Level			
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Submitted at Department Level			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Submitted at Department Level			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Submitted at Department Level			
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)?	Submitted at Department Level			
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?	Submitted at Department Level			

		Program or Service (Budget Entity Code)			
Action		70450100	70450200	70450300	70450400
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?	Submitted at Department Level			
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?	Submitted at Department Level			
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)?	Submitted at Department Level			
8.10	Are the statutory authority references correct?	Submitted at Department Level			
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.)	Submitted at Department Level			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Submitted at Department Level			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Submitted at Department Level			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Submitted at Department Level			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Submitted at Department Level			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Submitted at Department Level			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Submitted at Department Level			
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?	Submitted at Department Level			
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?	Submitted at Department Level			
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Submitted at Department Level			
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Submitted at Department Level			
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.)	Submitted at Department Level			
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Submitted at Department Level			
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Submitted at Department Level			

		Program or Service (Budget Entity Code)			
Action		70450100	70450200	70450300	70450400
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Submitted at Department Level			
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?	Submitted at Department Level			
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	Submitted at Department Level			
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?	Submitted at Department Level			
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Submitted at Department Level			
AUDITS:					
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Submitted at Department Level			
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")	Submitted at Department Level			
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)	Submitted at Department Level			
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?	Submitted at Department Level			
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Submitted at Department Level			
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.)	N/A	N/A	N/A	N/A



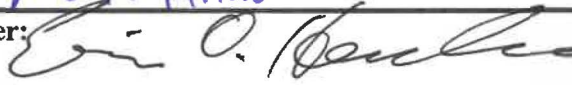

	Program or Service (Budget Entity Code)			
Action	70450100	70450200	70450300	70450400

10. SCHEDULE III (PSCR, SC3)					
10.1	Is the appropriate lapse amount applied? (See page 88 of the LBR Instructions.)	N/A	N/A	N/A	N/A
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.	N/A	N/A	N/A	N/A
11. SCHEDULE IV (EADR, SC4)					
11.1	Are the correct Information Technology (IT) issue codes used?	N/A	N/A	N/A	N/A
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.				
12. SCHEDULE VIIIA (EADR, SC8A)					
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Submitted at Department Level			
13. SCHEDULE VIIIB-1 (EADR, S8B1)					
13.1	Do the reductions comply with the instructions provided on pages 100 through 103 of the LBR Instructions regarding an 8.5% reduction in General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	N/A	N/A	N/A	N/A
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.)	Submitted at Department Level			
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.				
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)					
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A	N/A	N/A	N/A
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 97 through 103 of the LBR instructions?	N/A	N/A	N/A	N/A

		Program or Service (Budget Entity Code)			
Action		70450100	70450200	70450300	70450400
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A	N/A	N/A	N/A
AUDIT:					
15.4	Do the issues net to zero at the department level? (GENR, LBR5)	N/A	N/A	N/A	N/A
16. SCHEDULE XI (UCSR,SCXI) (LAS/PBS Web - see pages 111-115 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)					
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Submitted at Department Level			
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Submitted at Department Level			
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)	Submitted at Department Level			
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")	Submitted at Department Level			
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")	Submitted at Department Level			
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.)	Submitted at Department Level			
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Submitted at Department Level			
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?	Submitted at Department Level			
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Submitted at Department Level			
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Submitted at Department Level			

		Program or Service (Budget Entity Code)			
Action		70450100	70450200	70450300	70450400
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?	Submitted at Department Level			
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) ?	Submitted at Department Level			
AUDITS - GENERAL INFORMATION					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 155-157) for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)					
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	FCO Sumbitted Separately			
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	FCO Sumbitted Separately			
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	FCO Sumbitted Separately			
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	FCO Sumbitted Separately			
18.5	Are the appropriate counties identified in the narrative?	FCO Sumbitted Separately			
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?	FCO Sumbitted Separately			
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

**SCHEDULE XIIB: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES
EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS**

Schedule XII-B Cover Sheet and Agency Project Approval	
Agency: Florida Dept of Corrections	Schedule XII-B Submission Date: 9/15/2021
Project Name: Outsourcing of Food Svc.	Is this project included in the Agency's LRPP? Yes No <u>X</u>
FY 2022-2023 LBR Issue Code: 2300020	FY 2022-2023 LBR Issue Title: Food Service Contract
Agency Contact for Schedule XII-B (Name, Phone #, and E-mail address): Steven Fielder, 850-717-3032, Steven.Fielder@fdc.myflorida.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule XII-B in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII-B.	
Agency Head:  Printed Name: Ricky Dixon	Date: 9/15/21
Agency Chief Information Officer: (If applicable) Printed Name: N/A	Date:
Budget Officer:  Printed Name: Mark Tallant	Date: 9/15/21
Planning Officer:  Printed Name: Eric D. Henderson	Date: 9/15/21
Project Sponsor:  Printed Name: Steven Fielder	Date: 9/15/2021

**SCHEDULE XIIB-1: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES
EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS
– BACKGROUND INFORMATION**

Background Information
<p>1. Provide a narrative summary describing the agency’s decision to outsource or privatize the service or activity.</p> <p>Attach to Schedule XII-B copies of the original business case and cost benefit analysis. If these documents are unavailable, attach any documents which state the original intention of the outsourcing or privatization initiative that will detail its goals, objectives, and expected outcomes. Such documents may include (a) original legislative budget requests, (b) original budget amendments, (c) legislative presentations, or (d) agency planning documents.</p>
<p>Pursuant to Chapter 945, Florida Statutes (F.S.), the Florida Department of Corrections (Department) is responsible for the supervision and protective care, custody, and control of all Inmates. Pursuant to Rule 33-204.003 Food Services – Standards of Operation. (1) General, part of that care includes that Inmates shall receive three meals per day. This schedule describes the Department’s intention to expand the outsourced food service operations to additional institutions.</p> <p>Currently, the Food Service and Farms programs within the Bureau of Contract Management and Monitoring, within the Office of Administration, provide support to the food service personnel within Institutions. The support includes the following:</p> <ul style="list-style-type: none"> • menu development and recipes, overseen by our Nutrition support team; • contract management for the food and supplies vendor; • contract management for the outsourced full-service food service vendor; • oversight for our Farm and Edible Crop Program (FECF) which provides fresh produce grown on State owned land using Inmate labor—as an additional training program—supervised by FECF personnel and security staff; • monitoring performance standards by our Field Staff Monitors throughout the State, as well as staff training; • and logistical and technical support through our Food Accounting Workbook and our Food Production Workbook, internally-built applications using Microsoft Excel—and the Food Delivery Tracking System—a web-based application built by the Department’s Office of Information Technology (OIT). <p>At 46 major Institutions, Food Service Directors employed by the State supervise additional state employees as well as Inmate laborers to prepare thousands of meals in the Institutional kitchens on a daily basis. At four additional major Institutions, the Department has already outsourced the kitchen functions to a vendor, with contract management functions being housed within the Office of Administration.</p> <p>A core goal for the Department is its intension “to provide healthy, sustainable and compassionate environments that are the foundation of our values.” Food Service contributes to the environment by providing essential nutrition to our Inmates. Outsourcing alleviates department responsibility for the day-to-day operation, enabling us to focus on security and other Inmate/Offender Programs. An outside contractor for food service also provides food service industry standard business procedures and software applications</p>

that will improve the overall productivity and quality of the food service operation. In addition, through the contractual agreement, the contractor can provide additional educational programs for our Inmates, further preparing them for work and life after incarceration.

Since at the time the Department decided to outsource a few Institutions the total Contract value was below \$10 million annually, a Business Case including a Cost/Benefit analysis was not required. A copy of the competitive solicitation Invitation to Bid (ITB) is provided as Attachment I.

2. Have the anticipated cost savings and benefits of the initiative been realized? Explain.

The Department did not expect outsourcing food services to provide direct cost savings, though some costs are averted or transferred to the Contractor.

- Since food service staff members work for the Institution, the cost of time spent by Institutional staff recruiting and hiring new staff has been averted.
- Since the Contractor would be responsible to train their own staff, the cost of time spent by our regional monitoring staff conducting training and the cost of materials currently to train food service staff has been transferred.
- Since the Contractor is responsible to fill temporary vacancies or no-shows affecting timely food service, the cost of time spent by security staff doing so has been averted.

3. Provide a narrative description of the competitive solicitation used to outsource or privatize the service or activity.

Attach a copy of any competitive solicitation documents, requests for quote(s), service level agreements, or similar documents issued by the agency for this competitive solicitation, which are deemed by the agency not to be confidential or exempt from public records requirements if available.

The Department used an Invitation to Bid competitive solicitation to obtain responses from prospective Contractors to provide full-service food service operations for three Institutions and one additional Work Camp. Each of the three Institutions also had a Work Camp, so the solicitation included a total of seven kitchens. There was only one respondent to the bid. The Bureau of Procurement and the Bureau of Contract Management & Monitoring, within the Office of Administration, and which includes the Food Service and Farms programs, both felt the respondent was qualified and satisfactorily responsive. The Contractor began transition into the seven kitchens at four Institutions within 30 days of Contract signing and had fully implemented operations on schedule within 90 days.

A copy of the Invitation to Bid is provided as **Attachment I**.

4. Section 287.057(13), *Florida Statutes*, allows for the renewal of contracts for commodities and contractual services for a period that may not exceed 3 years or the term of the original contract, whichever period is longer. Such renewals are contingent upon satisfactory performance evaluations by the agency and subject to the availability of funds.

For the outsourced or privatized service or activity, identify the number of times the contract has been renewed and specify the renewal period of each. Attach a copy of the documentation verifying the contractor's satisfactory performance compliance required prior to each renewal.

After the initial Contract period of three years, due to the Contractor's satisfactory performance compliance, an Amendment was introduced to extend the Contract period another three years through July 2020. In 2019, the process to introduce an Invitation to Negotiate for the Contract renewal was begun, but was delayed due to COVID-19 and other factors, which required an Amendment to extend the Contract through July 2021, and two more to extend the Contract through January 2022 and July 2022, respectively.

Original Contract Term: July 7, 2014 through July 6, 2017
Amendment #1: February 10, 2016 through July 6, 2017
Amendment #2 July 20, 2016 through July 6, 2017
Amendment #3 February 3, 2017 through July 6, 2017
Amendment #4 June 28, 2017 through July 6, 2020 (which includes the Renewal)
Amendment #5 February 27, 2020 through January 6, 2021
Amendment #6 October 14, 2020 through July 6, 2021
Amendment #7 June 7, 2021 through January 6, 2022
Amendment #8 September 15, 2021 through July 6, 2022

Copies of the documentation verifying the contractor's satisfactory performance compliance prior to the renewal is provided as **Attachments II and III**, respectively.

5. For the outsourced or privatized service or activity, has the contractor satisfactorily complied with all service level requirements? Provide a narrative summary describing service level requirements compliance or noncompliance and the method used by the agency for monitoring progress in achieving the specified performance standards within the contract.

The Department has developed Performance Measure categories which are used to measure the Contractor's performance and delivery of services. The specific outcomes, measures, standards, and respective financial consequences for below-standard performance are outlined in the document provided as **Attachment IV**. Categories include: Contractor staff appearance on-site to operate the food service; being fully staffed; adherence to our nutritionally balanced Master Menu; timely service of meals without delay; timely correction of performance deficiencies; and maintenance of ACA Accreditation.

Regional contract monitoring staff of the Department monitor each contract site each month to evaluate performance measures and provide details to the Contract Manager for any application of a financial consequence. Any items found non-compliant require a Corrective Action Plan (CAP) be submitted by the Contractor within 10 days of receipt of the Formal Communication of the need for a CAP. All corrections must be made within 30 days to avoid financial consequences for non-compliance. Further details regarding the methodology can be found in a document is provided as **Attachment V**.

6. Describe any unexpected benefits from outsourcing or privatization of the service or activity.

The unexpected benefits received from outsourcing have been recognizing the Contractor's capability to manage food service as well as or better than the Department while also being able to offer additional features not a part of the current contract, such as the following:

- Maintaining staffing levels results in less demand on the Institution's staff to assist with food service preparations;
- Food service operations running smoothly and expeditiously, as well as providing a great meal,

reduces the demand for additional security staff and can ease tensions due to happier Inmates working in the kitchen and eating in the dining hall;

- The Contractor uses an industry-cutting-edge software application to manage the entire food service operation from sourcing goods to evaluating costs from every angle;
- Options of convenient food service sub-operations to offer Institutional staff and/or Inmate guests; and
- Tried and true training programs for Inmates to enhance their employability in the hospitality industry upon release.

These unexpected benefits will enable the inclusion of some of these features as value-add options in the procurement of full outsourcing.

7. Describe any unexpected problems or issues with the outsourcing or privatization of the service or activity.

As with any large operation, there are day-to-day issues that arise, however these issues are typical for any institution-run food service. The Department has not otherwise experienced unique problems or issues tied to the outsourcing of its food service within Institutions.

8. Briefly describe your agency's overall level of satisfaction with the results of outsourcing or privatization of the service or activity.

Overall, the Department is very satisfied with the results of outsourcing of full-service food service at 9 locations (two were added in a later amendment). Our Department's Bureau of Contract Management and Monitoring has resources and procedures in place to manage the current contract, and to ensure compliance with all the contract requirements through regular monitoring and regular communication with the Contractor's representatives. Our satisfaction with the results is what motivates us to consider moving forward with statewide outsourcing. We recognize expanding state-wide would require additional monitoring resources/FTEs.

9. What lessons learned should be shared with other agencies considering the outsourcing or privatization of a similar service or activity?

The Department of Corrections has learned a great deal through the process of outsourcing a small number of Institutional kitchens initially. The following points may be helpful to other agencies considering the outsourcing or privatization of a similar service or activity:

- Request a professional project manager be assigned to assist with the implementation phase of the contract;
- Conduct an orientation with the Contractor and their key staff to go over the Department's organizational structure and to discuss the contract expectations; also establish regular meetings to ensure contractual and operational issues are discussed frequently;
- Ensure that the contract implementation plan is reasonable and attainable;
- Ensure that the contract includes completion due dates for all value-added services or equipment;
- Streamline the invoicing process so as not to create a staffing burden;
- Automate all reports and forms where possible;
- Monitor the Contractor frequently to ensure satisfactory performance;

- Have appropriately substantial financial consequences for non-compliance and apply consistently;
- Monitor the Contract Manager through internal Administrative reviews;
- Communicate with the Contractor regularly, especially informally through phone calls, emails and media platforms (Teams or Zoom) to discuss operational issues; this is advantageous for a variety of reasons, but especially since the Food Service Director will dually report to the Warden through the Assistant Warden of Operations (AWO) and the Contractor; and
- Communicate with Institutional leadership, especially the AWO, since their working relationship with the Contractor's lead food service worker and central office staff can make the difference in smooth operations or catastrophe.

SCHEDULE XIIB-2: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS - COST AND DELIVERABLES DATA

Section I: Cost Data

For each outsourced or privatized service or activity, complete the cost analysis below:

Fiscal Year	Planned Costs	Actual/Revised Costs	Planned Savings	Actual/Revised Savings
FY 2014 - 2015	\$ 4,744,738.25	\$ 3,429,525.77	\$ -	\$ 1,315,212.48
FY 2015 - 2016	\$ 4,963,108.74	\$ 5,061,969.75	\$ -	\$ (98,861.01)
FY 2016 - 2017	\$ 5,158,201.62	\$ 4,569,829.78	\$ -	\$ 588,371.84
FY 2017 - 2018	\$ 5,974,112.78	\$ 5,027,744.50	\$ -	\$ 946,368.28
FY 2018 - 2019	\$ 6,986,872.50	\$ 5,844,688.39	\$ -	\$ 1,142,184.11
FY 2019 - 2020	\$ 6,316,531.52	\$ 5,727,713.90	\$ -	\$ 588,817.62
FY 2020 - 2021	\$ 7,020,568.06	\$ 5,157,498.16	\$ -	\$ 1,863,069.90
FY 2021 - 2022	\$ 6,919,052.86		\$ -	\$
FY 2022 - 2023	\$ 111,153,961.54		\$ -	\$
FY 2023 - 2024	\$ 113,093,893.43		\$ -	\$
FY 2024 - 2025	\$ 114,784,243.44		\$ -	\$
FY 2025 - 2026	\$ 115,925,796.93		\$ -	\$
FY 2026 - 2027	\$ 117,556,587.63		\$ -	

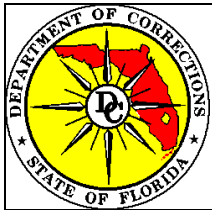
Variance	Reasons			
Cost				
Savings				
Overall, approx. \$6.35M to date.	Population decline			

Section II: Deliverables and Milestones Schedule

For each outsourced or privatized service or activity, complete the deliverables and milestones schedule below:

Deliverables and Milestones		Original	Actual Date/ Revised Date
1	Transfer of service to Contractor for 7 sites.	7/6/2014	7/6/2014
2	Partial Implementation/Transfer	8/6/2014	8/1/2014
3	Full Implementation/Transfer	10/6/2014	9/1/2014
4	Add two sites to Contract	2/3/2017	2/3/2017
5	Full Implementation/Transfer	3/3/2017	2/23/2017
6	Contract Renewal	7/7/2017	7/7/2017

Variance	Reasons			
Schedule				
Transfer of sites	Contractor able to ramp up faster than required.			



FLORIDA DEPARTMENT OF CORRECTIONS
INVITATION TO BID
CONTRACTUAL SERVICES

Page <u>1</u> of <u>77</u> pages	SUBMIT BIDS TO:
AGENCY RELEASE DATE: <u>December 5, 2013</u>	Julyn Hussey Procurement Manager Department of Corrections Bureau of Procurement and Supply 501 South Calhoun Street Tallahassee, FL 32399-2500

SOLICITATION TITLE: FULL SERVICE - FOOD SERVICE OPERATIONS	SOLICITATION NO: DC ITB-13-018
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RESPONSES WILL BE OPENED: January 9, 2014 @ 3:00 p.m. E.T.
 and may not be withdrawn within 365 Days after such date and time.

VENDOR NAME:	<hr style="border: 0; border-top: 1px solid black;"/> *AUTHORIZED SIGNATURE (MANUAL)
VENDOR MAILING ADDRESS:	
CITY – STATE – ZIP:	
PHONE NUMBER:	
FREE NUMBER:	
FAX NUMBER:	
EMAIL ADDRESS:	
FEID NO.:	<hr style="border: 0; border-top: 1px solid black;"/> *AUTHORIZED SIGNATURE (TYPED), TITLE *This individual must have the authority to bind the bidder.

I certify that this Bid is made without prior understanding, agreement, or connection with any corporation, firm, or person submitting a response for the same services (including equipment and supplies), and is in all respects fair and without collusion or fraud. I agree to abide by all conditions of this Bid and certify that I am authorized to sign this Bid Submittal for the Bidder/Contractor and that the Bid is in compliance with all requirements of the Invitation to Bid, including but not limited to, certification requirements and mandatory attestations. In submitting a Bid to an agency for the State of Florida, the Vendor offers and agrees that if the Bid is accepted, the Vendor will convey, sell, assign or transfer to the State of Florida all rights, title and interest in and to all causes of action it may now or hereafter acquire under the Anti-trust laws of the United States and the State of Florida for price fixing relating to the particular services purchased or acquired by the State of Florida. At the State's discretion, such assignment shall be made and become effective at the time the Department tenders final payment to the Bidder/Contractor.

NO BID SUBMITTED: Please provide reason for "No Bid" in this Space

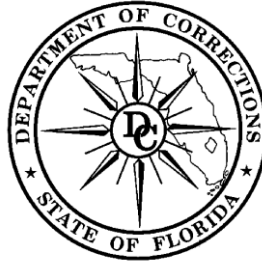
VENDOR CONTACTS: Please provide the name, title, address, telephone number and e-mail address of the official contact and an alternate, if available. These individuals shall be available to be contacted by telephone regarding the solicitation and any resulting contract or purchase order.

PRIMARY CONTACT:	SECONDARY CONTACT:
NAME, TITLE:	NAME, TITLE:
ADDRESS:	ADDRESS:
PHONE NUMBER:	PHONE NUMBER:
FAX NUMBER:	FAX NUMBER:
EMAIL ADDRESS:	EMAIL ADDRESS:

"The State of Florida's general contract conditions, [Form PUR 1000](#) (10/06), and the General Instructions to Respondents, [Form PUR 1001](#) (10/06), as required by Rule 60A, F.A.C. are each hereby incorporated by reference. These conditions, forms and instructions are available on the internet at <http://dms.myflorida.com/purchasing>. Any terms and conditions set forth within this document shall supersede any and all conflicting terms and conditions set forth within Form PUR 1000 and Form PUR 1001.

State of Florida

Department of Corrections



INVITATION TO BID (ITB)

FOR

FULL SERVICE - FOOD SERVICE OPERATIONS

DC ITB -13-018

DMS CLASS & GROUP

991-340, 991-350,991-360

TO BE RELEASED ON

December 5, 2013

BY THE

**DEPARTMENT OF CORRECTIONS
BUREAU OF PROCUREMENT AND SUPPLY
501 SOUTH CALHOUN STREET
TALLAHASSEE, FLORIDA 32399-2500
(850) 717-3699
FAX (850) 488-7189**

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SECTION 1 – DEFINITIONS

The following terms used in this Invitation to Bid (ITB), unless the context otherwise clearly requires a different construction and interpretation, have the following meanings:

- 1.1 **Alternate (meatless) Entrée:** The alternate (meatless) entree is designed to provide meal options for inmates who choose to abstain from pork and/or meat in their diets.
- 1.2 **Approved Food Products List:** The list of ingredients approved by the Department that shall be used to prepare the Master Menu.
- 1.3 **American Correctional Association:** An international accreditation entity that establishes national standards for and conducts audits of correctional programs to assess their administration and management, the facility, operations and services, inmate programs, staff training, medical services, sanitation, use of segregation and detention, incidents of violence, crowding, offender activity levels, and provision of basic services which may impact the life, safety, and health of inmates, as well as staff.
- 1.4 **Breach of Contract:** A failure of the successful bidder(s) to perform in accordance with the terms and conditions of the Contract which may result from this ITB.
- 1.5 **Confinement:** Any area in which inmates are in a lock-down situation. This includes Administrative Confinement, Disciplinary Confinement, Protective Management, and Close Management.
- 1.6 **Contract Compliance Monitoring:** A comprehensive evaluation conducted a minimum of once every six (6) months by the Department's Contract Manager or designee to document the Contractor's compliance with the terms of the contract and to evaluate overall Contractor performance. Frequency of monitoring is at the discretion of the Contract Manager, with satisfactorily functioning programs being monitored less frequently.
- 1.7 **Contractor:** The organizational entity serving as the primary Contractor with whom a contract will be executed. The term Contractor shall include all employees, subcontracts, agents, volunteers, and anyone acting on behalf of, in the interest of, or for the Contractor.
- 1.8 **Corrective Action Plan (CAP):** A Contractor's comprehensive written response to any deficiencies discovered in the course of Contract Compliance Monitoring, and plan for remediation of those deficiencies.
- 1.9 **Department:** The State of Florida, Department of Corrections, is referred to in this solicitation document as "the Department."
- 1.10 **Dietary Reference Intakes (DRI):** A comprehensive set of nutrient reference values for healthy populations that can be used for assessing and planning diets.
- 1.11 **Emergency Situation:** Extraordinary situations deemed by the Department to warrant a change in normal operations.
- 1.12 **Expendable Supplies:** Non-food products that are utilized in the preparation and service of the Master Menu or in the maintenance of the food service facility.
- 1.13 **Hazard Analysis and Critical Control Points (HACCP):** A systematic preventative approach to food safety that addresses physical, chemical and biological hazards as a means of prevention rather than finished product inspection
- 1.14 **Line Staff:** Contractor's Personnel assigned to oversee and guide inmates performing duties related to food service operations as described in this ITB.
- 1.15 **Master Menu CD:** Instructions and information provided via compact disc (CD) format regarding the preparation and serving of the four (4) week cycle of the Master Menu, including recipes and production logs for meal planning. The

CD also includes the menus for approved therapeutic diets, diet recipes and information relevant to the preparation of therapeutic diets.

- 1.16 **Master Menu**: The normal or regular menu used to serve daily meals to the general inmate population. This menu meets the Dietary Reference Intakes for the majority of inmates. The Master Menu includes the Adult Master Component, Youthful Offender Component, Modified Diet Component, and Alternate Menu Component.
- 1.17 **Material Deviations**: The Department has established certain requirements with respect to bid responses to be submitted by bidders. The use of *shall*, *must* or *will* (except to indicate future events) in this ITB indicates a requirement or condition which may not be waived by the Department except where any deviation therefrom is not material. A deviation is material if, in the Department's sole discretion, the deficient bid response is not in substantial accord with this ITB's requirements, provides an advantage to one bidder over other bidders, or has a potentially significant effect on the quantity or quality of items or services proposed, or on the cost to the Department. Material deviations cannot be waived and shall be the basis for rejection of a bid.
- 1.18 **Minor Irregularity**: A variation from the ITB terms and conditions which does not affect the price of the bid or give the bidder an advantage or benefit not enjoyed by the other bidders or does not adversely impact the interests of the Department.
- 1.19 **Responsible Vendor**: A vendor who has the capability in all respects to fully perform the contract requirements and the integrity and reliability that will assure good faith performance.
- 1.20 **Responsive Bid**: A bid, submitted by a responsive and responsible vendor that conforms in all material respects to the solicitation.
- 1.21 **Responsiveness Requirements**: Terms, conditions or requirements that must be met by the bidder to be responsive to this solicitation. These responsiveness requirements are **mandatory**. Failure to meet these responsiveness requirements will cause rejection of a bid. Any bid rejected for failure to meet mandatory responsiveness requirements will not be further reviewed.
- 1.22 **Small wares**: Implements used in the production, service, storage and consumption of meals. Items include but are not limited to pots, pans, drinking cups, storage containers, food preparation, serving, and feeding utensils.
- 1.23 **Subcontract**: An agreement entered into by the Contractor with any other person or organization that agrees to perform any performance obligation for the Contractor specifically related to securing or fulfilling the Contractor's obligations to the Department under the terms of the Contract resulting from this solicitation.
- 1.24 **Swill**: Cooked and uncooked food waste collected from uneaten food on serving trays, food that has not been served, and stored leftover food to be discarded.
- 1.25 **Vendor, Offerer and Bidder**: A legally qualified corporation, partnership or other entity submitting a bid to the Department pursuant to this ITB.
- 1.27 **Winning or successful bidder**: The business or entity submitting the lowest responsive bid, meeting all requirements of the Department's ITB.

SECTION 2 – INTRODUCTION

2.1 Background

The State of Florida Department of Corrections (hereinafter referred to as “Department” or “DC”), has a current total inmate population of approximately ninety eight thousand (98,000). These inmates are housed in both privately-operated and state-operated facilities throughout the State including correctional institutions, annexes, work camps, work release centers, road prisons, forestry camps, and treatment centers.

Correctional Institutions are prisons with fences, razor wire or ribbon, electronic detection systems, perimeter towers with armed correctional officers and/or officers in roving perimeter vehicles. Facilities operated by the Florida Department of Corrections are grouped into three (3) regions (Regions I through III, with Region I encompassing the panhandle, Region II North Florida, Region III Central Florida and South Florida.

The Department’s Office of Procurement and Contract Management under the direction of the Department’s Chief of Staff is the programmatic office responsible for administrative oversight and support of the food service for all correctional institutions/facilities.

2.2 Overview

The Department of Corrections is seeking qualified Full Service-Food Service Operations to feed a current population of approximately four thousand, nine hundred and ninety one (4,991) in the following seven (7) state operated facilities: Jefferson C.I., Tallahassee W.R.C., Marion C.I., Marion W.C., Gainesville W.C., Hardee C.I. and Hardee W.C.

The bidder must demonstrate the capability to supply complete food service operations, including management and oversight of food preparation and service, food products, labor, materials and expendable supplies necessary to feed inmates, staff and official visitors at identified Department operated institutions.

The following cost information for FY 2012-2013 is provided below for each facility:

	Jefferson CI Tallahassee WRC	Marion CI, Marion WC, Gainesville WC,	Hardee CI Hardee WC
Staffing Per Diem	\$0.52	\$0.49	\$0.35
Food Per Diem*	\$1.45	\$1.34	\$1.61
Supplies and Other Per Diem**	\$0.10	\$0.10	\$0.05
Equipment Per Diem	\$0.09	\$0.01	\$0.04
Trust Funded Non Food Per Diem	\$0.00	\$0.13	\$0.00
Total Food Service Per Diem	\$2.16	\$2.07	\$2.05
Estimated Total Food Service Per Diem w/o Farm Program Produce	\$2.34	\$2.25	\$2.23

* The Food Per Diem includes cost savings by utilization of produce received from the Department’s Farm Program. The Department estimates this savings is approximately \$0.18.

**This per diem category includes the following expenditures: Grease Traps, DOH Permits, SWILL, Smallwares, Food Service Supplies and Office Supplies

The Department’s statewide average food service daily participation rate is 85%. The average food service daily participation rate for FY 2012-2013 for the institutions included in this ITB are as follows:

- Jefferson CI 94.5%
- Tallahassee WRC 84.3%
- Marion CI 83.2%
- Marion WC 75.6%
- Gainesville WC / 86.8%
- Hardee CI 83.8%
- Hardee WC 81.4%

2.3 Statement of Purpose

The purpose of this Invitation to Bid (ITB) is to secure competitive bids from qualified vendors to furnish Full Service-Food Service Operations.

The Department is requesting competitive bids from qualified vendors having at least seven (7) years of business/corporate experience and at least three (3) years of experience in the provision of food services operations, as specified in Section 3 of this ITB.

The Bidder shall be capable of providing the products listed on the Approved Food Products List and Specifications, (Attachment 8). The Approved Food Products List and Specifications may be modified during the course of the Contract by the Department due to but not limited to changes in cost of the products, addition or deletion of products by the Prison Rehabilitative Industries and Diversified Enterprises (PRIDE) and RESPECT, changes in Departmental policy, and changes in market conditions.

In the event any contract resulting from this ITB is terminated early by either party, the Department reserves the right to procure services from the next lowest bidder.

Bidders shall be responsible for performing services in strict compliance with the requirements and rules, regulations and governance contained in this ITB. No deviations from the minimum service requirements shall be permitted without the prior written approval of the Department.

2.4 Timeline

Listed below are the important actions and dates/times by which the actions must be taken or completed. If the Department finds it necessary to change any of these dates/times, it will be accomplished by addendum. All listed times are Eastern Time.

	<u>DATE</u>	<u>TIME</u>	<u>ACTION</u>
2.4.1	12/05/13		Release of ITB to public, posted on VBS.
2.4.2	12/12/13	2:30 p.m.	Site visit and Pre- Bid conference
2.4.3	12/17/13	5:00 p.m.	Last day for written inquiries to be received by the Department.
2.4.4	12/20/13	5:00 p.m.	Anticipated date that written responses to written inquiries will be posted on the VBS.
2.4.5	1/9/14	3:00 p.m.	Bids Due and Opened
2.4.6	1/15/14	5:00 p.m.	Anticipated posting of Agency Decision.

2.5 Term of Contract

It is anticipated that the initial term of any Contract resulting from this ITB shall be for a three (3) year period. At its sole discretion, the Department may renew the Contract(s) in accordance with Form PUR 1000 #26. The renewal shall be contingent, at a minimum, on satisfactory performance of the Contract by the Contractor as determined by the Department, and subject to the availability of funds. If the Department desires to renew the Contract resulting from this ITB, it will provide written notice to the Contractor no later than ninety (90) days prior to the Contract expiration date. The renewal term shall be considered separate and shall require the exercise of the renewal option should the Department choose to renew the contract.

2.6 Cooperative Purchasing

Pursuant to their own governing laws, and subject to the agreement of the Contractor, other governmental entities may be permitted to make purchases in accordance with the terms and conditions contained herein. The Department shall not be a party to any transaction between the Contractors and any other purchaser.

As provided in Section 287.042(16), Florida Statutes, other state agencies may purchase from the resulting contract, provided that the Department of Management Services has determined that the contract's use is cost-effective and in the best interest of the State. Upon such approval, the Contractor may, at its discretion, sell these commodities or services to additional agencies, upon the terms and conditions contained herein.

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SECTION 3 – SCOPE OF SERVICE

This section contains the Scope of Service that will be required in any contract that may be executed as a result of this ITB. By submitting a bid each bidder specifically acknowledges and agrees that in addition to all requirements noted elsewhere in this ITB, all requirements referencing “Contractor” contained within the Scope of Services below will be applicable to the bidder should he/she be deemed the successful bidder as defined as the Business or entity submitting the lowest responsive bid, meeting all requirements of the Department’s ITB.

For administrative purposes throughout this document, the Department is referring to a bidder, offerer or vendor as “Contractor” and any contract to be issued as a result of this ITB as “the Contract” or “this Contract”. This does not mean or imply that any person or firm submitting a bid to the ITB as a bidder, offerer or vendor will ultimately be awarded a contract or otherwise become a Contractor as that term is commonly understood. By utilizing the term “Contractor” and “this Contract” or “the Contract” throughout this ITB, the Department will be able to more quickly and efficiently transfer terms and conditions from this ITB document into a Contract document.

All services to be performed by, or under the direction of the Contractor under any resultant contract shall meet or exceed the minimum requirements outlined in this ITB. Under no circumstances shall service delivery meeting less than the minimum service requirements be permitted without the prior written approval of the Department; otherwise, it shall be considered that services bid will be performed in strict compliance with the requirements and rules, regulations and governance contained in this ITB and bidders shall be held responsible therefore.

3.1 General Description of Services

The Contractor shall supply complete food service operations, including management and oversight of food preparation and service, food products, labor, materials and expendable supplies necessary to feed inmates, staff and official visitors at identified Department operated institutions. All meals shall be prepared in accordance with the Department’s Master Menu (see Exhibit A, Sample Master Menu) using the Department approved Contractor’s menu management production system, which will enable recipes to be increased or decreased according to the quantity of meals required. The Contractor shall provide management staff and line staff to provide oversight of work performed by inmate labor for the complete provision of food service operations including meal preparation, meal service and cleanup.

3.2 Rules, Regulations and Governance

The Contractor shall provide all food service operations in accordance with all applicable federal and state laws, statutes, rules and regulations, and Department of Corrections’ rules and procedures. All such laws, statutes, rules and regulations, current and/or as revised, are incorporated herein by reference and made a part of this ITB and any resulting contract. In addition, the Contractor shall meet all state and federal constitutional requirements, all applicable court orders, and applicable ACA Standards. The Contractor and the Department shall work cooperatively to ensure service delivery in complete compliance with all such requirements.

3.2.1 In addition to the foregoing, all services provided must meet the applicable requirements of the following:

- 3.2.1.1** The Department’s Master Menu dated 10/6/2013;
- 3.2.1.2** 42 Code of Federal Regulations (CFR) Part 2;
- 3.2.1.3** Chapters 39, 397 and 415 of the Florida Statutes;
- 3.2.1.4** Rule 4A-44.003(3), 33-503.001(11), 33-204 and Chapters 33, 62-709 and 64E-11 of the Florida Administrative Code;
- 3.2.1.5** American Correctional Association (ACA) Accreditation. The Contractor must maintain full ACA accreditation as related to food service operations. Currently, the identified institutions are accredited. Failure to maintain accreditation will result in the assessment of liquidated damages as set forth in Subsection 3.27.

Note: Sections 3.2.1.2 through 3.2.1.5 are available through internet or public library sources

3.2.1.6 Additionally, services must meet the requirements of the following specific Department of Corrections' Procedures (subject to current revision):

- Procedure #204.004 Farm and Edible Crops Program
- Procedure #204.02 Food Service Standards
- Procedure # 401.009 Prescribed Therapeutic Diets Procedure

In addition to the rules and regulations listed in this section, the Contractor shall adhere to all relevant instructional documents issued by the Department's Bureau of Contract Management and Monitoring and any subsequent revisions and/or addenda thereto.

3.2.2 The Contractor shall ensure that all Contractor's staff providing services under this ITB complies with prevailing ethical and professional standards, and the laws, rules, procedures, regulations, court orders, and other requirements mentioned above.

3.2.3 Should any of the above laws, standards, rules or regulations, Department procedures, or directives change during the course of this procurement or resultant Contract term, the updated version will take precedence.

3.2.4 The Contractor may enter into written subcontract(s) for performance of certain of its functions under the Contract. No subcontract, which the Contractor enters into with respect to performance of any of its functions under the Contract, shall in any way relieve the Contractor of any responsibility for the performance of its duties. The Contractor shall ensure that all subcontractor agreements are prior approved by the Department's Contract Manager and contain provisions requiring the subcontractor to comply with all applicable terms and conditions of the contract resulting from this ITB.

3.2.5 The Contractor agrees to modify its service delivery, including addition or expansion of food service operations in order to meet or comply with changes required by operation of law or due to changes in practice standards or regulations, or as a result of legal settlement agreement or consent order or change in the Department's mission. Any changes in the scope of service (with the exception of additions/deletions pursuant to Section 3.4) required to ensure continued compliance with State or Federal laws, statutes or regulations, legal settlement agreement or consent order or Department policy, will be made in accordance with Section 3.27, Contract Modifications.

3.3 Communications

3.3.1 Contract communications shall be in three forms: routine, informal and formal. For the purposes of the Contract, the following definitions shall apply:

Routine: All normal written communications generated by either party relating to service delivery. Routine communications may be by email and must be acknowledged or answered within thirty (30) calendar days of receipt.

Informal: Special written communications deemed necessary based upon either contract compliance or quality of service issues. Informal communication may be by email and must be acknowledged or responded to within fifteen (15) calendar days of receipt.

Formal: The same as informal but more limited in nature and usually reserved for significant issues such as Breach of Contract, failure to provide satisfactory performance, imposition of liquidated damages, or termination. Formal communications shall also include requests for changes in the scope of the Contract and billing adjustments. Must be acknowledged upon receipt and responded to within seven (7) days of receipt.

3.3.2 The Contractor shall respond to Informal and Formal communications in writing, transmitted by facsimile and/or email, with follow-up by hard copy mail.

- 3.3.3 A date/numbering system shall be utilized for tracking of formal communication.
- 3.3.4 The only personnel authorized to use formal Contract communications are the Department's, Contract Manager, Contract Administrator, and the Contractor's CEO or Project Manager. Designees or other persons authorized to utilize formal contract communications must be agreed upon by both parties and identified in writing within ten (10) days of execution of the Contract. Notification of any subsequent changes must be provided in writing prior to issuance of any formal communication from the changed designee or authorized representative.
- 3.3.5 In addition to the personnel named under Formal Contract Communications, personnel authorized to use Informal Contract Communications include any other persons so designated in writing by the parties.
- 3.3.6 In addition to the contract communications noted in Section 3.3, if there is an urgent administrative problem, the Department shall make contact with the Contractor and the Contractor shall orally respond to the Contract Manager or designee within two (2) hours. If a non-urgent administrative problem occurs, the Department will make contact with the Contractor and the Contractor shall orally respond to the Contract Manager or designee within forty eight (48) hours. The Contractor or Contractor's designee at each institution shall respond to inquiries from the Department by providing all information or records that the Department deems necessary to respond to inquiries, complaints or grievances from or about inmates within three (3) working days of receipt of the request.

3.4 Service Locations

The institutions/facilities to be included under this Contract are provided in Attachment 2.

3.5 Implementation Plan and Transition Date Schedule

- 3.5.1 An Implementation Plan and Transition Date Schedule shall be submitted with each bid submission. The plan shall provide for a seamless transition with minimal interruption of the provision of food services to inmates. The Implementation plan shall reflect a service start date for each institution/facility included in this ITB and must be approved by the Department. The final Implementation Plan will be approved by the Contract Manager.

The Contractor shall have the capability to commence implementation of services no later than ninety (90) days after the execution of the Contract.

3.6 Contractor Responsibilities

3.6.1 Meal Service

The successful Contractor shall provide all meals in accordance with the Master Menu, to be served at temperatures in compliance with those required by Florida Administrative Code Rule 64E-11, Food Hygiene in a method approved by the Department. All Contractors' staff shall be on-site to prepare, serve and clean up after food service delivery, as scheduled. Failure of Contractors' staff to appear on-site as scheduled to prepare, serve or clean up after food service delivery resulting in the Department being required to assume any part of the service delivery, will result in Liquidated Damages in accordance with Section 3.25, Liquidated Damages.

The successful Contractor shall ensure that meals begin within the following time ranges subject to adjustment as determined by the Warden: Breakfast 5:30am – 6:00am; Lunch 11:30am – 12:00 noon; Supper 4:45pm – 5:00pm. Meals shall be served cafeteria-style in all facilities, unless otherwise stated. All meals shall be served consecutively and with no line delay of time exceeding fifteen minutes between inmates being served except when authorized by Warden or designee.

The Contractor shall ensure that the Department's approved recipes are used in the preparation of foods on the Master Menu. The Contractor shall ensure that the food items served are the portion sizes required per the Master Menu and all required food items are placed on the inmates' trays.

In the event of an emergency, as determined by the Warden of the Institution, the Contractor shall continue to serve meals in compliance with all Department emergency plans/operations and/or as specifically instructed by the Warden or Contract Manager or designee. Applicable department emergency plans will be made available at each Institution and satellite facility and may require the Contractor to alter normal operations and staffing.

Menus provided on the master menu CD and any menu component may be modified by the Department upon 30 days written notice to the contractor.

3.6.2 Master Menu

The Department's Master Menu shall be served as written without variation except where approved by the Contract Manager. Any changes to the Master Menu (with the exception of approved exceptions as per Section 3.6.4) must receive prior approval of the Department's Contract Manager. The Department reserves the right to change the Master Menu and will provide the Contractor thirty (30) days' written notice of change. It is anticipated that changes to the Master Menu will not increase the overall cost of food products as such changes are not to be substantial in nature.

The successful Contractor shall provide beverages as specified by the Master Menu and water shall be available at all meals on an unlimited basis. The nutrient drink served at the evening meal is fortified with potassium, Vitamin B-12, Calcium, Vitamin C, Vitamin D, Vitamin E, and Zinc (zinc is only contained in the tea beverage). If the Department-provided recipes conflict with the Master Menu as to yield, the portion stated in the Master Menu controls. The Contractor is required to serve the portions stated in the Master Menu.

It is the intent of the Department that the successful Contractor use fresh potatoes wherever potatoes are indicated on the Master Menu and 50% ground chicken/turkey with 50% vegetable protein blend in the meat casseroles. Compliance with the Master Menu shall include correct portions, correctly utilizing Department recipes and use of proper ingredients. The Master Menu consists of several components with specific guidelines that meet various inmate dietary needs. Each component has an alternate entrée to provide for religious needs and some inmate preferences. The components of the Master Menu are as follows:

3.6.2.1 Adult Master Component

This component contains the menu requirements for the general adult inmate population and meets the Dietary Reference Intakes (DRI).

3.6.2.2 Modified Diet Component

This component contains the menu requirements for meeting specific dietary needs of inmates with medical conditions.

3.6.2.3 Religious Dietary Accommodation Component

Religious dietary accommodation meals and religious holiday meals will be provided by the contractor in accordance with the approved menu and Rules 33-503.001(12) and 33-204, Florida Administrative Code, and Department policies and procedures with no additional cost to the Department.

3.6.3 Other Meals served under the Master Menu

The successful Contractor shall provide each of the following meals in accordance with the requirements of the Master Menu. These meals are provided in areas other than the dining room such as confinement, work squads, and in dormitories. Food shall be prepared in sufficient quantities to feed staff or guests.

3.6.3.1 Confinement/Infirmary Meals

The successful Contractor's staff shall supervise the preparation of meals in accordance with the Master Menu for inmates assigned to confinement areas or to the infirmary. The transportation and delivery of the prepared meals shall be accomplished using inmates assigned to the Contractor and shall be supervised by Department Security personnel. Meals will be delivered in pre-portioned individual serving trays in such a manner as to maintain food temperature requirements.

3.6.3.2 Sack Lunches

The successful Contractor shall provide sack lunches in accordance with the Master Menu and Sack Lunch Menu component for groups of inmates who require meals and cannot receive lunches as listed on the Adult Master Component, such as inmate work crews, inmate transfers, and inmates going to outside court. To enhance inmate work-day productivity, the successful Contractor shall deliver sack lunches to the control room or sally port gate when requested by institutional staff.

Sack lunches for staff during emergency situations shall be made available upon request of the Warden in the Institution and will be invoiced separately from the Contract at a cost of one third (1/3) of the per diem rate per sack lunch or the per meal rate per sack lunch. Food temperature requirements shall apply to sack lunches. Written documentation authorizing such meals signed by departmental staff will be required with any payment request.

3.6.3.3 Medical Diets

The Contractor shall provide meals for medical diets which must include any diet foods specified by the Department's Bureau of Contract Management and Monitoring. Medical diets should be served according to the recipes and menus in the Modified Diet Component. Medical diets are prescribed from a Department-approved list of medical diets by physicians, dentists, or clinical associates in each institution's medical unit. Snacks are considered part of the medical diet and are not billed separately. Ready to drink, liquid supplements, prescribed for additional nutrition, such as Ensure or Sustacal, will be provided by the Department's medical staff at the identified institutions.

3.6.3.4 Alternate (Meatless) Entrees

The Contractor shall provide alternate (meatless) entrées as required by the Master Menu. The alternate (meatless) entree is designed to provide meal options for inmates who choose to abstain from meats in their diets. Inmates shall be given a choice of the regular (with meat) or alternate (meatless) entrée. Inmates may choose one or the other, but not both. The vegan meal pattern, which is also part of the alternate entrée program, provides meal options for inmates who choose to avoid eating any animal products.

3.6.3.5 Staff and Official Visitor Meals

The Contractor shall ensure that meals for the facility's staff or official guests are provided for a price not to exceed \$1.00 per Master Menu meal. Upon request of the Department, enhanced meals (a

meal prepared separately from the master menu which may contain food items differing from the master menu) may be provided by written notification by the Contract Manager, at a mutually agreed-upon price. The basic master menu meal and the enhanced meal are paid for by the staff or guest and are not paid for by the Department. The Contractor shall ensure that inmates do not handle any money at any time. The Contractor shall maintain documentation for the number of these meals served. At a minimum, this will include sign-in sheets for the purpose of audit verification. These meals will not be included in the Contract monthly invoice. The Warden may, at times, authorize meals to be served without charge to official visitors and staff in accordance with Chapter 33-204.005, Florida Administrative Code. These meals shall be invoiced separately to the Department. Written documentations authorizing such meals signed by departmental staff will be required with any payment request.

3.6.3.6 Outside Government Agencies Meals

Upon thirty (30) days' written notification from the Contract Manager, the Contractor shall provide additional meals for entities under contract with the Department, such as county jails. Outside Government Agency meals shall be prepared in accordance with the Master Menu and shall be included separately on the Contractor's invoice to the Department at a cost of one third (1/3) of the per diem rate per meal.

3.6.4 Exceptions to Master Menu

The Contractor shall provide meals in accordance with the Master Menu and any additional menu components as required by the Department. Any unauthorized exception may be considered breach of contract. Exceptions may be approved due to extenuating circumstances (e.g., non-delivery of food items, spoilage, or equipment breakdown). Requests for exceptions shall be approved by the Department's Contract Manager on a daily basis until the problem is corrected.

3.7 Daily Inmate Count/Meal Counts

3.7.1 Price per Meals Served

Price per meal served will be based on inmate participation as described in this section. A Contractor furnished turnstile (see Attachment 6 for specifications), as approved by the Department, will be securely mounted at the entrance to each serving line. The turnstile will be set to "0" count prior to each meal period, verified and agreed by the contractor and Department staff. At the end of the meal period the number appearing on the turnstile will be verified and agreed by the contractor and Departmental staff and recorded on the Food Services Daily Audit Form (DC2-418). Inmate meals not served through the serving line will be verified and agreed by the contractor and departmental staff on a Department furnished form after each meal. Examples of non-line served meals are bag lunches, confinement meals, and infirmary and hospital meals.

3.8 Food Supplies

3.8.1 The Contractor shall be responsible for purchasing and receiving all food necessary for preparation of meals in accordance with the Master Menu to meet the needs of one hundred percent (100%) of all inmates as determined by the midnight census on each compound

3.8.2 The successful Contractor shall purchase inmate grown produce from the Department upon notification of availability from the Department's Farm and Edible Crops Program. Price will be determined by the Department based on fair market pricing. No single (inmate grown) produce may be utilized more than three (3) times per week. The Department will provide produce when seasonably available and in packing house quality. In the event the Contractor can document lower prices from other wholesale sources, the Department shall have the option of reducing the price of the produce for the Contractor, prior to the

Contractor purchasing from another source. The Contractor will be invoiced on a single monthly invoice for all produce purchased from the Department.

- 3.8.3 The Contractor shall be responsible for assuring that all food supplies are ordered and deliveries made in accordance with the delivery schedules and security procedures as established at the designated institution and/or facility. Each institution and/or facility requires advance notification of all deliveries.
- 3.8.4 The Department's Bureau of Contract Management and Monitoring will maintain a list of approved food items with specifications as well as a list of approved non-food items with specifications. No later than sixty (60) days after execution of the contract, the Contractor shall submit to the Department's Bureau of Contract Management and Monitoring a list of all items to be used in carrying out the provision of the food services contract, including specifications for all items listed.

3.9 Non-Food Supplies

- 3.9.1 The Contractor shall be responsible for providing the following items in quantities sufficient to ensure compliance with all minimum service requirements of this ITB:
 - a. All garbage containers and garbage bags used in food service operations
 - b. Hair restraints and all gloves
 - c. Single service plates, cups and eating utensils except in emergency situations or equipment breakdown. (The Contract Manager or designee will determine when an emergency situation exists.)
 - d. Hand washing soap
 - e. Dish soap and related products
 - f. Mops and brooms*
 - g. Office supplies
 - h. Paper towels
 - i. Lunch bags
 - j. Sandwich bags
 - k. Napkins
 - l. Towels, Cloth
 - m. Toilet Paper
 - n. Salt and pepper packets
 - o. Janitorial and cleaning supplies purchased and maintained in compliance with Chapter 9 of the departments Environmental Health and Safety Manual
 - p. All Aprons
 - q. Rubber boots
 - r. All pots and pans*
 - s. Mop buckets*
 - t. Service utensils*
 - u. Trays*
 - v. Tumblers*
 - w. Sporks (permanent wear)*

*Note: All pots, pans, trays, tumblers, service utensils, mops and brooms, and mop buckets to be purchased by the Contractor shall be approved by the Contract Manager or designee after a sample product is provided by the Contractor.

- 3.9.2 The Department will furnish the initial start-up of small wares at the rate of 100% of the inventory needed to provide food service to 100% of the population. The contractor will be responsible for providing replacements as specified in Section 3.9.1.
- 3.9.3 Pest control, for all areas assigned to the Contractor, will be provided/purchased by the Department in levels to be determined by the Contract Manager or designee.

3.10 Equipment, Work Space, and Administrative Support

- 3.10.1** The Department will allow the Contractor to utilize the Department's food service equipment currently in place at each kitchen. The Department will provide an inventory list of all Department-owned food service equipment to the Contractor upon execution of a contract resulting from this ITB. The Department will be responsible for maintenance, repair and replacement (including installation) of Department-owned equipment.
- 3.10.2** The Contractor shall be responsible for ensuring that equipment provided by the Department is operated and cleaned in strict accordance with the manufacturers' operating manuals. It is the Contractor's responsibility to have the operating manuals on hand at each kitchen. The Contractor shall adequately operate, clean and maintain the kitchen equipment to minimize any abuse to the equipment. In the event the Department determines that equipment has been damaged or abused due to the lack of adequate Contractor oversight or other negligence, the Contractor shall be liable for repair and/or replacement of the equipment.
- 3.10.3** At the Contractor's expense and upon written approval from the Contract Manager or designee, the Department will permit the Contractor to install its own additional food service equipment (in addition to the Department-owned items shown on the inventory list referenced in Section 3.9.1). Any additional equipment purchased and installed by the Contractor shall be owned and maintained by the Contractor, at the Contractor's expense, and shall be retained by the Contractor at Contract termination. Any additional equipment purchased, installed, repaired, replaced or modified by the Contractor shall meet or exceed the Department's standards for functionality, sanitation and security as determined by the Bureau of Contract Management and Monitoring. The Contractor shall obtain prior written authorization from the Contract Manager when installing, repairing or replacing any non-Department owned food service equipment.
- 3.10.4** The successful Contractor shall submit in writing, to the Institutional Warden or designee, all requests for repair of Department-owned equipment in a timely manner.
- 3.10.5** The Department will allow use of Department-owned equipment currently existing at each facility's warehouse, excluding forklifts, to assist the Contract with transport and storage of food service items. No new equipment will be purchased by the Department for the Contractor's use and the department will not repair department-owned equipment unless repairs are in the best interest of the Department. The Department will not provide any additional equipment for use in support of the Contract (e.g. carts or other transport equipment). Equipment purchased by the Contractor must meet Department security guidelines and shall be owned and maintained by the Contractor at the Contractor's expense.
- 3.10.6** The Department will maintain and repair the physical plant in areas assigned to the Contractor, including painting, and provide all utilities necessary for the performance of the food service operations, as determined by the Department. The Contractor shall operate the facility in an energy efficient manner.
- 3.10.7** The Department will allow the installation of phone lines with off-site access for the successful Contractor's use to allow computer connectivity, as approved by the Department's Office of Information technology, and voice phone service; however, these devices are prohibited for inmate usage. The Contractor shall be responsible for all costs associated with the telephone service. The Contractor shall be responsible for providing all Contractor program staff office supplies (other than furniture) including computers, software, printers, copy machines, and copy paper necessary for food service deliveries. If available, the Department will provide office space (amount to be determined by institution administration) and furniture for use by the Contractor in each Institution's kitchen area. The Department will not furnish services of support (e.g., support staff, secretarial, or clerical support) to the successful Contractor.

3.11 Swill Removal and Grease Traps Cleaning

The Contractor shall provide for the removal of swill and the cleaning of grease traps. This includes provision of any necessary containers for transport of swill from designated sites and the cleaning of all grease traps. Grease traps and

grease interceptors shall be inspected frequently and cleaned as often as necessary to retain grease waste. The materials removed in cleaning shall be removed from the premises for disposal and shall not be deposited in the plumbing system or sewage system. **The Contractor shall comply with applicable state and local regulations regarding the handling of swill removal and grease trap cleaning and pay for any required licenses and permits governing such work.** Contractor shall be liable for any penalties or fines associated with regulatory issues regarding swill removal and cleaning of grease traps. Pickup of swill shall be coordinated through the institutional and/or facility security.

3.12 Contractor Staffing Plan and Levels

The Department has established the minimum required staffing plan and levels for food service delivery in this ITB as set forth in Attachment 7 and institutional make-up as set forth in Attachment 2. The positions shall be full time positions that work 32-40 hours per week.

The Contractor shall have direct oversight, be responsible for and monitor the performance of all Contractor staff performing services under any resultant Contract. The Department will provide security for the Contractor's employees and agents at any one institution or facility consistent with the security provided at other Department facilities.

The Contractor shall ensure that staff providing services is appropriately trained, qualified and licensed, as specified in Section 3.13, Staff Qualifications.

Additionally, the Contractor's staff shall liaise with and maintain a good working relationship with Department staff and other contractors working with the Department. The Contractor shall seek and receive final approval from the institutional Warden before any staff associated with providing services at the institution is hired.

The Contractor shall provide staff to perform the services as described below:

3.12.1 Food Service Management Staff

The Contractor shall provide on-site management staff that shall be responsible for total provision of food service operations. Management staff shall be required to be on-site a minimum of five (5) days a week, eight (8) hours per day. The Contractor shall document the actual schedules worked (see Subsection 3.14) and maintain documentation at each institution. The two (2) remaining days of the week may be supervised by "swing" management staff or lead food service line staff with the authority to make operational decisions on the Contractor's behalf. Corporate support and site visitation shall also be provided to the extent necessary to achieve a successful operation.

3.12.2 Food Service Line Staff

- a. The Contractor shall provide food service line staffing, to provide oversight of the work performed by the inmates assigned to the food service area including preparation of meals, serving of meals, receipt of deliveries, and sanitation.
- b. The Contractor shall provide a lead food service line staff member to cover each weekend-shift who has knowledge of, and experience with, the Department's and Contractor's management policies and procedures. The staff person assigned to cover the weekend shift shall have accessibility to the Contractor's management and shall be authorized to make management decisions on behalf of the Contractor.

NOTE: The successful Contractor shall offer Department employees first option on any of the above-mentioned positions.

3.13 Staff Qualifications

The Contractor shall employ only Certified Food Managers as required by Rule 64E-11, Florida Administrative Code. The Department may grant an education/experience waiver if there are exceptional circumstances regarding a candidate being considered for employment.

3.13.1 Management Staff Minimum Qualifications:

All Management Staff shall possess the following:

- a. A bachelor's degree from an accredited college or university with a major course of study in hotel and restaurant management, institutional management, food and nutrition or food science and two years of supervising and/or overseeing food service operations.
- b. Experience in food service operations can substitute on a year-for-year basis for the required college education.
- c. Completion of a program of study from a vocational/technical school in a food service area can substitute for one year (30 semester or 45 quarter hours) of the required college education.
- d. General college coursework from an accredited institution can substitute on a year-for-year basis at the rate of 30 semester or 45 quarter hours for up to three years of the specialized degree requirement, provided such coursework includes at least three courses in one of the areas described above.
- e. Current Certification as a Certified Food Manager as required by Rule 64-E11, Florida Administrative Code.

3.13.2 Management Staff Knowledge, Skills and Abilities:

All management staff shall possess the following:

- a. Knowledge of the principles and practices of supervision and management.
- b. Knowledge of the principles and techniques of food service planning.
- c. Knowledge of nutritional content of food.
- d. Knowledge of food service management principles and techniques.
- e. Knowledge of food service safety and sanitation procedures.
- f. Ability to plan and direct a food service program including the purchasing, storing, preparation and serving of food at an institution.
- g. Ability to plan nutritional meals for large groups of people.
- h. Ability to utilize problem-solving techniques.
- i. Ability to develop various reports.
- j. Ability to assess budgetary needs.
- k. Ability to formulate policies and procedures.
- l. Ability to prioritize work load.
- m. Ability to supervise people.
- n. Ability to determine work priorities, assign work and ensure proper completion of work assignments.
- o. Ability to communicate effectively.
- p. Ability to establish and maintain effective working relationships with others.
- q. Ability to understand and apply applicable rules, regulations, policies and procedures.

3.13.3 Line Staff Minimum Qualifications:

All line staff shall possess the following:

- a. A High School Diploma or GED.
- b. Three years' experience in any type of commercial food service operations/delivery position.
- c. Completion of a program of study from a vocational/technical school in a food service area can substitute for one year of the required experience.

3.13.4 Line Staff Knowledge, Skills and Abilities:

All line staff shall possess the following:

- a. Knowledge of the equipment, procedures and techniques used in food service operations/delivery.
- b. Knowledge of basic arithmetic.
- c. Knowledge of food service safety and sanitary procedures.
- d. Ability to estimate food and supply requirements.
- e. Ability to perform basic arithmetical calculations.
- f. Ability to supervise people.
- g. Ability to determine work priorities, assign work, and ensure proper completion of work assignments.
- h. Ability to communicate effectively.
- i. Ability to establish and maintain effective working relationships with others.

3.14 Staffing Schedule and Vacancies

3.14.1 Staffing Schedule: The Contractor shall maintain the minimum staffing requirements as set forth on Attachment 7 and scheduled hours of coverage during the life of the contract and shall ensure that all Contractor management and line staff positions are filled for the entire scheduled work period(s), and that individuals are physically present at the work site as scheduled. At least one Certified Food Manager must be on duty at all times as required by Rule 64E-11, Florida Administrative Code. Any changes to the minimum staffing plan and schedule must be approved in writing by the Contract Manager.

3.14.2 Staff Vacancies/Absences: Under no circumstances should any Management Staff position remain unfilled for longer than forty-eight (48) hours or Line Staff position remain unfilled for 14 calendar days. If positions remain vacant for more than the time frames listed herein, the Contractor will be considered in breach of contract and liquidated damages shall be imposed as outlined in Section 3.25.

3.14.3 Staff Time Sheet Documentation

The Contractor shall establish use of a time clock or signed time sheets which will be used to substantiate an employee's actual on-site work. At no time shall one person work more than two contiguous shifts. Actual schedules worked and time logs documenting the hours worked each week by each Management and Line staff member, by each institution by kitchen, for the preceding year shall be maintained at the Institution and made available to the Contract Manager or designee upon request.

3.15 Staff Background/Criminal Record Checks

The Contractor's staff assigned to this Contract shall be subject, at the Department's discretion and expense, to a Florida Department of Law Enforcement (FDLE) Florida Crime Information Center/National Crime Information Center (FCIC/NCIC) background/criminal records check. This background check will be conducted by the Department and may occur or re-occur at any time during the Contract period. The Department has full discretion to require the Contractor to disqualify, prevent, or remove any staff from any work under the Contract. The Department is under no obligation to inform the Contractor of the records check findings or the criteria for disqualification or removal. In order to carry out this records check, the Contractor shall provide, upon request, the following data for any individual Contractor or subcontractor's staff assigned to the Contract: Full Name, Race, Gender, Date of Birth, Social Security Number, Driver's License Number and State of Issue. The Contractor shall not consider new employees to be on permanent status until a favorable report is received by the Department.

The Contractor shall ensure that the Contract Manager or designee is provided the information needed to have the NCIC/FCIC background check conducted prior to any new Contractor staff being hired or assigned to work under the Contract. The Contractor shall not employ any individual or assign any individual to work under the Contract, who has not had an NCIC/FCIC background check conducted.

No person who has been barred from any Department work release center or other facility shall provide services under this Contract at another Department facility.

The Contractor shall not permit any individual to provide services under this Contract who is under supervision or jurisdiction of any parole, probation or correctional authority. The objective of this provision is to ensure that no employee of the Contractor, under any such legal constraint, has contact with or access to any records of Department of Corrections' inmates sentenced to sites included under this Contract.

3.15.1 Utilization of E-Verify

As required by State of Florida Executive Order Number 11-116, the Contractor identified in this Contract is required to utilize the U.S. Department of Homeland Security's E-Verify system to verify employment eligibility of: all persons employed during the contract term by the Contractor to perform employment duties pursuant to the Contract, within Florida; and all persons, including subcontractors, assigned by the Contractor to perform work pursuant to the Contract with the Department. (<http://www.uscis.gov/e-verify>) Additionally, the Contractor shall include a provision in all subcontracts that requires all subcontractors to utilize the U.S. Department of Homeland Security's E-Verify system to verify employment eligibility of: all persons employed during the contract term by the Contractor to perform work or provide services pursuant to this Contract with the Department.

3.16 Contractor Staff Conduct

Food Service contractors and any vendors supplying goods or services to the Department are required to adhere to strict security guidelines regarding conduct within the institution. A list of general security guidelines for all vendors conducting business in an institution is incorporated herein as Attachment 3. Contractor's staff shall comply with these guidelines at all times while on Department property.

Contractor staff shall be subject to searches of their person or vehicle or searches of equipment and/or products at any time.

3.16.1 When providing services to the inmate population or in a correctional setting, the Contractor's staff on-site shall adhere to the standards of conduct prescribed in Rule 33-208, Florida Administrative Code, and as prescribed in the Department's personnel policy and procedure guidelines, particularly rules of conduct, employee uniform and clothing requirements (as applicable), security procedures, and any other applicable rules, regulations, policies and procedures of the Department.

In addition, the Contractor shall ensure that all staff adheres to the following requirements:

3.16.1.1 The Contractor's staff shall not display favoritism to, or preferential treatment of, one inmate or group of inmates over another.

3.16.1.2 The Contractor's staff shall not deal with any inmate except in a relationship that supports services under this Contract. Specifically, staff members must never accept for themselves or any member of their family, any personal (tangible or intangible) gift, favor, or service from an inmate or an inmate's family or close associate, no matter how trivial the gift or service may seem. The Contractor shall report to the Contract Manager or designee any violations or attempted violation of these restrictions. In addition, no staff member shall give any gifts, favors or services to inmates, their family or close associates.

3.16.1.3 The Contractor's staff shall not enter into any business relationship with inmates or their families (example- selling, buying or trading personal property), or personally employ them in any capacity.

- 3.16.1.4 The Contractor's staff shall not have outside contact (other than incidental contact) with an inmate being served or their family or close associates, except for those activities that are to be rendered under the Contract.
- 3.16.1.5 The Contractor's staff shall not engage in any conduct which is criminal in nature or which would bring discredit upon the Contractor or the State. In providing services pursuant to this Contract, the Contractor shall ensure that its employees avoid both misconduct and the appearance of misconduct.
- 3.16.1.6 At no time shall any Contractor's employee while delivering services under this Contract, wear clothing that resembles or could reasonably be mistaken for an inmate's uniform or correctional officer's uniform or a uniform that bears the logo, other identifying words, or symbols of any law enforcement or correctional Department or agency.
- 3.16.1.7 The Contractor shall NOT provide individuals possessing "temporary work visas" to fill positions under this scope of service.
- 3.16.1.8 All contractor/subcontractor staff providing services under the Contract shall have the ability to understand and speak English to allow for effective communication between Contractor staff and Department staff and inmates.
- 3.16.1.9 The Contractor shall provide their employees with a copy of these standards of employee conduct and document receipt of such notification in the employee's personnel file.
- 3.16.1.10 Any violation or attempted violation of the restrictions referred to in this section regarding employee conduct shall be reported by phone and in writing to the Contract Manager or their designee, including proposed action to be taken by the Contractor. Any failure to report a violation or take appropriate disciplinary action against the offending party or parties shall subject the Contractor to appropriate action, up to and including termination of this Contract.
- 3.16.1.11 The Contractor shall report any incident described above, or requiring investigation by the Contractor, in writing, to the Contract Manager or their designee within twenty-four (24) hours, of the Contractor's knowledge of the incident.

3.16.2 TB Screening/Testing

The Contractor shall ensure that Contractor's staff that performs their duties in institutions under this Contract are screened and/or tested for tuberculosis prior to the start of service delivery, as appropriate, and screened/tested annually thereafter, as required by Department Procedure 401.015, Employee Tuberculosis Screening and Control Program. The Contractor shall provide the institutional Senior Registered Nurse Supervisor with proof of testing prior to the start of service delivery by the staff member and annually thereafter. The Contractor shall be responsible for obtaining the TB screening/testing. The Contractor shall bear all costs associated with the TB screening/testing for their staff or subcontractor staff.

3.17 Contractor Staff Training and Education

- 3.17.1 The Contractor shall ensure that all Contractor staff is trained in food handling and sanitation on a yearly basis. This training shall be documented. The Contractor shall ensure that Contractor's staff is familiar with applicable Department policies and procedures, rules and regulations.
- 3.17.2 The Contractor's on-site Food Service Manager may be required to attend Department Management meetings held at each institution (including Department requested Food Service Director's meetings).
- 3.17.3 The Contractor shall be responsible for payment of the Contractor's staff's salaries, benefits, and other expenses, while attending any Department-required training and/or meeting.

3.18 Inmate Labor

The Contractor shall use inmate labor, provided by the Department, to assist the Contractor in the delivery of food service operations as described below. The Contractor shall be responsible for training inmates in the proper methods of food handling and of equipment operation. Inmates will not be considered employees of the Contractor for any purposes except as defined in Rule 64E-11, Florida Administrative Code.

3.18.1 Inmate Labor for Food Service

The Department will select and provide sufficient inmate labor for food preparation, serving, sanitation and other activities that the Contractor determines can be appropriately handled by inmate labor for all meals, with the exception of periods of lock down, strikes, or other emergencies. The actual number of inmates used shall be agreed upon by the Warden and Contractor and reviewed or revised as necessary. The Contractor may request the Warden to remove inmate staff from assignment to food service. (NOTE: Departmental policy requires that no inmate be assigned to any position that requires them to supervise another inmate.)

3.18.2 Inmate Labor for Receiving/Warehousing

The Department will provide inmates to unload and receive food products shipped to the identified institutional warehouse and/or kitchen. Contractor's staff is responsible for proper receipt and inspection.

3.19 Reporting Requirements

3.19.1 Monthly Summary Recap of Meals Served Reporting

A monthly summary report of meals served shall be completed and signed by department staff and approved by the contractor's representative. The contractor shall submit this report to the Contract Manager as supporting documentation to the monthly invoice.

This report shall provide, by institution, the number of meals served per day for each meal (breakfast, lunch and dinner) and the type of meal served (i.e. main menu, diet, sack lunch, etc...)

3.19.2 Monthly Inmate Evaluations

The Contractor shall conduct monthly evaluations of inmates by the tenth (10th) day of each month on forms provided by the Department. These evaluations shall be submitted to the Classification Section at the designated institution.

3.19.3 Inmate Disciplinary Reporting

In the event of rule violations by inmates working with the Contractor, the Contractor shall document the incident on specified Department provided forms and notify security personnel at the institution. Copies of all documentation should be submitted to the Control Room at each institution. Security personnel will then be responsible for taking the necessary steps for disciplinary action.

3.19.4 Additional/AdHoc Reporting

The Department reserves the right to require additional reports, adhoc reports, information pertaining to Contract compliance, or other reports or information that may be required to respond to grievances, inquiries, complaints and other questions raised by inmates or other parties. The Contractor shall submit the report or information in not less than seventy-two (72) hours after receipt of the request. When time is of the essence,

the Contractor will make every effort to answer the request as soon as possible so that the Department can timely respond to the authority or party making the request.

3.20 Records and Documentation

The Contractor may furnish all information required by the Contract and by Federal and State law using the Contractor's data management software, equipment and services at the Contractor's expense.

The Contractor shall maintain complete and accurate record keeping and documentation on-site as required by the Department and the terms of this Contract. Copies of all records and documents shall be made available for the Department upon request. All copying necessary for payment purposes or to meet other terms of this Contract shall be at the Contractor's expense. All invoices and documentation must be clear and legible for audit purposes. All documents must be retained by the Contractor at the institution during the duration of this Contract and must also meet record requirements outlined in Section 7.10.

Any records not available at the time of an audit will be deemed unavailable for audit purposes and the Contractor will be considered in violation of Section 7.10. Violations will be noted and forwarded to the Inspector General for review.

Upon termination of the Contract, all documents, pertaining to the Contract, must be retained by the Contractor at the Contractor's primary place of business for a period of five (5) years. The Department shall be notified in writing of the location of the Contractor's primary place of business and of any changes thereto during the five-year period. In addition, the Department shall be notified, in writing, of the date the Contractor will be vacating the institution and shall be allowed to inspect all records and documentation before removal from the institutional site. The following is a list of records and documents that shall be maintained by the Contractor as specified below:

- 3.20.1** Department-approved production sheets with HACCP (Hazard Analysis and Critical Control Points) information filled out completely on a per meal basis.
- 3.20.2** Weekly inventory logs showing the perpetual inventory maintained weekly on all food products in the kitchen with inventory counted by contractor staff at the beginning and end of each calendar month. Inventory records must indicate all receipts for purchases and/or transfers, disbursements and spoilage.
- 3.20.3** The Contractor shall maintain documentation of the actual Master Menu served, on a monthly basis, with identification of any menu item changes for the previous month and any substitutions. This documentation shall be completed on Department-approved production forms and maintained by the contractor at the institution in an accessible area. Such documentation will be reviewed by the Bureau of Contract Management and Monitoring staff during routine site visits.
- 3.20.4** Diet receipts, signed by inmates and staff, indicating receipt of therapeutic diets.
- 3.20.5** All documentation of food products and supplies received at the facility indicating cost, quantity, vendor and original invoice number.
- 3.20.6** All records and documents indicating the total meal count with all back-up documents.
- 3.20.7** All records and documents indicating the number of employees and hours worked by each employee each week.
- 3.20.8** All County Health Department inspection reports.
- 3.20.9** A copy of any and all additional inspection reports conducted by any other entity, including the Department.
- 3.20.10** Any and all forms, reports, or documentation the Department decides are necessary to manage a food service operation or to facilitate the monitoring of the food service Contract.

3.20.11 All records and documents related to Contractor Staff Training and Inmate training on proper food handling, sanitation and equipment operation.

3.21 Inspections

Department staff or personnel, as assigned by the Bureau of Contract Management and Monitoring may, at any time, inspect any aspect of the Contractor's food service operations, including, but not limited to, the food or meals, the food storage areas, food preparation and serving areas. In addition, at any time, the Department may evaluate meals for caloric values, minimum dietary reference intakes and presentation, and may taste test food products for quality and reject all foods that fail to meet Department standards. By execution of a contract resulting from this ITB, the Contractor specifically acknowledges and agrees to the foregoing.

The Contractor further agrees to allow the Department access to, and the right of reproduction of, all documents, papers, letters, or other materials made or received by the Contractor in conjunction with this Contract. The Department shall not reproduce proprietary information, as defined by law, however, the Department shall have reasonable access to this information and the information shall be retained by the Contractor in accordance with applicable record and documentation requirements. It is expressly understood and agreed that the Contractor's refusal to comply with this provision shall constitute a breach of contract.

3.22 Invoice Auditing

Department staff will audit contractor invoices with supporting documentation, as determined by the Department. Each invoice will be audited to ensure that inventory and production records support that meals were prepared in accordance with Master Menu requirements. Food to feed 100% of the midnight count shall be available at all times or the Contractor may be deemed to have failed the Performance Outcome and Standard stated in Section 3.23.1 and shall be liable for liquidated damages as outlined in Section 3.25 of this Contract.

3.23 Performance Measures

The Contractor shall clearly demonstrate its willingness to be held accountable for the achievement of certain performance measures in successfully delivering services under this Contract. Therefore, the Department has developed the below Performance Measure categories which shall be used to measure Contractor's performance and delivery of services. Note: the Contractor shall comply with all contract terms and conditions upon execution of contract and the Department may monitor each site beginning the second month after implementation of services at that site to ensure that contract requirements are being met. **The Department reserves the right to add/delete performance measures as needed to ensure the adequate delivery of services.**

- 1) Performance Outcomes and Standards; and
- 2) Other Contract Requirements.

A description of each of the Performance Measure categories is provided below:

3.23.1 Performance Outcomes and Standards

Listed below are the key Performance Outcomes and Standards deemed most crucial to the success of the overall desired service delivery. The Contractor shall ensure that the stated performance outcomes and standards (level of achievement) are met. Performance shall be measured per facility as indicated, beginning the second month after which service has been fully implemented.

1. **Outcome: Master Menu Compliance** - One hundred percent (100%) of all meals served shall be in compliance with the master menu and recipes.

Measure: The total number of meals with substitutions in the month shall be divided by the total number of meals served for that monthly period. All substitutions must be documented on the menu "as

served" and must be made from the approved list of substitutions contained in the Master Menu Manual. This shall be measured on a monthly basis at each kitchen.

Standard: Ninety percent (90%) of meals served each month shall be served in compliance with the master menu and be substitution free.

2. **Outcome: Food Supplies Inventory** - The Contractor shall maintain food inventory sufficient to prepare meals in accordance with the Master Menu for one hundred percent (100%) of all inmates (as determined by the midnight census) at each institutional site.

Measure: Audits of monthly food purchase invoices shall demonstrate sufficient quantities of food supplies are available at each institution. This will be measured on a monthly basis at each institution.

Standard: Ninety eight percent (98%) of the required food inventory shall be maintained.

By execution of this Contract the Contractor hereby acknowledges and agrees that its performance under the Contract shall meet the standards set forth above. Any failure by the Contractor to achieve any outcome and standard identified above may result in assessment of Liquidated Damages as provided in Section 3.25. Any such assessment and/or subsequent payment thereof shall not affect the Contractor's obligation to provide services as required by this Contract.

3.23.2 Other Contract Requirements

Outcome: The Contractor shall meet the following requirements at each institutional site one hundred percent (100%) of the time.

- 1) Compliance with Final Implementation Plan and Transition Date Schedule;
- 2) Maintenance of ACA Accreditation for food service delivery;
- 3) Daily staff appearance on-site to prepare, serve, and clean-up food at each specified meal time;
- 4) Timely service of meals without delay in line;
- 5) Occupancy of contractor staff positions in accordance with the approved contractor's staffing plan at each institution;
- 6) Timely Submittal of Corrective Action Plans (when applicable);
- 7) Compliance with any other Term or Condition of the Contract involving delivery of services not otherwise listed above; and

Measure: The Department will monitor the Contractor's performance to determine compliance with other contract requirements **at each facility**.

Standard: For Items #1 – #7 above, the Contractor shall achieve 100% compliance. Failure to comply with items #1 - #7 100% of the time will result in the imposition of liquidated damages as indicated in Section 3.25.2. For any Other Terms and Conditions of the Contract, the Contractor shall achieve 100% compliance. If the Contractor fails to achieve 100% compliance, the procedure stated in Section 3.24.2 shall apply. (i.e. timely submission of a responsive correction action plan and correction of all deficiencies). Liquidated damages shall apply, as applicable, as indicated in Section 3.25.2.

3.24 Monitoring Methodology

3.24.1 Monitoring Performance Outcomes and Standards

The Department's Contract Manager or designee will monitor the Contractor's service delivery monthly to determine if the Contractor has achieved the required level of performance for each Performance Outcome and Standard identified in Section 3.23.1. Performance Measures shall be assessed as specified beginning the second month after services have been implemented.

If the Department determines that the Contractor has failed a Performance Outcome and Standard, Contractor will be sent a formal contract communication in accordance with Section 3.3. Note: The Contractor shall correct all identified non-compliant service delivery related to failure to meet the Performance Outcomes and Standards identified in Section 3.23.1, however, this shall not negate the fact that a performance outcome and standard has not been met and that liquidated damages will be imposed.

3.24.2 Monitoring Other Contract Requirements

Monitoring for Other Contract Requirements, identified in Section 3.23.2 shall be conducted as determined necessary but no less than quarterly. (A Contract Monitoring tool will be developed by the Department's Bureau of Contract Management and Monitoring in accordance with the requirements in the resultant contract.) The monitoring tool will be utilized in review of Contractor's performance. Such monitoring may include, but is not limited to, both announced and unannounced site visits.

The Department's Contract Manager or designee will provide an oral exit report at termination of the monitoring visits and a written monitoring report to the Contractor within three weeks of the monitoring. Non-compliance issues identified by the Contract Manager or designee will be identified in detail to provide opportunity for correction, where feasible.

Within ten (10) days of receipt of the Department's monitoring report, (which may be transmitted by e-mail), the Contractor shall provide a formal Corrective Action Plan (CAP) to the Contract Manager or designee (e-mail acceptable) in response to all noted deficiencies to include responsible individuals and required time frames for achieving compliance. Such time frames for compliance shall not exceed thirty (30) days, from the date of receipt of the monitoring report by the Contractor, unless specifically agreed upon in writing by the Department. CAPs that do not contain all information required shall be rejected by the Department in writing (e-mail acceptable). The Contractor shall have five (5) days from the receipt of the written rejection to submit a revised CAP. This will not increase the time for compliance, and correction of the noted deficiencies. All noted deficiencies shall be corrected within the time frames identified or the Department will impose liquidated damages in accordance with Section 3.25. The Contract Manager or designee, Contract Monitoring Team or other designated Department staff may conduct follow-up monitoring reviews at any time to determine compliance based upon the submitted CAP.

The Department reserves the right for any Department staff to make scheduled or unscheduled, announced or unannounced monitoring visits.

During follow-up monitoring, any noted failure by the Contractor to correct deficiencies for Other Contract Requirement violations identified in the monitoring report within the time frame specified in the CAP shall result in application of Liquidated Damages as specified in Section 3.25.

3.24.3 Instances of Failure

Failure to meet either the Performance Outcomes and Standards or Other Contract Requirements or to correct deficiencies may, in addition to imposition of liquidated damages, result in determination of Breach of Contract, and/or termination of the Contract in accordance with Section 7.2, Termination.

3.25 Liquidated Damages

By executing a Contract that results from this ITB, the Contractor expressly agrees to the imposition of liquidated damages.

The Department's Contract Manager will provide written notice to the Contractor's Representative of all liquidated damages assessed accompanied by detail sufficient for justification of assessment. The Contractor shall forward a cashier's check or money order to the Contract Manager or designee, payable to the Department in the appropriate

amount, within ten (10) days of receipt of a written notice of demand for damages due or may issue a credit in the amount of the liquidated damages due on the next monthly invoice following imposition of damages. Documentation of the amount of damages imposed shall be included with the invoice, if issuing credit.

3.25.1 Liquidated Damages for Failure to meet Performance Outcomes and Standards

The Contractor hereby acknowledges and agrees that its performance under the Contract shall meet the Performance Outcomes and Standards set forth in Section 3.23.1. If the Contractor fails to meet Performance Outcomes and Standards #1, or #2, the Department will impose Liquidated Damages in the amount of \$1,000.00 per standard per month per institutional site.

3.25.2 Liquidated Damages for Other Contract Requirements

For failure to meet Other Contract Requirements, set forth in subsection 3.23.2, liquidated damages will be imposed as follows:

a) Failure to Meet Implementation/Transition Schedule

In the event the Contractor fails to complete implementation of food service delivery at each facility listed in Attachment 2 within the time frames established on the Final Transition and Implementation Schedule, liquidated damages in the amount of ten thousand dollars (\$10,000.00) per facility for which services were not implemented by the date agreed to shall be assessed. Continued failure to complete transition, implementation and installation of services will result in the imposition of damages in the amount of five thousand dollars (\$5,000.00) for each additional day or part thereof that the institution remains non-operational, until such time as services are fully implemented and fully operational.

b) Failure to Maintain ACA Accreditation:

In the event an institution incurs loss of American Correctional Association (ACA) accreditation due to food service operations, liquidated damages in the amount of twenty-five thousand dollars (\$25,000) per institution per loss of accreditation shall be imposed.

c) Contractor Staff Failure to Appear for Meal Preparation

In the event the Contractor's staff fails to timely appear on site to prepare, serve and/or clean-up at each specified meal time as specified in Section 3.6.1, and the meal service, meal time, and/or cleanliness of the kitchen is affected, liquidated damages in the amount of two thousand five hundred dollars (\$2,500.00) per meal time shall be imposed.

d) Delivery of Meals without Delay in Line

In the event the Contractor's staff fails to deliver meals consecutively with no line delay between inmates exceeding fifteen minutes as specified in Section 3.6.1, liquidated damages in the amount of two hundred fifty dollars (\$250.00) per meal period shall be imposed.

e) Vacancy of Required Food Service Management or Line Staff Position

In the event a Contractor's management staff position is not permanently filled within forty-eight hours from the time the position becomes vacant, or a Contractor's line staff position is not permanently filled within fourteen calendar days, from the time the position becomes vacant as specified in Section 3.14.2 and as documented in Section 3.14.3, liquidated damages shall be imposed in the amount of two hundred fifty dollars (\$250.00) per day per staff position for each calendar day past the above-listed time frames the specified position remains vacant.

f) Failure to Timely Submit Corrective Action Plan (CAP)

In the event that the Contractor receives a Monitoring Report requiring a Corrective Action Plan (CAP) to be submitted and fails to submit a CAP responding to each specified written deficiency within the time frames specified in Section 3.24.2, liquidated damages in the amount of one thousand dollars (\$1,000.00) per day for each day the CAP is untimely submitted will be imposed.

g) Failure to Timely Correct Identified Contract Deficiencies

In the event the Contractor fails to correct deficiencies noted in the Department's monitoring report within the time frames indicated in the CAP, liquidated damages in the amount of one thousand dollars (\$1,000.00) per day per institutional site where deficiencies have not been timely corrected shall be imposed until such time as all noted deficiencies are corrected.

3.26 Deliverables

The following services or service tasks are identified as deliverables for the purposes of this ITB:

- 1) Meal Service as described in this ITB;
- 2) Products on the Master Menu List as described in this ITB;
- 3) Daily Inmate/Meal Counts as described in this ITB;
- 4) Supplies as described in this ITB;
- 5) Staffing and appropriate training and supervision of Inmate Labor as described in this ITB;
- 6) Reports as required in Section 3.19, Reporting Requirements; and,
- 7) Compliance with contract terms and conditions.

3.27 Contract Modifications

During the term of the Contract, the Department reserves the right to add or delete product and add or delete institutions/facilities upon thirty (30) calendar day's written notice. This may be accomplished by letter from the Contract Manager or designee and does not require a formal contract amendment. The parties agree to renegotiate this Contract to comply with any applicable current or revised state laws, regulations, or increases/decreases in allocations making any changes in the Contract necessary, shall be accomplished through a formal written contract amendment signed by both parties.

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SECTION 4 – PROCUREMENT RULES AND INFORMATION

4.1 Procurement Manager

Questions related to the procurement should be addressed to:

Julyn Hussey, Procurement Manager
Florida Department of Corrections
Bureau of Procurement and Supply
501 South Calhoun Street
Tallahassee, Florida 32399-2500
Fax: (850) 488-7189
E-mail: hussey.julyn@mail.dc.stsate.fl.us

Pursuant to Section 287.057(23), Florida Statutes, Bidders to this solicitation or persons acting on their behalf may not contact, between the release of the solicitation and the end of the seventy-two (72) hour period following the agency posting the Notice of Agency Decision, excluding Saturdays, Sundays, and state holidays, any employee or officer of the executive or legislative branch concerning any aspect of this solicitation, except in writing to the Procurement Manager or as provided in the solicitation documents. Violation of this provision may be grounds for rejecting a Bid.

Questions will only be accepted if submitted in writing and received on or before the date and time specified in the Timeline (Section 2.4). Responses to questions will be posted on the Vendor Bid System (VBS) on or about the date referenced in the Timeline (Section 2.4).

Any person requiring special accommodation in responding to this solicitation because of a disability should call the Bureau of Procurement and Supply at 850-717-3700 at least five (5) days prior to any pre-solicitation conference, solicitation opening or meeting. If you are hearing or speech impaired, please contact the Bureau of Procurement and Supply by using the Florida Relay Service, which can be reached at 1-800-955-8771 (TDD).

Interested parties are encouraged to carefully review all the materials contained herein and prepare Bids accordingly.

4.2 Procurement Rules

4.2.1 Submission of Bids

Each bid response shall be prepared simply and economically, providing a straightforward, concise delineation of the Bidder's capabilities to satisfy the requirements of this ITB. Elaborate bindings, colored displays, and promotional material are not desired. Emphasis in each bid must be on completeness and clarity of content. In order to expedite the review of bids, it is essential that Bidders follow the format and instructions contained in Section 5, Bid Submission Requirements.

Bids are due at the time and date specified in the Timeline (Section 2.4) at the Department of Corrections, and shall be submitted to the attention of the Procurement Manager at the address listed in Section 4.1. Bid responses received late (after Bid opening date and time) will not be considered and no modification by the Bidder of submitted bids will be allowed, unless the Department has made a request for additional information. No Department staff will be held responsible for the inadvertent opening of a bid response not properly sealed, addressed or identified.

4.2.2 Bid Opening

Bids are due and will be publicly opened at the time and date specified in the Timeline (Section 2.4). The public opening will take place at the Department of Corrections, Bureau of Procurement and Supply, 501 South Calhoun Street, Tallahassee, Florida 32399-2500. The name of all Bidders submitting bids will be made available to interested parties upon written request to the Procurement Manager listed in Section 4.1.

4.2.3 Costs of Preparing Bids

The Department is not liable for any costs incurred by a Bidder in preparing and responding to this ITB, including oral presentations, if applicable.

4.2.4 Disposal of Bids

All bids become the property of the State of Florida and will be a matter of public record subject to the provisions of Chapter 119, Florida Statutes. Selection or rejection of the bid will not affect this right. Should the Department reject all bids and issue a re-bid, information submitted in response to this ITB will become a matter of public record as indicated in Section 119.071(1)(b)3, Florida Statutes.

4.2.5 Bid Rules for Withdrawal

A submitted bid may be withdrawn by submitting a written request for its withdrawal to the Department, signed by an authorized representative of the Bidder, within seventy-two (72) hours after the bid submission date indicated in the Timeline. Any submitted bid shall remain a valid bid for three hundred and sixty five (365) days after the bid submission date.

4.2.6 Rejection of Bids

The Department shall also reject any or all bids containing material deviations. In determining whether a bid contains a material deviation or a minor irregularity, the Department will use the definitions of those terms set forth in Section 1.

4.2.7 Site Visit/Pre-Bidder's Conference

All interested bidders may attend a non-mandatory site visit and pre-bidder's conference to become familiar with the facility/work site that may in any manner affect the service to be provided. The purpose of the conference is to discuss the contents of this ITB and to accept verbal questions. During the Pre-Bid Conference/Site Visit the Department will accept verbal questions and will make a reasonable effort to provide answers at that time. Impromptu questions will be permitted and spontaneous answers provided; however, parties should clearly understand that the Department will issue a written response **ONLY** to those verbal questions subsequently submitted in writing in accordance with Section 4.2.8. This written response will be provided to all prospective Bidders via posting on the VBS as an addendum to the ITB and shall be considered the Department's official answer or position as to the question or issue posed. **Verbal answers and discussions shall not be binding upon the Department.**

Attendance at this event is highly recommended. The Department has set a specific date for the site visit and pre-bid conference according to the schedule below. The Department will not allow visits for individual vendors at any other time.

All attendees must provide the name(s) of persons attending the Site Visit and Pre-Bid Conference **for a background check to be conducted, at least three (3) business days prior to the event. This information should be submitted to OCMM-Calendar@mail.dc.state.fl.us** and must include the following information for all attendees: **Attendee's Full Name, Social Security Number, Date of Birth and Driver's License Number.**

Persons present as attendees must be the same individuals for whom the above information was provided and must be approved by the Department prior to the site visit. For security reasons, admittance of any person not previously approved is at the sole discretion of the Warden. Vendors who did not seek prior approval may be denied access. Attendees must present photo identification at the site and all Department security procedures shall apply.

Schedule of Site Visit and Pre-Bid Conference

Thursday, December 12, 2013 at 2:30 p.m. ET
Jefferson Correctional Institution (Administration Building)
1050 Big Joe Road,
Monticello, Florida 32344-0430.

4.2.8 Bid Inquiries

4.2.8.1 Any inquiries from Bidders concerning this ITB shall be **submitted in writing**, identifying the submitter, to the Procurement Manager identified in Section 4.1 of this ITB and must be received no later than the date and time specified in the Timeline (Section 2.4). **E-mail inquiries are preferred.** It is the responsibility of the Bidder to confirm receipt of inquiries.

4.2.8.2 Interested parties should examine this ITB to determine if the Department's requirements are clearly stated. If there are any requirements that restrict competition, Bidders may request, in writing, to the Department that the requirements be changed. The Bidder who requests changes to the Department's requirements must identify and describe their difficulty in meeting the Department's requirements, must provide detailed justification for a change, and must recommend changes to the requirements. Requests for changes to this ITB must be received by the Department no later than the date shown for written inquires in the Timeline (Section 2.4). A Bidder's failure to request changes by the date described above shall be considered to constitute Bidder's acceptance of Department's requirements. The Department shall determine what changes to this ITB would be acceptable to the Department. If required, the Department will issue an addendum reflecting the acceptable changes to this ITB, which shall be posted on VBS, in order that all Bidders shall be given the opportunity of proposing to the same requirements.

4.2.9 Addenda

If the Department deems it necessary to supplement, modify or interpret any portion of the solicitation or exhibits, addenda and materials relative to this procurement, it will be posted on the Florida Vendor Bid System at http://vbs.dms.state.fl.us/vbs/main_menu. **Interested parties are responsible for monitoring this site for new or changing information or clarifications relative to this procurement.**

4.2.10 Price/Cost Discussions

Any discussion by a bidder with any employee or authorized representative of the Department involving cost or price information, occurring prior to posting of the Notice of Agency Decision, will result in rejection of said bidder's response.

4.2.11 Verbal Instructions

No negotiations, decisions, or actions shall be initiated or executed by the bidder as a result of any discussions with any Department employee. Only those communications which are in writing from the Department's staff identified in Section 4.1 of this ITB shall be considered a duly authorized expression on behalf of the Department. Only communications from the bidder's representative which are in writing and signed will be recognized by the Department as duly authorized expressions on behalf of the bidder.

4.2.12 No Prior Involvement and Conflicts of Interest

The bidder shall not compensate in any manner, directly or indirectly, any officer, agent or employee of the Department for any act or service which he/she may do, or perform for, or on behalf of, any officer, agent, or employee of the bidder. No officer, agent, or employee of the Department shall have any interest, directly or indirectly, in any Contract or purchase made, or authorized to be made, by anyone for, or on behalf of, the Department.

The Proposer shall have no interest and shall not acquire any interest that shall conflict in any manner or degree with the performance of the services required under this ITB.

4.2.13 State Licensing Requirements

All entities defined under Chapters 607, 617 or 620, Florida Statutes, seeking to do business with the Department shall be on file and in good standing with the State of Florida's Department of State.

4.2.14 MyFloridaMarketPlace Vendor Registration

All vendors doing business with the State of Florida for the sale of commodities or contractual services as defined in Section 287.012, F.S., shall register on the MyFloridaMarketPlace system, unless exempted under subsection 60A-1.030, F.A.C. State agencies shall not enter into an agreement for the sale of commodities or contractual services as defined in Section 287.012 F.S. with any vendor not registered in the MyFloridaMarketplace system, unless exempted by rule. A vendor not currently registered in the MyFloridaMarketPlace system shall do so within 5 days after posting of intent to award.

Registration may be completed at:

http://dms.myflorida.com/business_operations/state_purchasing/myflorida_marketplace/vendors. Those lacking internet access may request assistance from MyFloridaMarketPlace Customer Service at 866-352-3776 or from State Purchasing, 4050 Esplanade Drive, Suite 300, Tallahassee, Florida 32399.

4.2.15 Unauthorized Employment of Alien Workers

The Department does not intend to award publicly funded Contracts to those entities or affiliates who knowingly employ unauthorized alien workers, constituting a violation of the employment provisions as determined pursuant to Section 274A of the Immigration and Nationality Act.

4.2.16 Confidential, Proprietary, or Trade Secret Material

The Department takes its public records responsibilities as provided under chapter 119, Florida Statutes and Article I, Section 24 of the Florida Constitution, very seriously. If the Bidder considers any portion of the documents, data or records submitted in response to this solicitation to be confidential, trade secret or otherwise not subject to disclosure pursuant to chapter 119, Florida Statutes, the Florida Constitution or other authority, the Bidder must also simultaneously provide the Department with a separate redacted copy of its response and briefly describe in writing the grounds for claiming exemption from the public records law, including the specific statutory citation for such exemption. This redacted copy shall contain the Department's solicitation name, number, and the name of the Bidder on the cover, and shall be clearly titled "Redacted Copy." The redacted copy shall be provided to the Department at the same time the Bidder submits its response to the solicitation and must only exclude or redact those exact portions which are claimed confidential, proprietary, or trade secret. The Bidder shall be responsible for defending its determination that the redacted portions of its response are confidential, trade secret or otherwise not subject to disclosure. Further, the Bidder shall protect, defend, and indemnify the Department for any and all claims arising from or relating to Bidder's determination that the redacted portions of its response are confidential, proprietary, trade secret or otherwise not subject to disclosure. If the Bidder fails to submit a Redacted Copy with its response, the Department is authorized to produce the entire documents, data or records submitted by the Bidder in answer to a public records request for these records. In no event shall the Department, or any of its employees or agents, be liable for disclosing, or otherwise failing to protect, the confidentiality of information submitted in response to this solicitation.

4.2.17 Disclosure of Bid Submittal Contents

All documentation produced as part of this solicitation shall become the exclusive property of the Department and may not be removed by the Bidder or its agents. All replies shall become the property of the Department and shall not be returned to the Bidder. The Department shall have the right to use any or

all ideas or adaptations of the ideas presented in any reply. Selection or rejection of a bid shall not affect this right.

4.2.18 Scrutinized Companies List

Pursuant to Section 287.135, F.S., an entity or affiliate who has been placed on either the Scrutinized Companies with Activities in Sudan List or the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List is ineligible for and may not bid on, submit a Bid for, or enter into or renew a contract with an agency or local governmental entity for goods or services of \$1 million or more.

In executing a contract resulting from this ITB and any subsequent renewals, the Contractor certifies that it is not listed on either the Scrutinized Companies with Activities in Sudan List or the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List, created pursuant to Section 215.473, Florida Statutes. Pursuant to Section 287.135(5), F.S., the Contractor agrees the Department may immediately terminate this contract for cause if the Contractor is found to have submitted a false certification or if Contractor is placed on the Scrutinized Companies with Activities in Sudan List or the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List during the term of the contract. Additionally, the submission of a false certification may subject company to civil penalties, attorney's fees, and/or costs.

4.3 Posting of Notice of Agency Decision

In regard to any competitive solicitation, the Department shall post a public notice of agency action when the Department has made a decision to award a contract, reject all bids or proposals, or to cancel or withdraw the solicitation.

The Notice of Agency Decision will be posted on or about the date shown in the Timeline (Section 2.4) and will remain posted for a period of seventy-two (72) hours (Saturdays, Sundays and State holidays shall be excluded in the computation of the seventy-two (72) hour time period). Posting will be made available on the Florida Vendor Bid System at http://vbs.dms.state.fl.us/vbs/main_menu.

4.4 Filing of Notices of Intent to Protest or Formal Protests

Pursuant to Section 120.57(3), Florida Statutes and PUR 1001 #20, a Notice of Protest or Formal Written Protest shall be filed with the Clerk of the Agency, located at 501 South Calhoun Street, Tallahassee, Florida 32399-2500, (telephone 850-717-3605). Protest related documents may be hand-delivered to the Clerk of the Agency by entering the Calhoun Street entrance and asking the person at the Security Desk to call the agency clerk to come down to the entrance to receive the documents for filing. Documents left at the Security Desk will not be considered filed until received by the Agency Clerk. Formal protests may not be faxed. Protest documents received after hours will be filed the next business day. Protests sent to the Procurement Manager by any means (mail, fax or email), will not be considered filed with the Agency Clerk until they are received at the Carlton building address. To the extent anything in this section conflicts with PUR 1001, this section controls. Failure to file a protest within the time prescribed in Section 120.57(3), Florida Statutes, or failure to post the bond or other security required by law within the time allowed for filing a bond shall constitute a waiver of proceedings under Chapter 120, Florida Statutes. Pursuant to Section 287.042(2)(c), Florida Statutes, a formal written protest must be accompanied by a bond written by a Surety Company licensed to do business in the State of Florida payable to the Department of Corrections in an amount equal to one percent (1%) of the estimated total value of the proposed contract amount submitted by the protestor. The amount of the bond will be provided by the Department's Office of General Counsel/Contracts Section and can be obtained by contacting the appropriate staff at (telephone number 850-717-3605, facsimile number 850-922-4355). In lieu of a bond, the Department may accept a cashier's check, official bank check, or money order in the amount of the bond.

SECTION 5 – BID SUBMISSION REQUIREMENTS

Bid Format

The Bidder shall supply one (1) signed original, and three (3) copies of the Bid, and should submit one (1) electronic copy, in pdf format on a CD. If Bidder submits a redacted copy of the bid as outlined in Section 4.2.16, then the Bidder shall also submit one (1) electronic copy of their redacted Bid in pdf format, on CD. The submitted CDs shall not be “password protected”. The Bid shall be submitted in sealed envelopes or boxes and clearly marked “DC ITB-13-018 Full Service - Food Service Operations”, (and also “Redacted” for the redacted copies), and should also be marked with the opening date and time.

This section prescribes the format in which the bids are to be submitted. There is no intent to limit the content of the bids. Additional information deemed appropriate by the bidder may be included, but should be placed within the relevant section. Additional tabs beyond those designated in this section will not be reviewed. The following paragraphs contain instructions that describe the required format for bids.

Bids shall be limited to a page size of eight and one-half by eleven inches (8.5” x 11”). Fold out pages may be used, where appropriate, but should not exceed five percent (5%) of the total number of pages of the entire bid. All pages shall be sequentially numbered. It is recognized that existing financial reports, documents, or brochures, may not comply with the just-prescribed format. They will be acceptable in current form and need not be reformatted.

All bids must contain the sections outlined below. Those sections are called “Tabs.” A “Tab”, as used here, is a section separator, offset and labeled, (Example: “Tab 1, Mandatory Responsiveness Requirements”), such that the Departmental staff can easily turn to “Tabbed” sections during the review process. Failure to have all copies properly “tabbed” makes it much more difficult for the Department to review the bid.

Bid Contents

The Department will review bids for compliance with Mandatory Responsiveness Requirements. Additionally, the Department will review all other required bid submittals for compliance with minimum requirements contained in the ITB document.

5.1 Tab 1. Mandatory Responsiveness Requirements

The following terms, conditions, or requirements must be met by the bidder to be considered responsive to this ITB. **These responsiveness requirements are mandatory. Failure to meet these responsiveness requirements will cause rejection of a bid.** Any bid rejected for failure to meet responsiveness requirements will not be further reviewed. Note: Copies of rejected bids will be retained in the ITB file.

- 5.1.1** It is **mandatory** that the bid package is received by the Department by the date and time specified in Section 2.4, Timeline.
- 5.1.2** It is **mandatory** that the bidders submit all Price Tables in order for their bid to be considered responsive. (as specified in Section 5.2.1, Price Sheet Submission Requirements)
- 5.1.3** It is **mandatory** that the Bidder sign, have certified by a notary public and return, under **Tab 1**, the “Certification Attestation Page For Mandatory Statements” (Attachment 1).
- 5.1.4** It is **mandatory** that the bidders submit the following In accordance with Section 287.084, F.S., when the lowest responsible and responsive bid for purchases of personal property is submitted by a vendor whose principal place of business is located outside the state of Florida, a 5% price preference shall be awarded to the lowest responsible and responsive vendor whose principal place of business is located in the state of Florida unless the state where the out-of-state vendor is located provides a price preference for businesses having a principal place of business in that state. In that case, the same price preference shall be awarded

to the lowest responsible and responsive vendor whose principal place of business is located in the state of Florida responding to this competitive solicitation. **A vendor whose principal place of business is located outside of the state of Florida, must accompany their bid response documents with a written opinion of an attorney at law licensed to practice law in that foreign state, as to the preferences granted by that state to its own business entities in the letting of public contracts.** The written document must identify either the preference granted or a statement that no preferences are granted. This information shall be provided under Tab 1 of the bid. Failure to provide this information shall be grounds to find the bidder non responsive.

5.1.5 It is mandatory that the bidders submit an Implementation Plan and Transition Schedule outlining each of the service components outlined in Section

5.2 Tab 2 Price Sheets

5.2.1 Price Sheet Submission Requirements

Each bidder shall complete and submit the Price Tables. **Any modifications, counter offers, deviations, or challenges shall render the bid non-responsive.** If a bidder elects not to submit a bid on a particular Institution, the Proposer shall submit the applicable price table for that Institution, indicating **“NO BID SUBMITTED FOR THIS INSTITUTION.”**

The completed Price Tables shall identify the name of the bidder and date of submission, and shall bear the signature of a Business/Corporate Representative authorized to bind the bidder to the prices bid. The bidder shall insert the completed Price Table(s) under **Tab 2**.

All price table calculations will be verified for accuracy by Bureau of Procurement and Supply staff assigned by the Department. In the event that a mathematical error is identified, Unit Price submitted by the Bidder will prevail.

5.2.1.1 Instructions for Completing Price Tables 1 through 3

There is a Price Table for each of the identified institutions. The Average Daily Population as of October 10, 2013 is listed on the Price Table for each institution.

- a. On Line 1 of the Price Table for each institution, enter a single rate per meal served (unit price). The single rate is defined as the per meal price per inmate.
- b. Multiply the single rate (Line 1) by the number of allowable meals per day to arrive at the daily rate for all inmates in the institution (Line 3).
- c. Multiply the daily rate for all inmates (Line 3) by the Average # of Meals Served (Line 4) to arrive at the Estimated Daily Cost (Line 5).
- d. Multiply the Estimated Daily Cost (Line 5) by 365 days in the year (Line 6) to determine the Estimated Annual Cost for meals served at the institution.

5.2.1.2 Yearly Price Increase/Escalation Methodology

The Department will allow for changes to the per diem based on increases or decreases in the consumer price index for all urban consumers (CPI-U), adjusted for geographic region, and subject to legislative approval and appropriation. If the adjusted CPI-U increases, the vendor may submit a written request for an increase to the per diem prior to September 1 of each year. However, the amount of the increase will not exceed the adjusted CPI-U for the 12-month period ended June 30 of the same year. If the CPI-U decreases, the Department will notify the vendor in writing by

September 1 of each year if the Department plans to seek a decrease in the per diem rate. However, the amount of the decrease may not exceed the adjusted services CPI-U for the 12-month period ended June 30 of the same year. Any requested increase to the per diem rates will be reflected in the Department's annual Legislative Budget Request and subject to Legislative approval and appropriation. Any increase to the food services contract will be effective on the date specified in the appropriation. If the appropriation does not specify an effective date, the increase to the food services per diem will be effective on July 1 of the year in which the appropriation is made. Any decrease to the food services per diem rates will be automatically effective at the beginning of the next contract year and will not require legislative approval.

5.3 Tab 3 Transmittal Letter with Executive Summary

The bid shall include a Transmittal Letter with Executive Summary (narrative) synopsis of the bidder's method of delivering the required services in compliance with the minimum requirements and scope of services outlined in Section 3, Scope of Service, of the ITB. The synopsis should contain sufficient detail addressing all elements of the required service delivery and should be prepared in such a manner that will clearly indicate the bidder's understanding of, and intent to comply with, the requirements set forth in the ITB. The Transmittal Letter with Executive Summary should be signed by a representative of the bidder authorized to bind the corporate entity submitting the bid and should be inserted under **Tab 3** of the Bid. The Transmittal Letter with Executive Summary shall also contain information addressing each of the following requirements:

- 5.3.1** Information indicating that the bidder is a corporation or other legal entity, if applicable.
- 5.3.2** The bidder shall provide their principle place of business as outlined in Section 5.1.4.
- 5.3.3** Information indicating whether the bidder intends to utilize subcontractors and if so, the name, component/type of work to be performed and FEID number of all subcontractors that will be utilized should be submitted with the bid document. Use of subcontractors must be in accordance with Section 7.21. The bidder shall also provide a statement from any proposed subcontractor acknowledging acceptance of and intent to be bound by the contract terms to be included in the Department's contract should the bidder be awarded a Contract resulting from this ITB. The statement shall bear an original signature from a person authorized to legally bind the subcontractor.
- 5.3.4** The bidder's federal tax identification number or social security number, as applicable to the legal entity that will be performing the services under the Contract.
- 5.3.5** A statement identifying and explaining any deviations the bid makes from the detailed specifications and requirements of this ITB or a statement that no deviations exist in the bid. The State of Florida reserves the right to reject any bids containing material deviations.
- 5.3.6** A statement disclosing the name of any officer, director, employee or other agent who is also an employee of the State and the name of any State employee who owns, directly or indirectly, an interest of five percent (5%) or more in the bidder or its affiliates, including parent corporations. If no officer, director, employee or other agent of the bidder is also an employee of the State or no State employee owns a five percent (5%) interest in the bidder or its' affiliates or parent corporation, a statement to that affect, as applicable, shall be provided.
- 5.3.7** A statement affirmatively certifying that the bidder has no interest and shall not acquire any interest that shall conflict in any manner or degree with the performance of the services required under this ITB.
- 5.3.8** The bidder's E-mail address or a statement certifying that an E-mail address will be available for the Contractor's Representative by the start date of any Contract resulting from this ITB.

5.3.9 The bidder shall provide for both the Contractor and Contractor's personnel, copies of any and all documents regarding complaints filed, investigations made, warning letters or inspection reports issued, or any disciplinary action imposed by Federal or State oversight agencies within the past five (5) years. Bidder shall also identify all entities of or related to the bidder (including parent company and subsidiaries of the parent company; divisions or subdivisions of parent company or of bidder), that have ever been convicted of fraud or of deceit or unlawful business dealings whether related to the services contemplated by this ITB or not, or entered into any type of settlement agreement concerning charges of fraud, or any other type of dealings contrary to federal, state, or other regulatory agency regulations. Bidder shall identify the amount of any payments made as part of any settlement agreement, consent order or conviction. If there have been none, a statement should be provided to this effect

5.4 Tab 4 Business/Corporate Qualifications

The purpose of this section is to provide the Department with a basis for determining the bidders/organization's financial strength, competence and experience to undertake a project of this size. The Department is not interested in a voluminous description of previous contracts but rather a concise and thorough description of relevant information, background and experience as specified herein.

The bidder shall supply the following information for the legally qualified corporation, partnership or other business entity submitting the bid under this ITB that will be performing as "the Contractor" and insert it under **Tab 4**:

5.4.1 Financial Documentation

The bidder shall provide financial documentation that is sufficient to demonstrate its financial viability to perform the Contract resulting from this ITB. Three of the following five minimum acceptable standards shall be met, one of which must be either Item d or Item e, below:

- a) Current ratio: $\geq .7 : 1$ or (0.7)
Computation: Total current assets \div total current liabilities
- b) Debt to total net worth: $\leq 6 : 1$
Computation: Total liabilities \div total net worth
- c) Dunn & Bradstreet Supplier Evaluation Risk Rating (SER): ≤ 4 (on a scale of 1 – 9). If the respondent, in its own assessment of these financial viability requirements, needs this element to meet 3 of the 5 standards, the respondent must supply a Supplier Evaluation Risk Rating (SER) from Dunn & Bradstreet (D&B) and provide a copy of the SER to the Department with the original bid package. Otherwise, it is not required to submit the SER, unless the respondent is uncertain of the Department's evaluation of all of these requirements. To obtain a SER Rating, contact the D&B Customer Resource Center at (800) 333-0505.
- d) Minimum annual sales: \geq \$50 million
- e) Minimum total equity: \geq \$5 million

NOTE: The Department acknowledges that privately held corporations and other business entities are not required by law to have audited financial statements. In the event the Respondent is a privately held corporation or other business entity whose financial statements are audited, such audited statements shall be provided. If the privately held corporation or other business entity does not have audited financial statements, then financial statements that are reviewed in accordance with Statements on Standards for Accounting and Review Services issued by the American Institute of Certified Public Accountants shall be provided.

The Department also acknowledges that a Respondent may be a wholly-owned subsidiary of another corporation or exist in other business relationships where financial data is consolidated. Financial documentation is requested to assist the Department in determining whether the Respondent has the financial capability of performing the contract to be issued pursuant to this ITB. The Respondent **MUST** provide financial documentation sufficient to demonstrate such capability including wherever possible, financial information specific to the Respondent itself. All documentation provided will be reviewed by an independent CPA and should, therefore, be of the type and detail regularly relied upon by the certified public accounting industry in making a determination or statement of financial capability.

To determine the above ratios and other financial requirements, the most recent available and applicable financial documentation for the Respondent **shall be** provided. All financial statements must be presented in accordance with accounting principles generally accepted in the United States of America. This documentation **shall include**:

5.4.1.1 The most recently issued audited financial statements (or if unaudited, reviewed in accordance with Statements on Standards for Accounting and Review Services, issued by the American Institute of Certified Public Accountants). All financial statements shall include the following for the most recent audited or reviewed financial statements for the respondent's fiscal year or calendar year, ended no earlier than 2012:

- a. Independent Accountants' report on the financial statements;
- b. Balance Sheet;
- c. Statement of Income (and Comprehensive Income, if applicable);
- d. Statement of Changes in Equity;
- e. Statement of Cash Flows;
- f. Notes to Financial Statements;
- g. A copy of the Dunn & Bradstreet Supplier Evaluation Risk Rating dated on or after October 1, 2013 (if necessary).

5.4.1.2 Failure to provide any of the aforementioned financial information may result in bid disqualification.

5.4.2 Business/Corporate Background

The background information of the bidder indicated, which, at a minimum, shall include:

- 5.4.2.1** date established;
- 5.4.2.2** primary type of business and number of years conducting primary business;
- 5.4.2.3** ownership (public company, partnership, subsidiary, etc.);
- 5.4.2.4** list of all officers of the firm indicating the percentages of ownership of each officer, and the names of the Board of Directors if applicable; and
- 5.4.2.5** national accreditations, memberships in professional associations or other similar credentials.

5.4.3 Narrative of Past Experience

As indicated in Business/Corporate Experience, it is a mandatory responsiveness requirement that the bidder has at least seven (7) years of business/corporate experience with appropriately experienced management and three (3) years in the provision of food services. Details of the bidder's experience that meet this requirement should be provided in narrative form and in sufficient detail so that the Department is able to judge its complexity and relevance. Specifically include:

- 5.4.3.1** relevant experience with operating large-scale food service delivery and products;
- 5.4.3.2** a description of population served, including demographics and functional areas;

- 5.4.3.3 a description of utilization of networks or resources used in operating other large-scale food service delivery and products, if applicable;
- 5.4.3.4 availability of resources (other than financial) to work on this project;
- 5.4.3.5 at least 10-15 current contracts related to the scope of service should be listed. The list should include names of the entity contracted with, addresses, phone numbers, e-mail addresses, name of Contract Manager(s) or senior official responsible for the Contract;
- 5.4.3.6 a list of contracts the bidder has provided services under that were terminated or cancelled prior to original expiration date by any party or for which bidder requested termination or cancellation, or reached mutual agreement on termination or cancellation prior to the original contracted expiration date, and all reasons for such actions. If no contracts have been so terminated or cancelled, the bidder should provide a statement to that effect. Provide complete, detailed information about the circumstances leading to termination as well as the name and contact information for the other party to each terminated contract;
- 5.4.3.7 summary of any penalties or sanctions imposed or findings or convictions for fraud, or for any other offenses (including pleas of nolo contendere) of any kind brought by any federal, state or other regulatory agency against made against the bidder, bidder's corporate staff, or any entity affiliated with the bidder, including, but not limited to a parent company and/or divisions or subsidiary companies controlled by parent company that have worked with the bidding entity including work as a partner, joint venture or subcontractor (Bidder should identify the amount of any payments or fines imposed in regard to any of the foregoing).

NOTE: The Department reserves the right to use all information provided in determining responsibility of vendor, as well as any other information the Department may obtain that bears on the issue of responsibility.

5.4.4 Business/Corporate References

The bidder shall furnish a minimum of two (2) and a maximum of four (4) business/corporate references with their bid, utilizing the form provided as Attachment 4 of this ITB to support the requirements of Business/Corporate Experience. In order to qualify as current experience, services described by corporate references should be ongoing or should have been completed within the thirty-six (36) months preceding the issue date of this ITB.

The references should be completed and signed by the individual offering the reference. Reference(s) should identify the type of services provided by the bidder (which should be directly relevant to the services outlined in this ITB), dates the bidder provided such services, the firm/agency name of the entity for which the bidder provided services, and the reference signer's **current** telephone number and address. Reference(s) should include statements supporting that the bidder has performed services similar in magnitude and scope to those requested in the ITB. References that do not support prior relevant service delivery shall be rejected. The Department may request additional references. Employees of the Department may not be used and will not be accepted as corporate references. The Department reserves the right to contact the above-provided references as well as reference sources not listed in the bid.

5.5 Tab 5 Project Staff

The purpose of this section is to provide the Department with a basis for determining the bidder's understanding of the qualifications of corporate personnel required for administrative oversight and/or management of a project of this size and scope. The bidder shall supply the information requested in this section and insert it under **Tab 5** of the Bid.

5.5.1 Business/Corporate Key Project Personnel Staff Requirements

The bidder shall provide the following information and/or documentation regarding the specific staff outlined below, who will be directly responsible for administration or administrative oversight of the Contract for provisions of services requested under this ITB.

In the event the successful bidder desires to substitute any key personnel submitted with their bid, either permanently or temporarily, the Department shall have the right to approve or disapprove the desired personnel change in advance in writing.

5.5.1.1 Resumes

Current resumes must be provided for the individuals who are or will be occupying the following business/corporate positions identified by the bidder. The resumes should include employment history for all relevant and related experience and all education and degrees (including specific dates, names of employers, and educational institutions). Licenses and credentials should be provided with resumes, as applicable, and experience and training must be indicated and must support that the respective individual meets the applicable specifications listed below:

5.5.1.1.1 Chief Executive Officer (or equivalent title) - The Chief Executive Officer is the highest ranking officer in the bidder's company or organization. The CEO should have a minimum of two (2) years' experience as CEO or comparable position for the bidder's business/corporation submitting the bid.

5.5.1.1.2 Project Manager for Prime Vendor Services (or equivalent title) - The Project Manager for food services is the individual who will have corporate responsibility for programmatic administration of the Contract. This individual should have a minimum of two (2) years' experience at the management level, directly managing the delivery of food services /food products.

5.5.2.2 Personal References

The bidder shall provide, for the individuals identified for the above positions, a minimum of two (2) and a maximum of four (4) personal references utilizing the form provided as Attachment 5 of this ITB. Personal reference(s) should be completed and signed by the individual offering the reference. Reference(s) **should demonstrate, at a minimum, the required timeframe of work experience** and should include statements supporting the ability of the individual to perform the duties required in the Contract resulting from this ITB. Department reserves the right to contact references not listed in the proposal. References will not be accepted from the following:

- a. current employees of the Department;
- b. former employees of the Department within the past three (3) years;
- c. persons currently or formerly supervised by the person for whom the reference is being given;
- d. coworkers or board members of the person's organization; or
- e. relatives.

5.6 Tab 6 Minority Business Enterprise Certification

If applicable, the bidder should provide a current and valid copy of their certification as a minority business enterprise issued by the Office of Supplier Diversity (formerly called the Commission on Minority Economic Business and Development) and insert it under **Tab 6** of the Bid.

SECTION 6 – AWARD OF CONTRACT

6.1 Price Determination/ Basis of Award

- 6.1.1** The Price Tables are located at the end of this document. An award will be made to the responsive, responsible Contractor with the lowest Estimated Annual Cost (number 7) on each Price Table. The Contractor’s past history, ability, capacity, prior contract experience, performance, integrity and all information submitted with the bid will be considered by the Department in determination of responsibility.
- 6.1.2** Due to the fluctuation and nature of food pricing, the Department will utilize the estimated annual price provided on the Price Tables to determine the estimated annual amount for each year of the contract, including optional renewal period(s).
- 6.1.2** In the event the low cost bidder is found non-responsive, the Department may proceed to the next lowest cost responsive bidder and continue the award process.
- 6.1.3** The Department reserves the right to reject any and all bids.

6.2. Incomplete Price Information Sheet

Any of the Price Tables that are incomplete or in which there are significant inconsistencies or inaccuracies may be rejected by the Department. No deviations, qualifications, or counter offers will be accepted. All calculations will be reviewed and verified.

6.3 Identical Tie Bids

When evaluating bids/proposals/responses to solicitations, if the Department receives identical pricing or scoring from multiple vendors, the Department shall determine the order of award using the criteria set forth in Rule 60A-1.011, FA.C., and Chapter 295.187, F.S. “Certified Veteran Business Enterprises”.

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SECTION 7 – CONTRACT TERMS AND CONDITIONS

This section contains standard terms and conditions that shall be included in any Contract resulting from this ITB. By submitting a bid response to this ITB, the Bidder is deemed to have accepted these terms and conditions in their entirety.

7.1 Contract Document

When a contract is established between the Department and the Contractor for specific services; this ITB and the bidder's bid shall be incorporated into and thereby become a part of that contract. If there is a conflict in language, the Department's Contract will govern. This contract will comply with the requirements of Section 216.313, Florida Statutes.

7.2 Termination

7.2.1 Termination at Will

The Contract resulting from this ITB may be terminated by the Department upon no less than ninety (90) calendar days' notice, without cause, or by the Contractor upon no less than one hundred-eighty (180) calendar days' notice, without cause, unless a lesser time is mutually agreed upon by both parties. Notice shall be delivered by certified mail (return receipt requested), by other method of delivery whereby an original signature is obtained, or in-person with proof of delivery.

7.2.2 Termination Because of Lack of Funds

In the event funds to finance the Contract resulting from this ITB become unavailable, the Department may terminate the Contract upon no less than twenty-four (24) hours' notice in writing to the Contractor. Notice shall be delivered by certified mail (return receipt requested), facsimile, by other method of delivery whereby an original signature is obtained, or in-person with proof of delivery. The Department shall be the final authority as to the availability of funds.

7.2.3 Termination for Cause

If a breach of the Contract resulting from this ITB occurs by the Contractor, the Department may, by written notice to the Contractor, terminate the Contract resulting from this ITB upon twenty-four (24) hours' notice. Notice shall be delivered by certified mail (return receipt requested), by other method of delivery whereby an original signature is obtained, or in-person with proof of delivery. If applicable, the Department may employ the default provisions in Chapter 60A-1, Florida Administrative Code. The provisions herein do not limit the Department's right to remedies at law or to damages.

7.2.4 Termination for Unauthorized Employment

Violation of the provisions of Section 274A of the Immigration and Nationality Act, shall be grounds for unilateral cancellation of the Contract resulting from this ITB.

7.2.5 Contract Termination Requirements

If, at any time, the Contract is canceled, terminated or otherwise expires, and a Contract is subsequently executed with a firm other than the Contractor or service delivery is resumed by the Department, the Contractor has the affirmative obligation to assist in the smooth transition of Contract services to the subsequent Contractor (or to the Department). To affect this smooth transition, small wares will be returned to the department as identified in Section 3.9.2. This includes, but is not limited to, the timely provision of all contract-related documents and information, not otherwise protected from disclosure by law to the replacing party.

7.3 Payments and Invoices

7.3.1 Transaction Fee

The Department of Management Services has instituted a statewide eProcurement System (“System”), with the assistance of a third-party agent, Accenture LLP (“Accenture”). All transactions from this Contract shall be processed through this system. Pursuant to Section 287.057(23), Florida Statutes (2002), a Transaction Fee of one percent (1%) of the total dollar amount of each purchase order shall apply to all purchases from this Contract unless otherwise exempt as indicated in 60A-1.032, F.A.C.. This fee, paid by the successful bidder, is not submitted to the Department and shall not be added to purchase orders as a separate item.

It is the intent of the system to automatically deduct the Transaction Fee from payments to the successful bidder. However, this feature is not currently available and successful bidders are expected to self-report until a method of automatic deduction is implemented. By submission of these self-reports and corresponding successful bidder deposits, the successful bidder is certifying their correctness. All such reports and fee deposits shall be subject to audit by the State.

The successful bidder shall receive a credit for any Transaction Fee paid by the successful bidder for the purchase of any item(s) returned to the successful bidder through no fault, act, or omission of the successful bidder. Notwithstanding the foregoing, a Transaction Fee is non-refundable when an item is rejected or returned, or declined, due to the successful bidder’s failure to perform or comply with specifications or requirements of the applicable purchase order or Contract.

Failure to comply with these requirements shall constitute grounds for declaring the successful bidder in default and recovering re-procurement costs from the successful bidder in addition to all outstanding fees. **SUCCESSFUL BIDDERS DELINQUENT IN PAYING TRANSACTION FEES MAY BE EXCLUDED FROM BIDDING ON DEPARTMENT CONTRACTS.**

7.3.2 Supporting Documentation for Invoice

The successful bidder agrees to submit invoices for compensation for services in detail sufficient for a proper pre-audit and post-audit thereof. Invoices will only be approved after receipt of the required invoice supporting documentation.

Services will be considered complete and certified as payable when all required monthly reports, provided in section 3.19 Reporting Requirements, for the previous month have been received. In the event one or more institutions’ reports are not received, payment for services provided at those institutions will be withheld until such reports are received.

7.3.3 Vendor Substitute W-9

The State of Florida Department of Financial Services (DFS) needs all vendors that do business with the state to electronically submit a Substitute W-9 Form to <https://flvendor.myfloridaacfo.com>. Forms can be found at: <http://www.myfloridacfo.com/aadir/docs/SubstituteFormW-9-03-21-11.pdf>. Frequently asked questions/answers related to this requirement can be found at the following website: <http://www.myfloridacfo.com/aadir/docs/VendorFAQPosted090310.pdf>. DFS is ready to assist vendors with additional questions. You may contact their Customer Service Desk at 850-413-5519 or FLW9@myfloridaacfo.com.

7.3.4 Payment

The Contract resulting from this ITB is a fixed-fee unit price Contract. The Department will compensate the Contractor on a monthly basis for services as specified in Section 3, Scope of Service. All compensation

will be made in accordance with the rate per meal served, taken directly from the Price Table of the successful bidder.

The Department will allow for changes to the per diem in accordance with Section 5.2.1.2 of this ITB

7.3.5 Invoice Submission

The Contractor agrees to request compensation on a monthly basis through submission to the Department of a properly completed monthly invoice, by institution, and submitted electronically to the Department's Contract Manager or designee within fifteen (15) days following the end of the month for which payment is being requested. The Contractor's invoice shall include the Contractor's name, mailing address, tax ID number/FEIN, Contract number, and dates of service. Every invoice must be accompanied by the appropriate supporting documentation as indicated in Section 7.3.2, Supporting Documentation for Invoice

7.3.6 Vendor's Expenses

The successful bidder shall pay for all licenses, permits, and inspection fees or similar charges required for the Contract, resulting from this ITB and shall comply with all Federal, State and local laws, ordinances, regulations, and any other requirements applicable to the work to be performed under this Contract.

7.4 Timeframes for Payment and Interest Penalties

Contractors providing goods and services to the Department should be aware of the following time frames:

7.4.1 Upon receipt, the Department has five (5) working days to inspect and approve the goods and services and associated invoice, unless the ITB specifications, or this Contract specifies otherwise. The Department has twenty (20) days to deliver a request for payment (voucher) to the Department of Financial Services. The twenty (20) days are measured from the latter of the date the invoice is received or the goods or services are received, inspected, and approved.

7.4.2 If a payment is not available within forty (40) days, a separate interest penalty, as specified in Section 215.422, Florida Statutes will be due and payable, in addition to the invoice amount, to the Contractor. Interest penalties of less than one (1) dollar will not be enforced unless the Contractor requests payment. Invoices, which have to be returned to a Contractor because of Contractor preparation errors, may cause a delay of the payment. The invoice payment requirements do not start until the Department receives a properly completed invoice.

7.5 Vendor Ombudsman

A Vendor Ombudsman has been established within the Department of Financial Services. The duties of this individual include acting as an advocate for vendors who may be experiencing problems in obtaining timely payment(s) from a state agency. The Vendor Ombudsman may be contacted by calling the Department of Financial Services' Toll Free Hotline.

7.6 Travel Expenses

The Department shall not be responsible for the payments of any travel expenses incurred by the contractor resulting from this ITB.

7.7 Scope Changes After Contract Execution

During the term of the Contract, the Department may unilaterally require, by written order, changes altering, adding to, or deducting from the Contract specifications, provided that such changes are within the general scope of the Contract.

The Department may make an equitable adjustment in the Contract prices or delivery date if the change affects the cost or time of performance. Such equitable adjustments require the written consent of the successful bidder, which shall not be unreasonably withheld.

The Department shall provide written notice to the successful bidder thirty (30) days in advance of any Department required changes to the technical specifications and/or scope of service that affect the successful bidder's ability to provide the service as specified herein. Any changes that are other than purely administrative changes will require a formal contract amendment.

7.8 Annual Appropriation

The State of Florida's and the Department's performances and obligations to pay for services under the Contract resulting from this ITB are contingent upon an annual appropriation by the Legislature. The costs of services paid under any other Contract or from any other source are not eligible for reimbursement under the Contract resulting from this ITB.

7.9 Contract Management

The Department of Corrections will be responsible for management of the Contract resulting from this ITB. The Department has assigned the below-named individuals, as Contract Manager and Contract Administrator for the Contract.

7.9.1 Department's Contract Manager

The Contract Manager for this Contract will be named upon issuance of the Contract.

The Contract Manager or his designee will perform all Department designated monitoring tasks identified in the Scope of Service as well as the following functions:

- a. maintain a contract management file;
- b. serve as the liaison between the Department and the Contractor;
- c. verify receipt of deliverables from the Contractor;
- d. evaluate the Contractor's performance;
- e. submit requests to the Contract Administrator to process all amendments, renewals and terminations of this Contract; and
- f. evaluate Contractor performance upon completion of the initial Contract term and prior to any renewals. This evaluation will be placed on file and will be considered in determining whether to renew the Contract, if applicable, and/or if the Contract is subsequently used as a reference in future procurements; and

The Contract Manager may delegate the following functions to the Local Contract Coordinator (LCC):

- a. verify receipt of deliverables from the Contractor;
- b. review, verify, and approve invoices from the Contractor;
- c. monitor the Contractor's performance; and

The LCC for the resulting Contract(s) will be named upon issuance of the Contract.

7.9.2 Department's Contract Administrator

The Contract Administrator for the Contract will be:

Operations Manager, Contract Administration
Bureau of Contract Management and Monitoring
Florida Department of Corrections

501 South Calhoun Street
Tallahassee, Florida 32399

The Contract Administrator will perform the following functions:

- a. maintain the Contract Administration file;
- b. process all Contract amendments, renewals, and termination of the Contract; and
- c. maintain the official records of all formal correspondence between the Department and the Contractor, provided by the Contract Manager for filing in the Contract Administration File.

7.9.3 Contract Management Changes

After execution of the Contract resulting from this ITB, any changes in the information contained in Section 7.9, Contract Management of that Contract will be provided to the other party in writing and a copy of the written notification shall be maintained in the official Contract file.

7.10 Records

7.10.1 Public Records Law

The Contractor agrees to allow the Department and the public access to any documents, papers, letters, or other materials subject to the provisions of Chapter 119 and 945.10, Florida Statutes, made or received by the Contractor in conjunction with the Contract resulting from this ITB. The Contractor's refusal to comply with this provision shall constitute sufficient cause for termination of the Contract resulting from this ITB.

In addition, the Contractor shall comply with the State of Florida's public records laws, and shall specifically:

1. Keep and maintain public records that ordinarily and necessarily would be required by the public agency in order to perform the service.
2. Provide the public with access to public records on the same terms and conditions that the public agency would provide the records and at a cost that does not exceed the cost provided in this chapter or as otherwise provided by law.
3. Ensure that public records that are exempt or confidential and exempt from public records disclosure requirements are not disclosed except as authorized by law.
4. Meet all requirements for retaining public records and transfer, at no cost, to the public agency all public records in possession of the contractor upon termination of the contract and destroy and duplicate public records that are exempt or confidential and exempt from public records disclosure requirements. All records stored electronically must be provided to the public agency in a format that is compatible with the information technology systems of the Department.

7.10.2 Audit Records

7.10.2.1 The successful bidder agrees to maintain books, records, and documents (including electronic storage media) in accordance with generally accepted accounting procedures and practices which sufficiently and properly reflect all revenues and expenditures of funds provided by the Department under the Contract resulting from this ITB and agrees to provide a financial and compliance audit to the Department or to the Office of the Auditor General and to ensure that all related party transactions are disclosed to the auditor.

7.10.2.2 The successful bidder agrees to include all record-keeping requirements in all subcontracts and assignments related to the Contract resulting from this ITB.

7.10.3 Retention of Records

The successful bidder agrees to retain all records, financial records, supporting documents, statistical records, and any other documents (including electronic storage media) pertaining to the Contract resulting from this ITB for a period of five (5) fiscal years following the termination of the Contract. The successful bidder shall maintain complete and accurate record-keeping and documentation as required by the Department and the terms of the Contract resulting from this ITB. Copies of all records and documents shall be made available for the Department upon request. All invoices and documentation must be clear and legible for audit purposes. All documents must be retained by the successful bidder at the address listed in the ITB for the duration of the Contract. Any records not available at the time of an audit will be deemed unavailable for audit purposes. Violations will be noted and forwarded to the Department's Inspector General for review. All documents must be retained by the Vendor at the Vendor's primary place of business for a period of five (5) fiscal years following termination of the Contract, or, if an audit has been initiated and audit findings have not been resolved at the end of five (5) fiscal years, the records shall be retained until resolution of the audit findings. The Vendor shall cooperate with the Department to facilitate the duplication and transfer of any said records or documents during the required retention period, and make the data available in a Department approved format. The Vendor shall advise the Department of the location of all records pertaining to this Contract and shall notify the Department by certified mail within ten (10) days if/when the records are moved to a new location.

7.11 State Initiatives

Within thirty (30) calendar days following award of the Contract, the Contractor shall submit plans addressing each of the State's four (4) objectives listed below, to the extent applicable to the items/services covered by this solicitation.

(Note: Diversity plans and reporting should be submitted to Jane Broyles, MBE Coordinator, Bureau of Contract Management and Monitoring, Department of Corrections, 501 South Calhoun Street, Tallahassee, FL 32399-2500. All other plans should be submitted to the Contract Manager or designee as specified in the final Contract resulting from this ITB.)

7.11.1 Diversity in Contracting

The State of Florida is committed to supporting its diverse business industry and population through ensuring participation by minority, women, and veteran business enterprises in the economic life of the state. The State of Florida Mentor Protégé Program connects minority, women, and veteran business enterprises with private corporations for business development mentoring. We strongly encourage firms doing business with the State of Florida to consider this initiative. For more information on the Mentor Protégé Program, please contact the Office of Supplier Diversity at (850) 487-0915.

The state is dedicated to fostering the continued development and economic growth of small, minority-, women-, and veteran business enterprises. Participation by a diverse group of Vendors doing business with the state is central to this effort. To this end, it is vital that small, minority, women, and veteran business enterprises participate in the state's procurement process as both Contractors and sub-contractors in this solicitation. Small, minority-, women-, and veteran business enterprises are strongly encouraged to contribute to this solicitation.

The Contractor should submit documentation addressing diversity and describing the efforts being made to encourage the participation of small, minority, women, and veteran business enterprises.

Information on Certified Minority Business Enterprises (CMBE) and Certified Veteran Business Enterprises (CVBE) is available from the Office of Supplier Diversity at http://dms.myflorida.com/other_programs/office_of_supplier_diversity_osd/.

Diversity in Contracting documentation should identify any participation by diverse contractors and suppliers as prime contractors, sub-contractors, vendors, resellers, distributors, or such other participation as the parties may agree. Diversity in Contracting documentation shall include the timely reporting of spending with certified and other minority/veteran business enterprises. Such reports must be submitted at least monthly and include the period covered, the name, minority code and Federal Employer Identification Number of each minority/service-disabled or wartime veteran vendor utilized during the period, commodities and services provided by the minority/veteran business enterprise, and the amount paid to each minority/veteran vendor on behalf of each purchasing agency ordering under the terms of this Contract.

7.11.2 Environmental Considerations: The State supports and encourages initiatives to protect and preserve our environment. If applicable, the Contractor shall submit a plan to support the procurement of products and materials with recycled content, and the intent of Section 287.045, Florida Statutes. The Contractor shall also provide a plan for reducing and/or handling of any hazardous waste generated by Contractor's company. Reference Rule 62-730.160, Florida Administrative Code. It is a requirement of the Florida Department of Environmental Protection that a generator of hazardous waste materials that exceeds a certain threshold must have a valid and current Hazardous Waste Generator Identification Number. This identification number shall be submitted as part of Contractor's explanation of its company's hazardous waste plan and should explain in detail its handling and disposal of this waste.

7.11.3. Products Available from the Blind or Other Handicapped (RESPECT): The State/Department supports and encourages the gainful employment of citizens with disabilities. It is expressly understood and agreed that any articles that are the subject of, or required to carry out, this Contract shall be purchased from a nonprofit agency for the blind or for the severely handicapped that is qualified pursuant to Chapter 413, Florida Statutes, in the same manner and under the same procedures set forth in Section 413.036(1) and (2), Florida Statutes; and for purposes of this Contract the person, firm, or other business entity carrying out the provisions of this Contract shall be deemed to be substituted for this agency insofar as dealings with such qualified nonprofit agency are concerned. Additional information about the designated nonprofit agency and the products it offers is available at <http://www.respectofflorida.org>. If applicable, the Contractor should submit a plan describing how it will address the use of RESPECT in offering the items bid.

7.11.4 Prison Rehabilitative Industries and Diversified Enterprises, Inc. (PRIDE): The State supports and encourages the use of Florida correctional work programs. It is expressly understood and agreed that any articles which are the subject of, or required to carry out, this Contract shall be purchased from the corporation identified under Chapter 946, Florida Statutes, in the same manner and under the same procedures set forth in Section 946.515(2), and (4), Florida Statutes; and for purposes of this Contract the person, firm, or other business entity carrying out the provisions of this Contract shall be deemed to be substituted for this agency insofar as dealings with such corporation are concerned. Additional information about PRIDE and the products it offers is available at <http://www.pridefl.com>. If applicable, the Contractor should submit a plan describing how it will address the use of PRIDE in offering the items bid.

7.12 Contractor's Insurance

7.12.1 The Contractor shall obtain insurance to cover those liabilities which are necessary to provide reasonable financial protection for the Contractor and the Department under the Contract resulting from this ITB. This should include, but is not limited to, workers' compensation, general liability, and property damage coverage. The Department must be an additional named insured on the Contractor's insurance related to the Contract. Upon the execution of the Contract resulting from this ITB, the Contractor shall furnish the Contract Manager with written verification of such insurance coverage. Such coverage may be provided by a self-insurance program established and operating under the laws of the State of Florida. The Department reserves the right to require additional insurance where appropriate.

If the successful bidder is a state agency or subdivision as defined in Section 768.28, Florida Statutes, the successful bidder shall furnish the Department, upon request, written verification of liability protection in

accordance with Section 768.28, Florida Statutes. Nothing herein shall be construed to extend any party's liability beyond that provided in Section 768.28, Florida Statutes.

7.12.2 Performance Guarantee

The Contractor shall furnish the Department with a Performance Guarantee in the amount of one million dollars (\$1,000,000.00) that shall be in effect for each year of the term of the Contract. The guarantee shall be in the form of a surety bond, made payable to the Department and issued by a surety company authorized to do business in the State of Florida by the Department of Financial Services and in compliance with applicable Florida Statutes. The guarantee shall be furnished to the Contract Manager within thirty (30) days after execution of the Contract which may result from this ITB. No payments shall be made to the Contractor until the guarantee is in place and approved by the Department in writing. Upon renewal of the Contract which may result from this ITB, the Contractor shall provide proof that the performance guarantee has been renewed for the term of the Contract renewal.

7.13 Non-Discrimination

No person, on the grounds of race, creed, color, national origin, age, gender, marital status or disability, shall be excluded from participation in, be denied the proceeds or benefits of, or be otherwise subjected to, discrimination in the performance of the Contract resulting from this ITB.

7.14 American with Disabilities Act

The Contractor shall comply with the Americans with Disabilities Act. In the event of the Contractor's noncompliance with the nondiscrimination clauses, the Americans with Disabilities Act, or with any other such rules, regulations, or orders, the Contract resulting from this ITB may be canceled, terminated, or suspended in whole or in part and the Contractor may be declared ineligible for further contracts.

7.15 Sponsorship

If the Contractor is a non-governmental organization which sponsors a program financed partially by State funds, including any funds obtained through the Contract resulting from this ITB, it shall, in publicizing, advertising, or describing the sponsorship of the program, state: "Sponsored by *Contractor's name* and the State of Florida, Department of Corrections." If the sponsorship reference is in written material, the words "State of Florida, Department of Corrections" shall appear in the same size letters or type as the name of the organization.

7.16 Materials with Recycled Content

It is expressly understood and agreed that any products or materials which are the subject of, or are required to carry out, this Contract shall be procured in accordance with the provisions of Section 403.7065, Florida Statutes.

7.17 Employment of Department Personnel

The successful bidder shall not knowingly engage, employ or utilize, on a full-time, part-time, or other basis during the period of the Contract resulting from this ITB, any current or former employee of the Department where such employment conflicts with Section 112.3185, Florida Statutes.

7.18 Conflict Of Interest

The award hereunder is subject to the provisions of Chapter 112, F.S. All bidders must disclose with their bid the name of any officer, director, or agent who is also an employee of the Department. Further, all bidders must disclose the name of any Department employee who owns, directly or indirectly, an interest of five percent (5%) or more in the bidders firm or any of its branches. In accordance with Chapter 287, F.S., no person or firm receiving a contract that has not been procured pursuant to Section 287.057(2) or (3), F.S., to perform a feasibility study of the potential

implementation for a subsequent contract, participating in the drafting of an invitation for bids or request for proposals, or developing a program for future implementation shall be eligible to contract with the agency for any other contracts dealing with that specific subject matter: and bidders must disclose with their bid any such conflict of interest.

7.19 Disputes

Any dispute concerning performance of the Contract resulting from this ITB, shall be resolved informally by the Contract Manager. Any administrative dispute that cannot be resolved informally shall be reduced to writing and delivered to the Contract Manager's Director. The Director shall decide the dispute, reduce the decision to writing, and deliver a copy to the Contractor, the Contract Manager, and the Contract Administrator.

7.20 Independent Contractor

The Contractor shall be considered an Independent Contractor in the performance of its duties and responsibilities under the Contract resulting from this ITB. The Department shall neither have nor exercise any control or direction over the methods by which the Contractor shall perform its work and functions other than as provided herein. Nothing in the Contract resulting from this ITB is intended to, nor shall be deemed to constitute, a partnership or a joint venture between the parties.

7.21 Subcontracts

The Contractor is fully responsible for all work performed under the Contract resulting from this ITB. The Contractor may, upon receiving prior written consent from the Department's Contract Manager, enter into written subcontract(s) for performance of certain of its functions under the Contract resulting from this ITB. No subcontract, which the Contractor enters into with respect to performance of any of its functions under the Contract resulting from this ITB, shall in any way relieve the Contractor of any responsibility for the performance of its duties. All subcontractors, regardless of function, providing services on Department property, shall comply with the Department's security requirements, as defined by the Department, including background checks, and all other Contract requirements. All payments to subcontractors shall be made by the Contractor.

If a subcontractor is utilized by the Contractor, the Contractor shall pay the subcontractor within seven (7) working days after receipt of full or partial payments from the Department, in accordance with Section 287.0585, Florida Statutes. It is understood and agreed that the Department shall not be liable to any subcontractor for any expenses or liabilities incurred under the subcontract and that the Contractor shall be solely liable to the subcontractor for all expenses and liabilities under the Contract resulting from this ITB. Failure by the Contractor to pay the subcontractor within seven (7) working days will result in a penalty to be paid by the Contractor to the subcontractor in the amount of one-half (½) of one percent (1%) of the amount due per day from the expiration of the period allowed herein for payment. Such penalty shall be in addition to actual payments owed and shall not exceed fifteen percent (15%) of the outstanding balance due.

7.22 Assignment

The successful bidder shall not assign its responsibilities or interests under the Contract resulting from this ITB to another party without prior written approval of the Department's Contract Manager. The Department shall, at all times, be entitled to assign or transfer its rights, duties and obligations under the Contract resulting from this ITB to another governmental agency of the State of Florida upon giving written notice to the successful bidder.

7.23 No Third Party Beneficiaries

Except as otherwise expressly provided herein, neither the Contract resulting from this ITB, nor any amendment, addendum or exhibit attached hereto, nor term, provision or clause contained therein, shall be construed as being for the benefit of, or providing a benefit to, any party not a signatory hereto.

7.24 Reservation of Rights

The Department reserves the exclusive right to make certain determinations regarding the service requirements outlined in the Contract resulting from this ITB. The absence of the Department setting forth a specific reservation of rights does not mean that any provision regarding the services to be performed under the Contract resulting from this ITB are subject to mutual agreement. The Department reserves the right to make any and all determinations exclusively which it deems are necessary to protect the best interests of the State of Florida and the health, safety and welfare of the Department's inmates and of the general public which is serviced by the Department, either directly or indirectly, through these services.

7.25 Legal Requirements

Applicable provision of all Federal, State, county and local laws, and all ordinances, rules, and regulations shall govern development, submittal and evaluation of all bids received in response hereto and shall govern any and all claims and disputes which may arise between person(s) submitting a bid response hereto and the State of Florida, by and through its officers, employees and authorized representatives, or any other person, natural or otherwise; and lack of knowledge by any bidder shall not constitute a cognizable defense against the legal effect thereof.

7.26 Force Majeure

Neither party shall be liable for loss or damage suffered as a result of any delay or failure in performance under the Contract resulting from this ITB or interruption of performance resulting directly or indirectly from acts of God, accidents, fire, explosions, earthquakes, floods, water, wind, lightning, civil or military authority, acts of public enemy, war, riots, civil disturbances, insurrections, strikes, or labor disputes.

7.27 Severability

The invalidity or unenforceability of any particular provision of the Contract resulting from this ITB shall not affect the other provisions hereof and the Contract resulting from this ITB shall be construed in all respects as if such invalid or unenforceable provision was omitted, so long as the material purposes of the Contract resulting from this ITB can still be determined and effectuated.

7.28 Use of Funds for Lobbying Prohibited

The Contractor agrees to comply with the provisions of Section 216.347, Florida Statutes, which prohibits the expenditure of state funds for the purposes of lobbying the Legislature, the judicial branch, or a state agency.

7.29 Convicted Felons Certification

No personnel assigned to this Contract may be a convicted felon or have relatives either confined by or under supervision of the Department, unless an exception is granted.

7.30 Prison Rape Elimination Act (PREA)

The Contractor will comply with the national standards to prevent, detect, and respond to prison rape under the Prison Rape Elimination Act (PREA), Federal Rule 28 C.F.R. Part 115. The Contractor will also comply with all Department policies and procedures that relate to PREA.

*** MANDATORY FORM ***

**ATTACHMENT 1 – CERTIFICATION /ATTESTATION PAGE FOR MANDATORY STATEMENTS
DC ITB -13-018**

1. **Business/Corporate Experience:** This is to certify that the proposer has at least seven (7) years of business/corporate experience relevant to the provision of Full Service - Food Service Operations within the last three (3) years.
2. **Authority to Legally Bind the Proposer:** This is to certify that the person signing the Florida Department of Corrections ITB Contractual Services' Cover Sheet and this Certification/Attestation Page is authorized to make this affidavit on behalf of the firm, and its owner, directors and officers. This person is the person in the Proposer's firm responsible for the prices and total amount of this Bid and the preparation of the Bid.
3. **Acceptance of Terms and Conditions:** This is to certify that the Bidder will comply with all terms and conditions contained within the ITB.
4. **Certification of Minimum Service Requirements:** This is to certify that the services proposed meet or exceed the minimum service requirements as specified in Section 3, Scope of Service, of this ITB. Furthermore, this is to certify that the proposal submission contains no deviations from the requirements of the ITB.
5. **Statement of No Involvement:** This is to certify that the person signing the proposal has not participated, and will not participate, in any action contrary to the terms of this ITB.
6. **Statement of No Inducement:** This is to certify that no attempt has been made or will be made by the Bidder to induce any other person or firm to submit or not to submit a Bid with regard to this ITB. Furthermore this is to certify that the Bid contained herein is submitted in good faith and not pursuant to any agreement or discussion with, or inducement from, any firm or person to submit a complementary or other non-competitive proposal.
7. **Statement of Non-Disclosure:** This is to certify that neither the price(s) contained in this Bid, nor the approximate amount of this proposal have been disclosed prior to award, directly or indirectly, to any other proposer or to any competitor.
8. **Statement of Non-Collusion:** This is to certify that the prices and amounts in this Bid have been arrived at independently, without consultation, communications, or agreement as to any matter relating to such prices with any other proposer or with any competitor and not for the purpose of restricting competition.
9. **Non-Discrimination Statement:** This is to certify that the Bidder does not discriminate in their employment practices with regard to race, creed, color, national origin, age, gender, marital status or disability.
10. **Unauthorized Alien Statement:** This is to certify that the Bidder does not knowingly employ unauthorized alien workers.
11. **Statement of No Investigation/Conviction:** This is to certify that Bidder its affiliates, subsidiaries, officers, directors and employees are not currently under investigation by any governmental agency and have not in the last three years been convicted or found liable for any act prohibited by State or Federal law in any jurisdiction, involving conspiracy or collusion with respect to bidding on any public contract.
12. **Scrutinized Companies Lists:** If value of this solicitation is greater than or equal to \$1 Million, then the Bidder certifies they are not listed on either the Scrutinized Companies with Activities in Sudan List or the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List.

Dated this _____ day of _____ 20__.

Name of Organization: _____

Signed by: _____

Title: _____

being duly sworn deposes and says that the information herein is true and sufficiently complete so as not to be misleading.

Subscribed and sworn before me this _____ day of _____ 20__.

Notary Public: _____

My Commission Expires: _____

**ATTACHMENT 2 – INSTITUTIONS LIST
DEPARTMENT OF CORRECTIONS**

** Indicates a work camp adjacent to an institution.*

<i>Region I</i>	
<p>Jefferson Correctional Institution 1050 Big Joe Road Monticello, Florida 32344-0430</p>	<p>Tallahassee WRC <u>Physical Address</u> 2616A Springhill Road <u>Delivery Address</u> 2628 Springhill Road Tallahassee, Florida 32310-6730</p>
<i>Region II</i>	
<p>*Marion Correctional Institution 3269 NW 105th Street Lowell, Florida 32663</p>	<p>Marion Work Camp Post Office Box 158 3269 NW 105th Street Lowell, Florida 32663-0158</p>
<p>Gainesville Work Camp 1000 NE 55th Blvd. State Road 26 East Gainesville, Florida 32641-6067</p>	
<i>Region III</i>	
<p>*Hardee Correctional Institution 6901 State Road 62 Bowling Green, Florida 33834</p>	<p>Hardee Work Camp 6899 State Road 62 Bowling Green, Florida 33834-9505</p>

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**ATTACHMENT 3- SECURITY GUIDELINES
REQUIREMENTS FOR CONTRACTORS
DC ITB-13-018**

- (1) FS 944.47: Except through regular channels as authorized by the officer-in-charge of the correctional institution, it is unlawful to introduce into or upon the grounds of any state correctional institution, or to take or attempt to take or send or attempt to send therefrom any of the following articles, which are hereby declared to be contraband.
- (a) Any written or recorded communication or any currency or coin given or transmitted, or intended to be given or transmitted, to any inmate of any state correctional institution.
 - (b) Any article of food or clothing given or transmitted, or intended to be given or transmitted, to any inmate of any state correctional institution.
 - (c) Any intoxicating beverage or beverage which causes or may cause an intoxicating effect.
 - (d) Any controlled substance or any prescription or nonprescription drug having a hypnotic, stimulating or depressing effect.
 - (e) Any firearm or weapon of any kind or any explosive substance. (This includes any weapons left in vehicles)

A person who violates any provision of this section as it pertains to an article of contraband described in subsections (1) a & (1) b is guilty of a felony of the third degree. In all other cases, a violation of a provision of this section constitutes a felony of the second degree.

- (2) Do not leave keys in ignition of motor vehicles. All vehicles must be locked and windows rolled up when parked on state property. Wheel locking devices may also be required.
- (3) Keep all keys in your pockets.
- (4) Confirm, with the Institutional Warden, where construction vehicles should be parked.
- (5) Obtain formal identification (driver's license or non-driver's license obtained from the Department of Highway Safety and Motor Vehicles). This identification must be presented each time you enter or depart the institution and at the request of Departmental staff.
- (6) Absolutely no transactions between contract personnel and inmates are permitted. This includes, but is not limited to, giving or receiving cigarettes, stamps, or letters.
- (7) No communication with inmates, verbal or otherwise, is permitted without the authorization of the officer-in-charge.
- (8) Strict tool control will be enforced at all times. Tools within the correctional institution are classified as AA, A, or B. Class AA tools are defined as any tool that can be utilized to cut chain link fence fiber or razor wire in a rapid and effective manner. Class A tools are defined as those tools which, in their present form, are most likely to be used in an escape or to do bodily harm to staff or inmates. Class B tools are defined as tools of a less hazardous nature. Every tool is to be geographically controlled and accounted for at all times. At the end of the workday, toolboxes will be removed from the compound or to a secure area as directed by security staff. You must have two copies of the correct inventory with each tool box, one copy will be used and retained by security staff who will search and ensure a proper inventory of tools each time the tool box is brought into the facility, the other copy will remain with the tool box at all times. Tools should be kept to a minimum (only those tools necessary to complete your job). All lost tools must be reported to the Chief of Security (Colonel or Major) **immediately**. No inmate will be allowed to leave the area until the lost tool is recovered.
- (9) Prior approval must be obtained from the Chief of Security prior to bringing any powder-activated tools onto the compound. Strict accountability of all powder loads and spent cartridges is required.
- (10) All persons and deliveries to be on Departmental lands will enter and exit by only one designated route to be determined by the Department and subject to security checks at any time. As the security check of vehicles is an intensive and time consuming (10-15 minutes) process, the contractor is requested to minimize the number of deliveries.

- (11) Establish materials storage and working areas with the Warden and/or Chief of Security.
- (12) Control end-of-day construction materials and debris. Construction materials and debris can be used as weapons or as a means of escape. Construction material will be stored in locations agreed to by security staff and debris will be removed to a designated location. Arrange for security staff to inspect the project area before construction personnel leave. This will aid you in assuring that necessary security measures are accomplished.
- (13) Coordinate with the Warden and Chief of Security regarding any shutdown of existing systems (gas, water, electricity, electronics, sewage, etc.). Obtain institutional approval prior to shutting down any existing utility system. Arrange for alternative service (if required) and expeditious re-establishment of the shutdown system.
- (14) All staff and equipment will maintain a minimum distance of 100 feet from all perimeter fencing.
- (15) With the intent of maintaining security upon the institution's grounds, a background check will be made upon all persons employed by the contractor or who work on the project. **The Department, represented by the Institution's Warden, reserves the right to reject any person whom it determines may be a threat to the security of the institution.**

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ATTACHMENT 4 – BUSINESS/CORPORATE REFERENCE
DC ITB-13-018

(THIS FORM MUST BE COMPLETED BY THE PERSON GIVING THE REFERENCE, NOT THE ENTITY FOR WHICH THE REFERENCE IS BEING GIVEN.)

THIS BUSINESS REFERENCE IS FOR (Bidder's Name): _____

NAME OF PERSON PROVIDING REFERENCE: _____

TITLE OF PERSON PROVIDING REFERENCE: _____

FIRM/ENTITY PROVIDING REFERENCE (if applicable): _____

1. How would you describe your relationship to this business/corporate entity? (e.g. Customer, Subcontractor, Employee, Contract Manager, Friend, or Acquaintance)

2. How many years have you done business with this business entity? _____ Please Provide Dates:

3. A. If a Customer, please specifically describe the **primary** service this entity provides to you. i.e. Does this vendor provide prime vendor services or other type of food services?

B. Generally describe the geographic area where services were provided. (number of counties served, section of the state, etc).

C. What was the estimated population of clients that the entity served, to the best of your knowledge?

4. Did this entity act as a primary provider, or as a subcontractor? If a subcontractor, to whom? Please specifically describe the type of service that was provided by the entity for which this reference is being provided.

5. Can you identify the total number of years that this entity has provided prime vendor or food services? Please provide dates to the best of your

knowledge.

6. Do you have a vested interest in this business/corporate entity? If yes, what is that interest? (i.e. employee, subcontractor, stockholder, etc).

7. Have you experienced any problems with this business/corporate entity? If so, please state what the problem is/was and how it was resolved.

8. Would you conduct business with this business/corporate entity again? If no, please state the reason.

9. Are there any additional comments you would like to make about this business entity? Use back of form if necessary.

10. Will you provide a phone number, fax or email address so we may contact you for further questions, if necessary?

ATTACHMENT 5 – PERSONAL REFERENCE
DC ITB-13-018

THIS FORM MUST BE COMPLETED BY THE PERSON GIVING THE REFERENCE, NOT THE PERSON FOR WHOM THE REFERENCE IS BEING GIVEN.)

THIS PERSONNEL REFERENCE IS FOR: _____
THE POSITION THIS REFERENCE IS FOR: _____
NAME OF PERSON PROVIDING REFERENCE: _____
TITLE OF PERSON PROVIDING REFERENCE: _____
FIRM OR BUSINESS NAME: _____
OFFICE TELEPHONE NUMBER: _____ OFFICE E-MAIL ADDRESS: _____

1. What is your business relationship with the person for whom this reference is being provided?

2. Please indicate how long you have been in a business relationship with the above-referenced individual and the nature of the business conducted.

3. What is/was the type of your association with this person?

4. Please indicate if you worked with the above referenced individual in a capacity that related to:
A. Executive Management (please explain): _____

B. Prime Vendor/Food Services Management (please explain): _____

5. Please describe the above-referenced individual's major job duties during your relationship.

6. Please assess the above referenced individual's knowledge in relation to:
A. Executive Management: _____

B. Prime Vendor/Food Services Management: _____

7. Please evaluate this person's ability to solve problems, communicate with others, work under pressure and make decisions. Please evaluate this person's ability to supervise staff.

8. Please evaluate the above-referenced individual's work habits such as attendance, punctuality, dependability, and observance of work rules.

9. Please describe any strengths or weaknesses the above-referenced individual possesses.

10. Would you conduct or engage in business with this person again? If no, please state the reason.

11. Please make any additional comments here.

**ATTACHMENT 6 – APPROVED TURNSTILE SPECIFICATIONS
DC ITB-13-018**

Turnstile shall be a bolt down ADA accessible type designed to operate with high traffic volumes.

Overall dimensions shall be 37" high by 20" wide with the base being approximately 10" with a depth of 4-5 ".

Unit shall be designed for secure & reliable operation. Cabinet inner and outer shells and cover shall be constructed of 14 gauge type 304 stainless /No. 4 satin finish. Arms shall be constructed of 1 5/16" diameter, 12 gauge stainless. Hub shall be 4 1/2" o.d. of 12 gauge stainless.

Unit shall have a manual controlled head allowing uncontrolled traffic flow in one direction with no flow in the opposite direction. Unit shall have a self-centering head with adjustable hydraulic shock suppression. Unit shall contain permanently lubricated bearings and will operate in a clockwise direction. Unit shall have the capability to add interfacing card readers, computer attendance systems, push buttons and wireless remote controls if desired. All finishes shall be a No. 4 satin finish.

Included shall be an electronic resettable counter of at least 6 digits with LXD display and minimal 10 year lithium battery. Installation and operation manuals, shop drawings and anchors shall be included.

The entire unit shall meet requirements of the following standards and codes as applicable: UL, CSA, ASTM AISI &AWS

WARRANTY: Units are to be warranted against defects in materials and workmanship for a period of one (1) year from date of delivery.

"Controlled Access, Inc" The Brute Series BR5000-ADA or approved equivalent

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**ATTACHMENT 7 – STAFFING LEVEL REQUIREMENTS
DC ITB-13-018**

Region	Facility	FSD II	Asst. FSD II	Food Production Hourly	FP Lead Worker
1	Jefferson CI	1	0	3	3
1	Tallahassee WRC	0	0	0	1
2	Marion CI	1	0	3	3
2	Marion WC	0	0	3	0
2	Gainesville WC	0	0	2	3
3	Hardee CI	1	0	3	3
3	Hardee WC	0	0	3	0

ATTACHMENT 8 – APPROVED FOOD PRODUCTS LIST AND SPECIFICATIONS

Product Number	Product	Product Description and Product Specification	Pack
1	Apple Juice	JUICE, APPLE, CONCENTRATE: to be packed to U.S. Grade A standards; 100% juice; clear, 4:1 ratio;	4/120 oz
2	Applesauce	APPLESAUCE, CANNED, UNSWEETENED: to be packed to U.S. Grade A Standard; natural flavor; natural color; Unsweetened; regular form or style; 6/10	6/10 cn
3	Baking Powder	BAKING POWDER, DOUBLE ACTING: industry standard; 8/5 lb	8/5 lb
4	Baking Soda	BICARBONATE OF SODA: industry standard; 24/1 lb	24/1 lb
5	Barbecue Sauce	BARBECUE SAUCE: shall comply with CID A-A20305A; flavor III; type B; Hickory smoke flavor; plastic containers only; approved brands: Kens or approved equivalent	4/1 gal
6	Beans, Great Northern, Dry	BEAN, GREAT NORTHERN, DRY: to be packed to U.S. Grade standard No. 1; 50 lb	50 lb
7	Vegetable, Beans, Green, Cut	BEAN, GREEN, CUT, FROZEN: round type; to be packed to U.S. grade B standard; 20 lb bulk	20lb/case
8	Beans, Kidney, Dry	BEAN, KIDNEY, DRY: to be packed to U.S. Grade standard No. 1; 50 lb	50 lb
9	Kidney Beans, Canned, Kosher	BEAN, KIDNEY, CANNED, KOSHER: shall comply with CID A-A 20134B; Type I; Class F (Light Red Kidney); Style I (Brine); Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K"; 6/#10 cans	6/10 cn
10	Beans, Pinto, Dry	BEAN, PINTO, DRY: to be packed to U.S. Grade standard No. 1; 50 lb	50 lb
11	Pinto Beans, Canned, Kosher	BEAN, PINTO, CANNED, KOSHER: shall comply with CID A-A 20134B; Type I; Class B (Pinto); Style I (Brine); Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". 6/#10 cans	6/10 cn
12	Soup Base, Vegetarian, Beef Like	SOUP BASE, BEEF LIKE, VEGETARIAN: low sodium; no animal products; shelf stable; 1 lb yields 6 gal; Approved Brands: Food Concepts or approved equivalent	25lb/case
13	Bread, Sliced	BREAD, SLICED, ENRICHED: day old acceptable; round top, sliced 0.9 oz/slice, 26 slices per loaf; 24 oz./loaf	24 oz
14	Bread, Sliced	BREAD, SLICED, ENRICHED: day old acceptable; round top, sliced 0.9 oz/slice, 22 slices per loaf; 20 oz./loaf	20 oz
15	Bread, Whole Wheat, Sliced	BREAD, WHOLE WHEAT, SLICED, ENRICHED: whole grain must be listed as the first ingredient, day old acceptable; round top, sliced 1.0 oz/slice.	20 oz
16	Beverage, Base, Powdered, Cherry	BEVERAGE BASE, POWDERED: cherry flavored; fortified; minimum requirements: calcium, 177 mg; vitamin C, 88 mg; B12, 2.7 mcg; D2, 58 IU; potassium, 150 mg; 5 oz. mix yields 5 gal; Approved brands: Citrus King, Food Concepts or approved equivalent	72/5oz/case
17	Beverage, Base, Powdered, Grape	BEVERAGE BASE, POWDERED: grape flavored; fortified; minimum requirements: calcium, 177 mg; vitamin C, 88 mg; B12, 2.7 mcg; D2, 58 IU; potassium, 150 mg; 5 oz. mix yields 5 gal; Approved brands: Citrus King, Food Concepts or approved equivalent	72/5oz/case
18	Beverage, Base, Powdered, Various Flavors, PC - Orange	BEVERAGE BASE, POWDERED, ORANGE: PC; fortified; minimum requirements: calcium, 177 mg; vitamin C, 88 mg; B12, 2.7 mcg; D2, 58 IU; potassium, 150 mg; each packet to yield 8 oz; Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved brands: Citrus King, Food Concepts or approved equivalent	100/case

**Attachment 8 – Approved Food Products List and Specifications
Continued**

Product Number	Product	Product Description and Product Specification	Pack
19	Beverage, Base, Powdered, Various Flavors, PC - Grape	BEVERAGE BASE, POWDERED, GRAPE: PC; fortified; minimum requirements: calcium, 177 mg; vitamin C, 88 mg; B12, 2.7 mcg; D2, 58 IU; potassium, 150 mg; each packet to yield 8 oz; Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved brands: Citrus King, Food Concepts or approved equivalent	100/case
20	Beverage, Base, Powdered, Various Flavors, PC - Cherry	BEVERAGE BASE, POWDERED, CHERRY: PC; fortified; minimum requirements: calcium, 177 mg; vitamin C, 88 mg; B12, 2.7 mcg; D2, 58 IU; potassium, 150 mg; each packet to yield 8 oz; Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved brands: Citrus King, Food Concepts or approved equivalent	100/case
21	Mix, Brownie	MIX, BROWNIE, CHOCOLATE: Shall conform to CID A-A-20181B for Bakery Mixes; Type VI; made with enriched flour that conforms to U.S. Standards of Identity for Enriched Flour; add water only mix; 50 lb bag; Approved Brands: Gilster Mary-Lee or approved equivalent.	50lb/bag
22	Cake Mix, Devil's Food	CAKE MIX, DEVIL'S FOOD: Cake Mix shall comply with all applicable Federal and State mandatory requirements and regulations relating to the preparation, packaging, labeling, storage, distribution, and sales of the mix within the commercial marketplace. The mix shall contain flour, leavening agents, and other ingredients appropriate for the type, style, and class of mix. Approved Brands: General Foods, General Mills, Pillsbury, Quaker, Gilster-Mary Lee, Host Favorite, or equivalent.	25lb/bag
23	Mix, Cake, White	MIX, CAKE, WHITE: Shall to conform to CID A-A 20181B for Bakery Mixes; Type I; Style A; made with enriched flour that conforms to U.S. Standards of Identity for Enriched Flour; add water only mix; 50 lb bag; Approved Brands: Chelsea Mills or approved equivalent.	50lb/bag
24	Mix, Cake, Yellow	MIX, CAKE, YELLOW: Shall to conform to CID A-A 20181B for Bakery Mixes; Type I; Style B; made with enriched flour that conforms to U.S. Standards of Identity for Enriched Flour; add water only mix; 50 lb bag; Approved Brands: Chelsea Mills or approved equivalent.	50lb/bag
25	Carrots, Diced, Frozen	CARROTS, DICED, FROZEN: to be packed to U.S. Grade A standards; 1/4 to 3/8 inch dice; 20 lb	20lb/case
26	Cereal, Corn Flakes, Low Sodium, .75 oz Bowl	CEREAL, CORNFLAKES, LS, ENRICHED: shall comply with CID A-A-20000D; type II; class 1; 96/1 oz. bowl, approved brands: Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Kellogg's, Gilster-Mary Lee or equivalent	Case 96/.75 oz
27	Oatmeal, Quick Cooking	CEREAL, OATMEAL: shall comply with CID A-A-20090E; type II; flavor A; style 1; rolled oats; quick cooking; 50 lb bag; Approved brands: Quaker; Gilster-Mary Lee or equivalent	50lb/case
28	Cheese, Imitation, Fortified	CHEESE, AMERICAN, IMITATION: satisfactory meltability; stagger stacked; fortified to contain 400 mg calcium per ounce; one (1) or one-half (1/2) ounce slices; 240 day shelf life; approved brands: Beaver Valley or approved equivalent; 4/5 lb loafs/case	20lb/case
29	Cheese Sauce	CHEESE SAUCE, POWDERED: shall comply with CID A-A 20345; type III ; flavor D; add water only; Approved Brands: Economy, Food Concepts or approved equivalent; 40 lb bag	40lb/bag
30	Chicken , Leg Quarter	CHICKEN, LEG QUARTERS, FROZEN: processed from U.S Grade A chickens; broilers/fryers; individually frozen; packed in 2 mil low density polyethylene bags; 9 - 14 oz portions; processing and delivery standards to comply with Title 9 CFR 381.66; 40 lb case	40lb/case

**Attachment 8 – Approved Food Products List and Specifications
continued**

Product Number	Product	Product Description and Product Specification	Pack
31	Soup Base, Vegetarian, Chicken Like	SOUP BASE, CHICKEN LIKE, VEGETARIAN: low sodium; no animal products; shelf stable; 1 lb yields 6 gal; Approved Brands: Food Concepts or approved equivalent.	25lb/case
32	Poultry Patty, Pepper Flavored	POULTRY PATTY, 50/50 SOY BLEND, PEPPER FLAVORED: 4 oz pre-cooked weight; 50/50 blend mechanically separated turkey or chicken/VPP; VPP allowed in accordance with Title 7 CFR 210; 18% protein by weight when fully rehydrated or formulated; not to exceed 15% fat; not to exceed 300mg sodium per 113.2g (4 oz); Approved Brands: PRIDE or approved equivalent; 80/4 oz case	20lb/case
33	Poultry Patty, Smoke Flavored	POULTRY PATTY, 50/50 SOY BLEND, SMOKE FLAVORED: 4 oz pre-cooked weight; 50/50 blend mechanically separated turkey or chicken/VPP; VPP allowed in accordance with Title 7 CFR 210; 18% protein by weight when fully rehydrated or formulated; not to exceed 15% fat; not to exceed 60 mg sodium per 113.4g (4 oz); Approved Brands: PRIDE or approved equivalent; 80/4 oz case	20lb/case
34	Poultry Patty, Buffalo Flavored	POULTRY PATTY, 50/50 SOY BLEND, BUFFALO FLAVORED: 4 oz pre-cooked weight; 50/50 blend mechanically separated turkey or chicken/VPP; VPP allowed in accordance with Title 7 CFR 210; 18% protein by weight when fully rehydrated or formulated; not to exceed 15% fat; not to exceed 300mg sodium per 113.4g (4 oz); Approved Brands: PRIDE or approved equivalent; 80/4 oz case	20lb/case
35	Poultry Patty, Savory Flavored	POULTRY PATTY, 50/50 SOY BLEND, SAVORY FLAVORED: 4 oz pre-cooked weight; 50/50 blend mechanically separated turkey or chicken/VPP; VPP allowed in accordance with Title 7 CFR 210; 18% protein by weight when fully rehydrated or formulated; not to exceed 15% fat; not to exceed 300mg sodium per 113.4g (4 oz); Approved Brands: PRIDE or approved equivalent; 80/4 oz case	20lb/case
36	Poultry Patty, Zesty Flavoring	POULTRY PATTY, 50/50 SOY BLEND, ZESTY FLAVORED: 4 oz pre-cooked weight; 50/50 blend mechanically separated turkey or chicken/VPP; VPP allowed in accordance with Title 7 CFR 210; 18% protein by weight when fully rehydrated or formulated; not to exceed 15% fat; not to exceed 300mg sodium per 113.4g (4 oz); Approved Brands: PRIDE or approved equivalent; 80/4 oz case	20lb/case
37	Coffee, Instant	COFFEE, INSTANT: shall comply with CID A-A 20184B; type I; style A; 60/8 oz bags case; approved brands: Brisk or equivalent.	30lb/case
38	Coffee, Instant, Kosher	COFFEE, INSTANT: shall comply with CID A-A 20184B; type I; style A; 24/4 oz. 500/ea packs spray dried.; Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved brands: Emerald Coast or approved equivalent.	500/cs
39	Mix, Cookie, Basic	MIX, COOKIE, BASIC: Shall comply with CID A-A-20181B for Bakery Mixes; Type VII - Cookie Mixes; style D; made with enriched flour that conforms to U.S. Standards of Identity for Enriched Flour; add water only mix; Approved Brands: Chelsea Mills or approved equivalent; 50 lb bag	50lb/bag
40	Cornstarch	CORNSTARCH: Shall be a pure, unmodified, pulverized, white, free flowing powder derived from dent corn (maize). Shall comply with all Federal and State requirements. 85% minimum starch.	24/1 lb
41	Vegetable, Corn, Whole Kernel	CORN, WHOLE KERNEL, FROZEN: to be packed to U. S. Grade B standard; yellow or golden; 20 lb case	20lb/case
42	Milk, Dry	MILK, DRY; shall comply with CID A-A20085C; type II; class B; fortified with vitamins A & D. To reconstitute as a one to one replacement for whole, 2%, or skim milk. Approved Brand: Gilster Mary-Lee, Economy or equivalent	2/25lb/bag

**Attachment 8 – Approved Food Products List and Specifications
continued**

Product Number	Product	Product Description and Product Specification	Pack
43	Dressing, French	DRESSING, FRENCH: shall comply with CID A-A 20162B; Type I; Class A; Style 1; 4/1 gal; plastic containers only; Approved Brands: Ken's, Royal or approved equivalent.	4/1gal/case
44	Dressing, Salad	DRESSING, SALAD, MAYONNAISE TYPE: shall comply with CID A-A-20140; Type I; Style A; 4/1 gal, plastic containers only; Approved Brands: Harvest Value or approved equivalent	4/1gal/case
45	Eggs, Frozen, Scramble-In-The-Bag	EGGS, PASTURIZED, FROZEN: no salt added; homogenized whole eggs, skim milk, corn starch, xanthan gum, citric acid, annato; packed and frozen in a bag specially designed for cooking in hot water; must be from a USDA approved egg product plant with an official USDA shield on the label; 6/5lb case	6/5lb/case
46	Eggs, Fresh	EGGS, FRESH: Grade A; large.	30dz/case
47	Eggs, Fresh	EGGS, FRESH: Grade A; large.	15/dz/case
48	Flavoring, Vanilla, imitation	VANILLA FLAVORING, IMITATION: non-alcoholic.; carmel colored; plastic containers only; Approved brands: Durkee, Flaco, French, McCormick or equivalent; 4/1 gal	4/1gal/case
49	Flour, General Purpose	FLOUR, WHEAT: all purpose; enriched; bleached; shall comply with CID A-A 20126F; Type III, Style B; 50 lb bag	50lb/bag
50	Greens, Collard	GREENS, COLLARD, FROZEN: to be packed to U.S. Grade A standard; chopped. 36 lb case	12/3lb/case
51	Greens, Turnip	GREENS, TURNIP WITH TURNIP ROOT, FROZEN: to be packed to U.S. Grade A standard; chopped with diced turnips; 80/20 proportion. 36 lb case	12/3lb/case
52	Grits	GRITS, WHITE, ENRICHED: shall comply with CID A-A 20035D; type 1; style B; flavor 1; quick cooking; Approved brands: Jim Dandy Quaker, Gilster Mary-Lee or equivalent; 8/5 lb case	8/5 lb
53	Grits	GRITS, WHITE or YELLOW, ENRICHED: shall comply with CID A-A 20035D; type I or II; style B; flavor 1; quick cooking; Approved brands: Jim Dandy, Quaker, Gilster Mary-Lee or equivalent; 50 lb bag	50lb/bag
54	Jelly, PC	JELLY: Assorted flavors. Individual serving portions. 10 gram packets. Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved brands: Poco Pac or equivalent.	200ea/case
55	Jelly, Apple	JELLY, APPLE: shall comply with CID A-A 20078C; Type I; Kind A; Style 1; Grade A. Approved brands: Sunshine or approved equivalent; 12/4 lb bags/case	12/4lb/bags
56	Jelly, Grape	JELLY, GRAPE: shall comply with CID A-A 20078C; Type I; Kind M; Style 1; Grade A. Approved brands: Sunshine or approved equivalent; 12/4 lb bags/case	12/4lb/bags
57	Kosher Jelly, Grape	KOSHER JELLY, GRAPE: shall comply with CID A-A 20078C; Type I; Kind M; Style 1; Grade A; Plastic jars . Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved Brand: Smuckers or approved equivalent.	12/20 oz
58	Catsup	CATSUP, CANNED: to be packed to U.S. Grade C standard; 6/10 cans	6/10 cn
59	Catsup, Individuals	CATSUP, INDIVIDUALS: to be packed to U.S. Grade B standards; not less than 5 gram packets; 1000 case	1000/case
60	Macaroni, Elbow	PASTA, MACARONI: shall comply with CID A-A 20062E; type I; style A; made from enriched semolina and durum wheat flour; 20 lb case	20lb/case
61	Mayonnaise, Individuals	MAYONNAISE, INDIVIDUALS: shall comply with CID A-A-20140D; type I; style A; 12 gram packet; Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". 200 case	500/cs

**Attachment 8 – Approved Food Products List and Specifications
continued**

Product Number	Product	Product Description and Product Specification	Pack
62	Milk, Low Fat, 1%	MILK, 1%: shall comply with CID A-A 20338; group I; type C; fortified with vitamins D & A; maximum of 3 g or less total fat; 48 -1/2 pint case	48/.5 pt/case
63	Milk, Skim	MILK, SKIM: shall comply with CID A-A 20338; group I; type D; fortified with vitamins D & A; less than 0.5 g of total fat; 48 -1/2 pint case	48/.5 pt/case
64	Vegetable, Mixed	MIXED VEGETABLES, FROZEN: to be packed to U.S. Grade A standards; 4-way mix to include corn, green beans, peas and carrots; none of the vegetables to be less than 8% or more than 35% by weight; frozen, bulk pack; 20 lb case	20lb/case
65	Mustard	MUSTARD, PREPARED: shall comply with CID A-A 20036C; type I; plastic containers only; 4/1 gal	4/1gal/case
66	Mustard, Individuals	MUSTARD, PREPARED, INDIVIDUALS: shall comply with CID A-A 20036C; type I; not less than 4.5 gram packets; 500 cs.	500/cs
67	Margarine	MARGARINE: shall comply to CID A-A 20357; type I; style B; size 2; no animal fat; 1 lb solids individually wrapped. 30 lb case	30/1lb/case
68	Margarine, TFF	MARGARINE, TFF: shall comply to CID A-A 20357; type IV; style B; size 2; 1 lb solids individually wrapped. 30 lb case	30/1lb/case
69	Orange Juice	JUICE, ORANGE, CONCENTRATE: to be packed to U.S. Grade A standards; 100% juice; non-refrigerated, unsweetened, grade A. Reconstitute 4:1 ratio;	4/120 oz
70	Pancake Mix	MIX, PANCAKE: Shall comply with CID A-A-20181B; Type II - Quick Bread Mixes; Class I; Style C; made with enriched flour that conforms to U.S. Standards of Identity for Enriched Flour; add water only mix; 50 lb bag; Approved brands: Gilster Mary Lee, Chelsea Mills or approved equivalent.	50lb/bag
71	Peaches	PEACHES, SLICED, CANNED: to be packed to U.S. Grade B standard; packed in light syrup, natural fruit juice or water; drain weight: 72 oz.; 6/#10 case	6/10 cn
72	Peanut Butter, Smooth, Low Salt/No Salt	PEANUT BUTTER, NO/LOW SALT: to be packed to U.S. Grade A standards; stabilized; Style I; Class-A; Texture I; Type a; non-fortified; max 5 mg sodium per ounce; 35 lb tub. Approved brands: Sunshine or approved equivalent	35 lb tubs
73	Peanut Butter, Creamy, Kosher	PEANUT BUTTER, CREAMY, KOSHER: shall comply with CID A-A 20328B; U.S. Grade A standards; stabilized; Style I; Class-A; Texture I; Type a; non-fortified; Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved brands: Skippy or approved equivalent	6/4 lb
74	Peanut Butter, Creamy, Kosher, PC	PEANUT BUTTER, CREAMY, KOSHER: shall comply with CID A-A 20328B; U.S. Grade A standards; stabilized; Style I; Class-A; Texture I; Type a; non-fortified; Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved brands: Skippy or approved equivalent	200/3 oz pouch
75	Pepper, Disposable Shakers	PEPPER, BLACK, GROUND: shall comply with CID A-A 20001B; class X; form 1; disposable shaker; 1.50 oz; 48 case	48/case
76	Pepper, Individuals	PEPPER, BLACK, GROUND: shall comply with CID A-A 20001B; class X; form 1; individual packets; 3000 case	3/1000/cs
77	Vegetable, Peppers, Green, Frozen, Diced	PEPPERS, GREEN, FROZEN, DICED: to be packed to U.S. Grade A standard; type I; 20 lb case	20lb/case
78	Pineapple	PINEAPPLE, CANNED: tidbits; to be packed to U.S Grade B standards; solid pack in water and/or juice; no added sweetener; drain weight, 63 ounces; 6/10 cans	6/10 cn
79	Rice	RICE, WHITE, ENRICHED, MILLED: to be packed to meet USDA Standards of Rice; medium or long grain; parboiled; 50 lb case.	50lb/case

**Attachment 8 – Approved Food Products List and Specifications
continued**

Product Number	Product	Product Description and Product Specification	Pack
80	Rotini	PASTA, ROTINI: shall comply with CID A-A 20062E; type V; style A; made from enriched semolina and durum wheat flour; 20 lb case	20lb/case
81	Salad Oil	OIL, VEGETABLE: to comply with CID A-A-20091D; Type I; style A; plastic containers only; 3/1 gal	3/1gal/case
82	Salt	SALT, IODIZED: fine; table; 25 lb bag	25lb/bag
83	Salt	SALT, IODIZED: fine; table; disposable shakers; 4 ounce; 48/case	48/case
84	Salt	SALT, IODIZED: fine; table; packets; Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". 3000 ea.	3/1000/cs
85	Soy Sauce	SOY SAUCE: shall comply with CID A-A 20087C; type II, non-fermented; plastic containers only; 4/1 gal	4/1gal/case
86	Spaghetti	PASTA, SPAGHETTI: shall comply with CID A-A 20062E; type VI; style A; made from enriched semolina and durum wheat flour; 20 lb case	20lb/case
87	Spinach, Canned	GREENS, SPINACH, CANNED: to be packed to U.S. Grade A standards; chopped; drain weight, 58 ounces; 6/10 cans	6/10 cn
88	Spinach, Frozen	GREENS, SPINACH, FROZEN: to be packed to U.S. Grade A standard; chopped. 36 lb case	12/3lb/case
89	Vegetable, Squash, Frozen, Zucchini	SQUASH, ZUCCHINI, FROZEN: to be packed to U.S. Grade A standard; sliced; 20 lb case.	20lb/case
90	Syrup, Maple, Imitation	SYRUP, TABLE: shall comply with CID A-A 20124D; Style IV; type 1; flavor A. 4/1 gal, plastic containers only; Approved Brands: Hungry Jack or approved equivalent	4/1gal/case
91	Tea, Powdered Mix	BEVERAGE BASE, POWDERED: tea flavored; fortified; minimum requirements: calcium, 133 mg; vitamin C, 88 mg; B12, 2.7 mcg; D2, 58 IU; potassium, 150 mg; zinc lactate 1 mg; 5 oz. mix yields 5 gal; Approved brands: Citrus King, Food Concepts or approved equivalent	72/5oz/case
92	Tomatoes, Canned	TOMATOES, DICED, CANNED: to be packed to U.S. Grade C standard; packed in juice; drain weight - 63.5 oz; 6/10 case	6/10 cn
93	Tomato Paste	TOMATO PASTE, CANNED: to be packed to U.S. Grade B standard; 6/10 case	6/10 cn
94	Tomato Sauce	TOMATO SAUCE, CANNED: to be packed to U.S. Grade A standard; 6/10 case	6/10 cn
95	Turkey Breast	TURKEY BREAST, SLICED: cured turkey breast meat; BL; fully cooked (oven prepared); Gluten free; water not to exceed 20%; < 15% fat; 90 day shelf life; appearance of white meat turkey. 1 oz slices; 3/5lb/case. Approved brands: Jennie-O, Perdue or approved equivalent	3/5 lb
96	Poultry Franks	POULTRY FRANKS, FROZEN: made from turkey or chicken; no internal organs; fat not to exceed 20%; USDA or FDA inspected; 10 to 1; individual links; gluten-free; 1 mil poly bag to protect entire case; Approved brands: Jennie-O, Perdue or approved equivalent; 20 lb case	20lb/case
97	Poultry, Ground	POULTRY, GROUND: Whole muscle portions from turkey or chicken carcasses after completion of deboning process. Muscle portions in natural proportions of white and dark meats; 15% fat or less; not to exceed 70 mg sodium per 113.4g (4 oz); Approved Brands: Miami Beef or approved equivalent	4/10/case
98	Poultry, Ground Bulk w/VPP 50/50	POULTRY, GROUND w/VPP, 50/50: made from mechanically separated turkey or chicken, water and vegetable protein product (VPP); VPP allowed in accordance with Title 7 CFR 210; 18% protein by weight when fully rehydrated or formulated; not to exceed 120 mg sodium per 113.4g (4 oz); Approved Brands: Miami Beef or approved equivalent; 4/10 lb case	4/10/case

**Attachment 8 – Approved Food Products List and Specifications
continued**

Product Number	Product	Product Description and Product Specification	Pack
99	Poultry, Sausage Link, Smoked	POULTRY SAUSAGE, SMOKED: links; made from mechanically separated turkey or chicken, less than 15% fat; not to exceed 500mg sodium per 113.4g (4 oz); gluten-free; 6 month shelf life; frozen; 3.2 oz ea; 20.0 lb case. Approved Brand: PRIDE or approved equivalent	20lb/case
100	Worcestershire Sauce	WORCESTERSHIRE SAUCE: shall comply with CID A-A 20099C; plastic containers only; 4/1 gal	4/1gal/case
101	Vinegar	VINEGAR, WHITE: distilled; 40 or 50 grain; plastic containers only; 4/1 gal	4/1gal/case
102	Poultry, Sausage Patty, 50/50 soy blend	POULTRY SAUSAGE, PATTY w/VPP, 50/50: made from mechanically separated turkey or chicken, water, vegetable protein product (VPP) and seasonings; VPP allowed in accordance with Title 7 CFR 210; 18% protein by weight when fully rehydrated or formulated; not to exceed 15 % fat; not to exceed 300mg sodium per 113.4g (4 oz); 2 oz. ea.; Approved Brands: PRIDE or approved equivalent; 20 lb	20lb/case
103	Turkey Ham, Sliced	POULTRY HAM, SLICED, FROZEN: made from cured turkey thigh meat; fully cooked; gluten-free; less than 20% water; Good Source, Perdue or approved equivalent	22lb/case
104	Turkey, Bologna, 1 oz Slices	POULTRY BOLOGNA, FROZEN: turkey only allowable meat, maximum 20 % fat; gluten-free; sliced; each slice 1 oz.; 4-5 inch diameter; 180 day shelf life. Approved brand: Good Source, House of Raeford, Jennie-O or approved equivalent.	22lb/case
105	Turkey, Salami, 1 oz. Slices	POULTRY SALAMI, FROZEN: turkey or chicken; maximum 20 % fat; gluten-free; sliced, each slice 1 oz; 4 - 5 inch diameter; 180 day shelf life. Approved brands: Good Source, Jennie -O or approved equivalent.	22lb/case
106	Egg Substitute	EGG SUBSTITUTE: cholesterol free; 99 % egg white; artificial color; 30 cal or less per 2 oz; approved brands: Fleishman's, Egg Beaters, Echo Lakes or equivalent.	12/1qt/case
107	Jelly, Dietetic, Individuals, Multi-Flavor	JELLY, DIETETIC: Shall comply with CID A-A 20087C; Type I; Kind A, M or AA or Type II; Kind - Mixed Fruit; Style 2, Finished product quality B; Equivalent to Grade A; 200/case; 12 gr. portion pack; Diamond Crystal, Poco Pac or approved equivalent.	200ea/case
108	Margarine Patties, Vegan, Salt Free	MARGARINE, PATTIES, VEGAN, SALT FREE: shall comply to CID A-A 20357; type VI; style F; size 2; no animal products; .17 oz patties; 1080 patties per case; 12 lb	12lb/case
109	Margarine Patties, kosher	MARGARINE, PATTIES, KOSHER: shall comply to CID A-A 20357; type I or type II; style F; size 2; Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". 0.17 oz patties; 1080 patties per case; 12 lb	12lb/case
110	Sugar Substitute	ARTIFICIAL SWEETENER, INDIVIDUAL: shall comply with CID A-A 20178A; type I or type III; packets hermetically sealed polyethylene lined; Approved brands: Equal with NutraSweet, Diamond Crystal Ultra (aspartame), Dixie Crystals Sweet Thing II (aspartame) or equivalent.	2000ea/case
111	Tuna	TUNA, CANNED: chunk; light; regular; packed in water; max. 1 gr fat per 2 oz serv; max. 190mg sodium per 2 oz serv.; 6-66.5 ounce cans only; drain weight, 51 ounces; Approved Brands; Starkist, International Green or approved equivalent.	6/66.5oz/cs
112	Tuna, PC, Kosher	TUNA, POUCH: shall comply with CID A-A 20155B for chunk; light; regular; packed in water; max. 1 gr fat per 3 oz serv; 3 ounce pouches. Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved Brands; Starkist, International Green or approved equivalent.	24/3oz/cs

**Attachment 8 – Approved Food Products List and Specifications
continued**

Product Number	Product	Product Description and Product Specification	Pack
113	Banana	BANANA: US #1; 6 to 6 7/8 inches, packed 100 count per case, 40# box.	40lb/case
114	Cabbage	CABBAGE, FRESH: to be packed to U.S. Commercial Standard Grade; Danish or Domestic; 50 lb bags or crates	50lb/bag
115	Carrots	CARROTS, FRESH, TOPPED: to be packed to U.S. No. 1 Grade standard; medium or jumbo size; 50 lb	50lb/bag
116	Celery, Diced, Frozen	CELERY, DICED, FROZEN: to be packed to U.S. Grade A standard; 1/4" to 3/8" dice; 20 lb bulk	20lb/case
117	Cucumbers	CUCUMBER, FRESH: to be packed to U.S. No 2 Grade standard; large; 1.1 bushel	1.1 Bushel
118	Lettuce	LETTUCE, ICEBERG, FRESH: to be packed to U.S. No. 1 Grade standard; well trimmed; 2 doz heads per carton; 24 ea.; 40 lb net minimum case weight	24/case
119	Onions - Bermuda-Granex-Grano	ONION, FRESH: to be packed to U.S. No. 1 Grade standard: size: shall comply with CID A-A-20193B; type I, color A or B; style A; medium, large or jumbo; 50 lb bag	50lb/bag
120	Oranges	ORANGES, FRESH: to be packed to U.S. No. 1 Grade standard: Navel, Valencia, Temple; 138 count	138/case
121	Potatoes	POTATOES, FRESH: to be packed to U.S. Commercial Grade standard; size: Chef's; Russett, white or red; Yukon Gold; 50 lb bag	50lb/bag
122	Tomatoes, Fresh	TOMATOES, FRESH: to be packed to U.S. No. 2 Grade standards; ripeness: stage 5 or light red; size: medium (6x7) or large (6x6); 25 lb	25lb/case
123	Serving Gloves	GLOVES, POLY: disposable; clear; polyethylene; size- large; 10/100 case	10/100 ea
124	Sandwich Bags	BAG, SANDWICH, FLIP LOCK: plastic; .59 to 1.0 mil thickness; .59 to 1.0 mil thickness (+/- 10%); 5.5" x 6.5" to 6.5" x 7.0" (+/- .25")	2000/case
125	Apron, Disposable	APRON, PLASTIC: Bib type; disposable; white; polypropylene or similar material; flame resistant; 10/100 case	10/100 ea
126	Paper Bags	BAG, PAPER: brown; 6 #; Union or equivalent. 2/500 bale	2/500/bale
127	Film, Food Wrap	FOOD WRAP: clear; 18 inch; standard thickness; non-metal cutter; 2000' roll; Filmco or equivalent.	2000'/roll
128	Cap, Bouffant	CAP, BOUFFANT: 21 inch; white; elastic band; cloth-like material; provides full hair coverage; 10/100 case	10/100/case
129	Napkins	NAPKINS: bleached; white; 3.5 x 6.5 folded; 40/250 case	40/250/case
130	Biscuit Mix	MIX, BISCUIT: Shall comply with CID A-A 20181B; Type II - Quick Bread Mixes; Class 2; made with enriched flour that conforms to U.S. Standards of Identity for Enriched Flour; add water only mix; 50 lb bag. Approved Brands: Chelsea Mills or approved equivalent	50lb/bag
131	Cornbread Mix	MIX, CORNBREAD: Shall comply with CID A-A-20181B; Type II - Quick Bread Mixes; Class 3; made with enriched flour that conforms to U.S. Standards of Identity for Enriched Flour; add water only mix; 50 lb bag; Approved brands: Chelsea Mills or approved equivalent	50lb/bag
132	Parsley	PARSLEY, FLAKES: shall comply with CID A-A 20001B; type I; class W; form 6; plastic containers only: approved brands: French's, Nifda or equivalent.	12oz
133	Cumin	CUMIN, GROUND: shall comply with CID A-A 20001B; type I; class L; form 1; plastic containers only; approved brands: French's, Nifda or equivalent.	1lb
134	Paprika, Ground	PAPRIKA, GROUND: shall comply with CID A-A 20001B; type I; class V; form 1; plastic containers only approved brands: French's, Nifda or equivalent.	18oz
135	Oregano, Ground	OREGANO, GROUND: shall comply with CID A-A 20001B; type I: class U; form 1; plastic containers only approved brands: French's, Nifda or equivalent.	11 oz
136	Garlic Powder	GARLIC, POWDER: 100 % garlic; plastic containers only approved brands: Nifda, Monarch or equivalent.	21oz

**Attachment 8 – Approved Food Products List and Specifications
continued**

Product Number	Product	Product Description and Product Specification	Pack
137	Chili Powder	CHILI POWDER: shall comply with CID A-A 20001B; type II; class A; plastic containers only approved French, Nifda or equivalent.	18oz
138	Cinnamon, Ground	CINNAMON' GROUND: shall comply with CID A-A 20001B; Type I; class I; form 1; plastic containers only approved brands: French's, Nifda or equivalent.	18oz
139	Broccoli, Cut, Frozen	BROCCOLI, FROZEN, CUT:to be packed to U.S. Grade A standard; 20 lb bulk	20lb/case
140	Brown Sugar	SUGAR, BROWN: shall comply with CID A-A 20135D; type II; style A; 24/1 lb	24/1 lb
141	Brown Sugar	SUGAR, BROWN: shall comply with CID A-A 20135D; type II; style A; 25 lb bag	25lb/bag
142	Brown Sugar	SUGAR, BROWN: shall comply with CID A-A 20135D; type II; style A; 50 lb bag	50lb/bag
143	Powdered Sugar	SUGAR, POWDERED: shall comply with CID A-A 20135D; type I; style C; 6 x or 10X grind; 50 lb bag	50lb/bag
144	Granulated Sugar	SUGAR, GRANULATED: shall comply to CID A-A 20135D; type I; style A; 50 lb bag	50lb/bag
145	Juice, Mixed Fruit Punch	JUICE, MIXED FRUIT, CONCENTRATE: 100% fruit juice concentrate, (apple, grape, pear), non-refrigerated, unsweetened, reconstitute 4:1	4/120 oz
146	Vegetable Shortening	SHORTENING, VEGETABLE: no animal products; shall comply with CID A-A-20100C; type I; packed in 1 mil. plastic lined box; Approved brands: Golden Chef or equivalent; 50 lb	50lb/case
147	Shredded Cheese	CHEESE, IMITATION CHEDDAR, SHREDDED: feather shred; pleasing flavor & odor; satisfactory meltability; Approved Brands; Beaver Valley or approved equivalent; 4/5lb bags per case	4/5lb/case
148	Poultry Seasoning	POULTRY SEASONING, GROUND: shall comply with CID A-A 20001B; type II; class C; plastic containers only. Approved brands: French's, Nifda or equivalent;	20 oz
149	Pepper, black ground	PEPPER, BLACK, GROUND: shall comply with CID A-A 20001B; class X; form 1; 5 lb bulk	4.5lb/case
150	Spork	SPORK: polypropylene; white; meduim weight; bulk; 1000 case.	1000/case
151	Pumpkin, Canned	PUMPKIN, CANNED: to be packed to U.S. Grade A standards; 106 ounces; 6/10 case	6/10 cn
152	Sweet Potato, Canned	SWEET POTATO, CANNED: to be packed to U.S. Grade A standards: halves or whole; packed in light syrup; minimum drain weight, 69.8 ounces; 6/10 case	6/10 cn
153	Onion, dehydrated	ONION, DEHYDRATED: minced; processed from white onions; uniform size; 3/8" - 7/8"; rehydrate 8:1; 15 lb case	15lb/case
154	Pan Liner	PAN LINER: reusable; high wet strength;; all natural; 16-3/8" x 24-3/8"; 1000 case	1000/case
155	Tray, Styrofoam	TRAY, STYROFOAM: three compartment; tab closure. Sixe 9.5" x 9.5" x 2.5" (approximate); 150 case	150ea/case
156	Cup, Stryofoam	CUP, STYROFOAM: 8 oz; max height 3.5"; approved brands: Dixie, WinCup or equivalent	1000/case
157	Sugar, Granulated, Packets	SUGAR, GRANULATED, INDIVIDUALS: shall comply to CID A-A 20135D; type I; style A; 3 gram (1/10 oz.); moisture resistant packaging; Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". 2000 case	2000ea/case
158	Pudding, Banana	PUDDING, POWDERED MIX: potassium fortified; dry mix; instant; add water only; must contain a minimum of 740 mg potassium per serving. Banana Flavored Approved Brands: Sunshine or approved equivalent	6/3lb/case

**Attachment 8 – Approved Food Products List and Specifications
continued**

Product Number	Product	Product Description and Product Specification	Pack
159	Pudding, Chocolate	PUDDING, POWDERED MIX: potassium fortified; dry mix; instant; add water only; must contain a minimum of 740 mg potassium per serving. Chocolate flavored. Approved Brands: Sunshine or approved equivalent	6/3lb/case
160	Pudding, Vanilla	PUDDING, POWDERED MIX: potassium fortified; dry mix; instant; add water only; must contain a minimum of 740 mg potassium per serving. Vanilla flavored. Approved Brands: Sunshine or approved equivalent	6/3lb/case
161	Cranberry Sauce	CRANBERRY SAUCE, CANNED: to be packed to U.S. Grade A standards; style I (jellied); 106 ounces; 6/10 case	6/10 cn
162	Test Strips, Chlorine	CHLORINE TEST STRIPS: measures chlorine within a range of 10 - 200 p.p.m.; packed 200 strips per vial; color coded chart on vial for quick comparison.	200ea/vial
163	Breakfast Beverage, Vegan	BREAKFAST BEVERAGE, no animal products: May not contain any animal products; Must have the appearance and flavor similar to milk; must not need refrigeration prior to reconstituting; must remain wholesome for 48 72 hours after reconstituting, if held at 41° F. Must contain a minimum of 96 calories, 575 IU of Vitamin A, 130 IU of Vitamin D, 345 mg. of Calcium, 231 mg of potassium, no more than 50 mg of sodium with a maximum of 4 gr. of fat per 8 oz. serving. Each pound of product should yield a minimum of 1.25 gallons of beverage. Product should be packed 8/3 lb case; Approved brands: Food Concepts or approved equivalent.	8/3lb/case
164	Breakfast Beverage, Vegan, pouch	BREAKFAST BEVERAGE, POUCH: no animal products: May not contain any animal products; Must have the appearance and flavor similar to milk; must not need refrigeration prior to reconstituting; Must contain a minimum of 96 calories, 575 IU of Vitamin A, 130 IU of Vitamin D, 345 mg. of Calcium, 231 mg of potassium, no more than 50 mg of sodium with a maximum of 4 gr. of fat per 8 oz. serving. Each pack should contain 8 ounce beverage. Plastic pouches. Product should be packed case; Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved brands: Food Concepts or approved equivalent.	100/case
165	Juice, Lemon	LEMON JUICE: to be packed to U.S. Grade A standards; plastic bottles only; approved brands: Real Lemon or equivalent	12/1qt/case
166	Kosher Fish Filet Meal, Pre-Packaged, Shelf Stable	KOSHER FISH FILET MEAL, PRE-PACKAGED, SHELF STABLE: Meal consists of 4 ozw fillet cut from solid muscle fillet block pollack, whiting, flounder, cod, tilapia or other white fish flesh fillet; 2ozw tomato sauce; 4 ozw white rice; 4 ozw mature lima beans; Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved Varieties: The Kosher Kitchen or approved equivalent. Each meal must conform to Statement of Work Requirements.	12/cs
167	Kosher Chicken Patty Meal, Pre-packaged	KOSHER CHICKEN PATTY MEAL, PRE-PACKAGED, SHELF STABLE: Meal consists of 4 ozw chicken patty made from chunked and formed dark or white meat in any proportion (not from mechanically de-boned meat.) Breaded (Combined breading and added ingredients may not exceed 35% including no more than 5 % soy used as a stabilizer); 2 ozw chicken gravy; 6 ozw mashed potatoes; 4 ozw mixed vegetables. Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved Brand: The Kosher Kitchen or approved equivalent; Each meal must conform to Statement of Work Requirements.	12/cs

**Attachment 8 – Approved Food Products List and Specifications
continued**

Product Number	Product	Product Description and Product Specification	Pack
168	Kosher Turkey Cutlet Meal, Pre-packaged	KOSHER TURKEY CUTLET MEAL, PRE-PACKAGED, SHELF STABLE: Meal consists of 4 ozw turkey cutlet made from chunked and formed dark or white meat in any proportion (not from mechanically de-boned meat.) Breaded (Combined breading and added ingredients may not exceed 35% including no more than 5 % soy used as a stabilizer); 2 ozw gravy; 6 ozw mashed potatoes; 4 ozw mixed vegetables. Must be Kosher certified from one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved Brand: The Kosher Kitchen or approved equivalent; Each meal must conform to Statement of Work Requirements.	12/cs
169	Kosher Meatloaf Meal, Pre-packaged	KOSHER MEATLOAF MEAL, PRE-PACKAGED, SHELF STABLE: Meal consists of 4 ozw meatloaf (made with ground beef and not more than: 20% fat; 20% added ingredients; no soy protein); 2 ozw brown gravy; 6 ozw mashed potatoes; 4 ozw mixed vegetables. Must be Kosher certified from one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved Brand: The Kosher Kitchen or approved equivalent; Each meal must conform to Statement of Work Requirements.	12/cs
170	Kosher Salisbury Steak Meal, Pre-packaged	KOSHER SALISBURY STEAK MEAL, PRE-PACKAGED, SHELF STABLE: Meal consists of 4 ozw Salisbury steak (made with ground beef and not more than: 20% fat; 20% added ingredients; no soy protein); 2 ozw brown gravy; 6 ozw mashed potatoes; 4 ozw mature lima beans. Must be Kosher certified from one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved Brand: The Kosher Kitchen or approved equivalent; Each meal must conform to Statement of Work Requirements.	12/cs
171	Kosher Spaghetti and Meatballs Meal, Pre-packaged	KOSHER SPAGHETTI & MEATBALLS MEAL, PRE-PACKAGED, SHELF STABLE: Meal consists of 4 oz/wt cooked beef meatballs (made with ground beef and not more than: 20% fat; 20% added ingredients; no soy protein); 5 ozw spaghetti pasta; 3 ozw tomato sauce; 8 ozw sweet peas; Must be Kosher certified from one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved Brand: The Kosher Kitchen or approved equivalent; Each meal must conform to Statement of Work Requirements.	12/cs
172	Coffee Cake Mix	MIX, COFFEE CAKE, Shall to conform to CID A-A 20181B for Bakery Mixes; Type I; Style H; made with enriched flour that conforms to U.S. Standards of Identity for Enriched Flour; add water only mix; 50 lb bag; Approved Brands: Chelsea or approved equivalent.	50 LB
173	Sugarsnap peas w/Carrots	SUGARSNAP PEAS W/CARROTS, FROZEN: to be packed to U. S. Grade B standard or U.S. Extra Standard for Frozen Mixed Vegetables; 20 lb case; Approved Brands: Paris Foods or approved equivalent.	20 lb/case
174	Can Liner, 56 gal clear	Liner, Can: 56 gallon clear can liner .90mil 43x47 packed 1/100 case. Approved brands – Heritage or approved equivalent.	100/case
175	Italian Blend, Vegetables, Frozen	ITALIAN BLEND VEGETABLES, FROZEN: To be packed to US Grade B standard or better. Shall comply with CID AA-20294A, Vegetable Blends, Frozen; Blend IV, carrots, diced, sliced, strips or chips (30%); zucchini chips (30%); cauliflower, nuggets or small clusters (24%); Italian beans, short cuts (15%); red peppers, diced (1%); 20 lb box w/poly bag. Approved brands - Paris foods or approved equivalent.	20 lb/case

**Attachment 8 – Approved Food Products List and Specifications
continued**

Product Number	Product	Product Description and Product Specification	Pack
176	Chip, Potato, PC, kosher	Potato Chip, Plain: potato chip, salted, 1.5 oz bag, Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K". Approved Brand: Lays or approved equivalent.	64/1.5oz/cs
177	Juice, Vegetable	Juice, Vegetable: Vegetable juice, 100%, shall comply with A-A 20156B, Type I, Flavor A, Style I, size b; Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K".V-8 type juice packed in 5.5 oz cans; 48/case.	48/case
178	Juice, Vegetable	Juice, Vegetable: Vegetable juice, 100%, shall comply with A-A 20156B, Type I, Flavor A, Style I, size h; Must be Kosher certified form one of the following: Union of Orthodox Jewish Congregations, Organized Kashrus laboratories, "KOF-K" Kosher Supervision Services or "Star-K".V-8 type juice packed in 46 oz cans; 24/case.	24 cs
179	Lid, Plastic	Lid, Plastic: lid to fit 8 ounce Styr-o-foam cup,, white; approved brands: Dixie, WinCup or equivalent	1000/case
180	Lid, Plastic	Lid, Plastic: lid to fit 8 ounce Styr-o-foam cup,, white; approved brands: Dixie, WinCup or equivalent	1000/case

**PRICE TABLE 1 - JEFFERSON CI AND TALLAHASSEE WRC
DC ITB-13-018**

The rates bid shall include the Contractor's furnishing the necessary food, personnel, labor, equipment, services, materials, permits, licenses and insurance, and otherwise doing all things necessary for or incidental to the delivery of food services in full accordance with ITB. Unit price prevails.

The Department will allow for changes to the per diem in accordance with Section 5.2.1.2 of this ITB.

ITEM 1 – PRICE PER MEAL BASED ON MEALS SERVED

1	Rate per Meal Served (Unit Price)		\$ _____
2	# of Allowable Meals per Day	x	3 _____
3	Total Daily Rate	=	\$ _____
4	Average # of Meals Served (ADP 1,216 x 85% feed rate)	x	1,034 _____
5	Estimated Daily Cost	=	_____
6	# of Days in a Year	x	365 _____
7	Estimated Annual Cost – Jefferson CI & Tallahassee WRC	=	_____

Notes: Lines 3, 5, & 7 are tabulated for bidding purposes only and are estimated amounts.
Payment to be made based on actual meals served.

Name of Bidder's Organization

Signature of Authorized Representative and Date

Print Name

**PRICE TABLE 2 – MARION CI, MARION WC AND GAINESVILLE WC
DC ITB-13-018**

The rates bid shall include the Contractor's furnishing the necessary food, personnel, labor, equipment, services, materials, permits, licenses and insurance, and otherwise doing all things necessary for or incidental to the delivery of food services in full accordance with ITB. Unit price prevails.

The Department will allow for changes to the per diem in accordance with Section 5.2.1.2 of this ITB

ITEM 1 – PRICE PER MEAL BASED ON MEALS SERVED

1	Rate per Meal Served (Unit Price)		\$ _____
2	# of Allowable Meals per Day	x	3 _____
3	Total Daily Rate	=	\$ _____
4	Average # of Meals Served (ADP 1,873 x 85% feed rate)	x	1,592 _____
5	Estimated Daily Cost	=	_____
6	# of Days in a Year	x	365 _____
7	Estimated Annual Cost – Marion CI, Marion WC & Gainesville WC	=	_____

Notes: Lines 3, 5, & 7 are tabulated for bidding purposes only and are estimated amounts.
Payment to be made based on actual meals served.

Name of Bidder's Organization

Signature of Authorized Representative and Date

Print Name

**PRICE TABLE 3 – HARDEE CI AND HARDEE WC
DC ITB-13-018**

The rates bid shall include the Contractor's furnishing the necessary food, personnel, labor, equipment, services, materials, permits, licenses and insurance, and otherwise doing all things necessary for or incidental to the delivery of food services in full accordance with. Unit price prevails.

The Department will allow for changes to the per diem in accordance with Section 5.2.1.2 of this ITB

ITEM 1 – PRICE PER MEAL BASED ON MEALS SERVED

1	Rate per Meal Served (Unit Price)		\$	_____
2	# of Allowable Meals per Day	x	3	_____
3	Total Daily Rate	=	\$	_____
4	Average # of Meals Served (ADP 1,902x 85% feed rate)	x	1,617	_____
5	Estimated Daily Cost	=		_____
6	# of Days in a Year	x	365	_____
7	Estimated Annual Cost – Hardee CI & Hardee WC	=		_____

Notes: Lines 3, 5, & 7 are tabulated for bidding purposes only and are estimated amounts.
Payment to be made based on actual meals served.

Name of Bidder's Organization

Signature of Authorized Representative and Date

Print Name

SCHEDULE XII-B FOOD SERVICE CONTRACT ATTACHMENT II

FLORIDA DEPARTMENT OF CORRECTIONS

TRINITY FOOD SERVICE SEMI ANNUAL CONTRACT MONITORING TOOL

Facility Inspected: Central Office Contract Management
Inspection Date: 06/09/2017
Monitor(s): Lisa Stokes & Ralph Salvas
Exited With:

Contractor's Name: Trinity - Contract #: C2816
Service Provided: Food Service
Responsible Department Staff: Kristy Restall
Additional Contact: John Bryant

Instructions	
1. Comments will be made for all non-compliant findings	
2. Rating Determination Based on I = Interview, O = Observation, D = Documentation.	

Form Rev. 11/01/16

A. Communications		RATING	YES	NO	NA	Comments
1	Does the contractor or the facility designee respond to inquiries from the Department by providing all information or records deemed necessary to respond to inquiries, complaints or grievances from or about inmates within three (3) working days of the request? (Contract Ref: II.C.6.)	D/I	X			<p>CM shared that the Food Service Director responds to the initial grievance, if the inmate is not satisfied with that response; the grievance is then moved to the Assistant Warden of Operations to either reinforce & deny the inmates grievance. CM then reviews the grievance with the responses and if found sufficient, she doesn't go to contractor for response.</p> <p>CM did provide one example of a grievance where the CM had to respond, the email provided is dated 05/09/17.</p> <p>(Refer to Attachment A.1)</p>
B. Equipment						
1	Is documentation on file where the contractor requested to purchase, repair or replace equipment? (Contract Ref: II.J.2.)	I			X	<p>CM shared, that the Contractor did not submit any request to purchase, repair, or replace equipment during this monitoring period.</p>
C. Staff Requirements						
1	Has the contractor provided the Contract Manager the information needed to have the NCIC/FCIC background checks conducted prior to hiring staff? (Contract Ref: II.O.)	D	X			<p>CM provided a list of Trinity Food Service employees dated 05/31/17, these employees have completed the required background checks.</p> <p>(Refer to Attachment C.1)</p>
2	Does the contractor have Level II background checks performed on their staff? (Contract Ref: II.O.)	D	X			<p>Same response as listed in standard C.1</p> <p>(Refer to Attachment C.1)</p>
D. Utilization of E-Verify						
1	Does the contractor utilize the U.S. Department of Homeland Security's E-Verify system to verify employment eligibility of their staff? (Contract Ref: II.P.)	D	X			<p>CM provided a letter signed by the Contractor's General Counsel, verifying that Trinity Services Group does use E-Verify, their E-Verify # 602240 was issued on 10/10/2012</p> <p>(Refer to Attachment D.1)</p>
E. Contractor Staff Conduct						
1	Does the contractor report any incident requiring investigation by the contractor, in writing to the Contract Manager or their designee, within twenty-four (24) hours, of the contractor's knowledge of the incident? (Contract Ref: II. Q. 1. k.)	D	X			<p>CM provided an email dated 06/14/17 with supporting documentation of an incident dated 06/13/17</p> <p>(Refer to Attachment E.1)</p>
F. Reporting Requirements						
1	Does the contractor submit a monthly summary report of meals served, signed by Department and contractor's staff (DC2-418)? (Contract Ref: II.T.1.)	D	X			<p>Corrective action taken from the last semi-annual review conducted during 11/15/16, the discrepancies from that review are listed below: →Monthly Summary Recap of Meals Served Report - Not signed by Department Staff and Contractor Representative. →Update Institution names on above referenced report from Tallahassee WRC to Tallahassee CRC.</p> <p>The Contract Ref: II.T.1, makes no reference for the use of the Department's DC2-418 Form, below is the contract language: "T. Reporting Requirements 1. Monthly Summary Recap of Meals Served Reporting A monthly summary report of meals served shall be completed and signed by Department staff and approved by the Contractor's representative. The Contractor shall submit this report to the Contract Manager as supporting documentation to the monthly invoice. This report shall provide, by institution, the number of meals served per day for each meal (breakfast, lunch and dinner) and the type of meal served (i.e. main menu, diet, sack lunch, etc.)"</p> <p>CM provided signed FL Dept. of Corrections Inmate Meals Monthly Count/Pricing for the months of January; February; March; and April 2017. (Refer to Attachment F.1)</p>

A. Communications		RATING	YES	NO	NA	Comments																																								
2	Does the contractor provide a Corrective Action Plan to the Contract Manager within ten (10) days of receipt of monitoring reports? (Contract Ref: II.X.2.)	D	X			<p>CM shared that an email that was sent to the contractor on 03/13/2017, attached to this email, Formal Communication (FC) 146-17. The FC discussed the fact that the Department conducted monitoring of this contract on 03/08/17 and that discrepancies have been identified with the therapeutic an vegan diets. As a result of this discrepancy, a corrective action plan (CAP) was requested of the contractor. The CAP is due to the Department within ten (10) calendar days of receipt of this correspondence addressing the instances of non-compliance. On 03/21/2017, the contractor provided a CAP response and the CM approved the CAP on 3/22/17</p> <p>(Refer to Attachment F.2)</p>																																								
G. Liquidated Damages																																														
1	If Liquidated Damages have been imposed, did the contractor make payment to the Department in the appropriate amount within ten (10) business days of receipt of written notice of demand for damages due? (Contract Ref: II.Y.)	D	X			<p>CM provided a Formal Communication: 147-17, sent to the contractor on 03/16/2017 for Liquidated Damages in the amount of \$2500.00.</p> <p>The Contractor sent a Cashier's Check # 1019302949; Dated: 3/20/17; Amount of: \$2,500.</p> <p>(Refer to Attachment G.1)</p>																																								
H. Compensation																																														
1	<p>Does the contractor submit a Monthly Invoice to the Department at the rates identified in this contract?</p> <table border="1"> <thead> <tr> <th>Location</th> <th>Allowable Meals Per Day Per Inmate</th> <th>Unit Price Per Master Menu Meal</th> <th>Unit Price Per Meal Served for the CFO</th> </tr> </thead> <tbody> <tr> <td>Jefferson CI</td> <td>3</td> <td>\$0.9862</td> <td>\$2.089</td> </tr> <tr> <td>Tallahassee CRC</td> <td>3</td> <td>\$0.9862</td> <td>\$2.089</td> </tr> <tr> <td>Hardee CI</td> <td>3</td> <td>\$0.8793</td> <td>\$2.089</td> </tr> <tr> <td>Hardee WC</td> <td>3</td> <td>\$0.8793</td> <td>\$2.089</td> </tr> <tr> <td>Marion CI</td> <td>3</td> <td>\$0.9683</td> <td>\$2.089</td> </tr> <tr> <td>Marion WC</td> <td>3</td> <td>\$0.9683</td> <td>\$2.089</td> </tr> <tr> <td>Gainesville WC</td> <td>3</td> <td>\$0.9683</td> <td>\$2.089</td> </tr> <tr> <td>New River CI</td> <td>3</td> <td>\$1.0836</td> <td>\$2.089</td> </tr> <tr> <td>Union WC</td> <td>3</td> <td>\$1.0836</td> <td>\$2.089</td> </tr> </tbody> </table> <p>Note: The rates shall include the Contractor's furnishing the necessary food, personnel, labor, equipment, services, materials, permits, licenses and insurance, and otherwise doing all things necessary for or incidental to the delivery of food services in full accordance with this Contract. (Contract Ref: III. A.)</p>	Location	Allowable Meals Per Day Per Inmate	Unit Price Per Master Menu Meal	Unit Price Per Meal Served for the CFO	Jefferson CI	3	\$0.9862	\$2.089	Tallahassee CRC	3	\$0.9862	\$2.089	Hardee CI	3	\$0.8793	\$2.089	Hardee WC	3	\$0.8793	\$2.089	Marion CI	3	\$0.9683	\$2.089	Marion WC	3	\$0.9683	\$2.089	Gainesville WC	3	\$0.9683	\$2.089	New River CI	3	\$1.0836	\$2.089	Union WC	3	\$1.0836	\$2.089	D	X			<p>CM provided monthly invoices to the Department at the rates listed in Amendment #3 that was executed on 2/03/17. The months provided:</p> <p>Jan 2017 Invoice dated: 1/31/17 Feb 2017 Invoice dated: 2/28/17 Mar 2017 Invoice dated: 3/31/17 Apr 2017 Invoice dated: 5/05/17</p> <p>(Refer to Attachment H.1 and I.1)</p>
Location	Allowable Meals Per Day Per Inmate	Unit Price Per Master Menu Meal	Unit Price Per Meal Served for the CFO																																											
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New River CI	3	\$1.0836	\$2.089																																											
Union WC	3	\$1.0836	\$2.089																																											
I. Submission of Invoice																																														
1	<p>Does the contractor submit completed monthly invoices, by institution, electronically to the Department's Contract Manager or designee within fifteen (15) days following the end of the month for which payment is being requested? (Contract Ref: III. C.)</p> <p>Note: Contractor's invoice shall include the Contractor's name, mailing address, tax ID number/FEIN, Contract number, and dates of service. Every invoice must be accompanied by the appropriate supporting documentation as indicated in the contract. (Contract Ref: III.D.)</p> <p>Services will be considered complete and certified as payable when all required monthly reports, as identified in the contract's "Reporting Requirements" have been received. (Contract Ref: II. T.)</p>	D	X			<p>Corrective action taken from the last semi-annual review conducted during 11/15/16, the discrepancies from that review are listed below: →Tax ID/ FEIN #; and Contract #'s have been included on the invoices covered during this monitoring period.</p> <p>The Contractor has been in compliance with submitting monthly invoices, by institution, electronically to the Department's Contract Manager or designee within fifteen (15) days following the end of the month for which payment was requested.</p> <p>Jan 2017: Invoice dated: 01/31/17; Invoice Email Date: 02/06/17 Feb 2017: Invoice dated: 02/28/17; Invoice Email Date: 03/02/17 Mar 2017: Invoice dated: 03/31/17; Invoice Email Date: 04/05/17 Apr 2017: Invoice dated: 05/05/17; Invoice Email Date: 05/08/17 May 2017: Invoice dated: 06/06/17; Invoice Email Date: 06/06/17</p> <p>(Refer to Attachment I.1)</p>																																								
J. Contract Modification																																														
1	Were amendments requested and implemented in accordance with the terms and conditions of this contract? (Contract Ref: V.)	D	X			<p>CM provided a hard copy of Amendment #3 that was executed on 02/03/17</p> <p>(Refer to Attachment J.1)</p>																																								
K. Conditions																																														
1	Were copies of all records and documents made available by the contractor to the Department upon request? (Contract Ref: VII. A. 3.)	D	X			<p>CM provided a document request sent via email dated 06/01/17, contractor responded with the requested documents on 06/01/17.</p> <p>(Refer to Attachment K.1)</p>																																								

A. Communications		RATING	YES	NO	NA	Comments
2	<p>Did the contractor submit within 30 calendar days following award of the contract, plans addressing each of the State's objectives to the extent applicable to the items/services covered by the contract:</p> <p>1. Diversity in Contracting (monthly) 2. Environmental Considerations 3. Prison Rehabilitative Industries and Diversified Enterprises, Inc. (on-going) 4. Products Available from the Blind or Other Handicapped? (on-going) (Contract Ref: VII. B. 1-4)</p>	D	X			<p>This contract was awarded on 06/11/14 – Since the 30 day window from the award date has past, bullets #2, #3, & #4 in this standard no longer apply. Bullet #1: Diversity in Contracting (monthly) still applies and the CM has provided the following "Diversity Reports":</p> <p>Diversity Report dated 01/01/17 – 01/31/17 Diversity Report dated 02/01/17 – 02/28/17 Diversity Report dated 03/01/17 – 03/31/17 Diversity Report dated 04/01/17 – 04/30/17</p> <p>Note: Per the Department: Jane Broyles, Purchasing Analyst, Bureau of Procurement shared that we have two (2) contracts with Trinity; one for commissary (C2826) and one for food service operations (C2816). Ms. Broyles has been receiving the reports for the commissary contract, but apparently there was some confusion regarding the food service contract reports. The reports Trinity submitted for food service were from Cheney Brothers (who apparently purchases items for the Trinity food contract), and submits reports to the Department each month for contract #C2808 with Cheney Brothers.</p> <p>(Refer to Attachment #K.2)</p>
3	<p>Did the contractor knowingly engage in this project, on a full-time, part-time, or other basis during the period of this contract, any current or former employee of the Department where such employment conflicts with Section 112.3185, Florida Statutes? (Contract Ref: VII. F.)</p>	I			X	No, not to the knowledge of the CM
4	<p>Was written verification of adequate insurance coverage furnished by the contractor to the Contract Manager upon the execution of this contract, and coverage maintained at all times during the existence of this contract? (Contract Ref: VII. J.)</p>	D	X			<p>CM provided a hard copy of the "Certificate of Liability Insurance" signed and dated 12/01/16:</p> <p>Commercial General Liability Insurance Expires: 12/01/17 Automobile Liability Insurance Expires: 12/01/17 Umbrella Liability Insurance Expires: 12/01/17 Worker's Compensation & Employers' Liability Insurance Expires: 12/01/17</p> <p>(Refer to Attachment K.4)</p>
5	<p>If the contractor entered into written subcontract(s), was written consent received from the Department's Contract Manager? (Contract Ref: VII. N.)</p>	I			X	The CM reported that no request where submitted during this monitoring period
6	<p>Did the contractor receive written approval from the contract manager prior to assigning its responsibilities or interest to another party? (Contract Ref: VII. O.)</p>	I			X	The CM reported that no request where submitted during this monitoring period
7	<p>Has the contractor provided the Department with a Performance Guarantee equal to three hundred and thirty three thousand dollars (\$333,000) that shall be in effect for each year of the term of the Contract.? (Contract Ref: VII. FF.)</p>	D	X			<p>CM provided a hard copy of the "Performance Guarantee" signed and dated 7/25/16:</p> <p>Argonaut Insurance Company - \$333,000; Expires: 7/07/2017 Signed by Trinity & Argonaut</p> <p>(Refer to Attachment K.7)</p>

SCHEDULE XII-B FOOD SERVICE CONTRACT ATTACHMENT III

CONTRACT REVIEW SHEET

New
 Renewal
 Extension
 Amendment # 4

For contracts over \$5 million dollars

Revenue Generating
 Cost Recovery
 Grant Funded
 General Revenue

CONTRACTOR:	Trinity Services Group, Inc.	CONTRACT #:	C2816
DC CONTRACT MANAGER:	Kristy Restall	PROCUREMENT METHOD:	ITB-13-DC-018
CONTRACT TERM:	July 7, 2014 through July 6, 2017	RENEWAL TERM:	July 7, 2017 through July 6, 2020
EST. ANNUAL \$:	6,200,848.40	EST. AMENDMENT \$:	18,602,545.20
		EST. TOTAL \$:	31,918,177.53
<input type="checkbox"/> FSAA Required <input type="checkbox"/> HIPAA Required <input checked="" type="checkbox"/> Financial Consequences <input type="checkbox"/> Services Modified			

SUMMARY OF SCOPE: This contract provides delivery of full service food operations to feed a current inmate population of approximately 6,423 in the following nine (9) state-operated correctional facilities: Jefferson CI, Tallahassee CRC, Marion CI, Marion Work Camp, Gainesville Work Camp, Hardee CI, Hardee Work Camp, New River CI, and Union Work Camp. This Amendment renews the Contract for a three-year renewal period; Revises Section II., C., Communications, 2.; Section II., H., Food Supplies, 2.; Section II., Equipment, Work Space, and Administrative Support, 7.; Section II., W., Performance Measures; Deletes Section II., Y., Liquidated Damages; Revises Section IV., A., Department's Contract Manager; Revises Section IV., B., Department's Contract Administrator; Revises Section VII., L., Disputes; This Contract is in its final renewal term.

Pursuant to Sections 112.12(8), 112.313, and 287.057(19), Florida Statutes and the Department's Ethics Procedure 102.004, the individuals signing below certify and attest that he/she has no conflict of interest in the development or selection of criteria for evaluation, the evaluation process, and/or the award process of the above contract for services.
 (*) **Contract Attestation**, if anticipated expenditures of \$1 M or more: I confirm that this contract or purchase order contains or complies with the requirements of DMS State Purchasing Memorandum No.1 (2013-2014). If \$5 Million or more, Contract Attestation may not be delegated, except for instances of delegation of authority to executive agency staff in the absence of the Secretary.

1. CONTRACT ADMINISTRATION – General review for compliance with Chapter 287, standard format, etc.

Approved by: Unice Arnold 4/12/17 Comments: _____
 Unice Arnold, Contract Administrator, or Designee (Signature and Date)

2. INITIATOR – Review for need, objectives and accurate statement of work.

Approved: Kristy Restall 4-17-17
 Kristy Restall (Signature and Date)

Document each fiscal year's impact. (to be completed by Contract Manager/Program Ofc)		
	FY Dates	FY \$\$\$
FY 1:	FY 14-15	3,429,525.77
FY 2:	FY 15-16	5,061,969.75
FY 3:	FY 16-17	4,824,136.89
FY 4:	FY 17-18	5,867,966.96
FY 5:	FY 18-19	6,316,531.52
FY 6:	FY 19-20	6,316,531.52
FY 7:	FY 20-21	10,1513.20

3. ASSISTANT SECRETARY OR DIRECTOR OF INITIATOR'S OFFICE

Approved: Janie Westberry 4/28/17
 Janie Westberry (Signature and Date)

FORWARD TO THE BUREAU OF PROCUREMENT - FOR PROCESSING

4. BUREAU OF PROCUREMENT – General review for compliance with Chapter 287, Rule 60A-1, and standard format.

Approved: Kasey B Faulk 5/22/17 Comments: edits to Contract & summary
 Kasey B. Faulk, Chief, or Designee (Signature and Date) 5/22/17 edits 5/18/17

5. OFFICE OF THE GENERAL COUNSEL – Review for legal requirements to ensure adequate protection of the Department

Approved: J. Sanford/T. Klein/G. Wooden 5/23/17 Comments: _____
 J. Sanford/T. Klein/G. Wooden (Signature and Date)

6. BUDGET & MANAGEMENT EVALUATION – Review for available funding, need for budget amendment.

OBJECT CODE: 350 000 ORG CODE: 70068300101 EO: S1 GR TF
 Funding Source: 70101000364-7003100070000-00 Recurring Non-recur.
 Funded through state financial assistance as defined by the Executive Office of the Governor: Yes No

Approved: Mark Tallent 5/24/17 Comments: Costs will be redistributed to various facilities identified in contract due to phase-in of New River pop.
 Mark Tallent, Director, or Designee (Signature and Date)

Approved: Kimberly Banks 6/5/17
 Kimberly Banks, CFO, or Designee (Signature and Date)

PLEASE RETURN TO BUREAU OF PROCUREMENT – OPB Approval: 6/11/17 (IF OVER \$1 MILLION)

7. BUREAU OF PROCUREMENT – Review for policy and other priority considerations.

Approved: Kasey B. Faulk 6/13/17 Comments: _____
 Kasey B. Faulk, Chief, or Designee (Signature and Date)

PLEASE RETURN TO BUREAU OF PROCUREMENT – TO ROUTE TO CONTRACTOR FOR SIGNATURE

8. OFFICE OF THE GENERAL COUNSEL

Approved: Kenneth S. Steely 4/28/17 Comments: _____
 Kenneth S. Steely, General Counsel, or Designee (Signature and Date)

9. OFFICE OF THE SECRETARY – EXECUTION (*)

Approved: Julie L. Jones 6/28/17 Comments: _____
 Julie L. Jones, Secretary, or Designee (Signature and Date)

PLEASE RETURN TO BUREAU OF PROCUREMENT – Cristy Martin – 717-3661

Department of Corrections Contract # C2816

Section II.,

W. Performance Measures and Financial Consequences

The Department has developed the below Performance Measure categories which shall be used to measure Contractor's performance and delivery of services. Note: the Contractor shall comply with all contract terms and conditions upon execution of contract and the Department may monitor each site beginning the second month after implementation of services at that site to ensure that contract requirements are being met. The Department reserves the right to add/delete/modify performance measures as needed to ensure the adequate delivery of services.

A description of each of the Performance Measure categories is provided below:

Performance Outcomes, Measures, and Standards

Listed below are the key Performance Outcomes, Measures, and Standards deemed most crucial to the success of the overall desired service delivery. The Contractor shall ensure that the stated performance outcomes, measures, and standards (level of achievement) are met. Performance shall be measured per facility as indicated, beginning the second month after which service has been fully implemented.

- a. **Outcome: Master Menu Compliance** - One hundred percent (100%) of all meals served shall be in compliance with the master menu and recipes.

Measure: The total number of meals with substitutions in the month shall be divided by the total number of meals served for that monthly period. All substitutions must be documented on the menu "as served" and must be made from the approved list of substitutions contained in the Master Menu Manual. This shall be measured on a monthly basis at each kitchen.

Standard: Ninety percent (90%) of meals served each month shall be served in compliance with the master menu and be substitution free.

Note: Substitutions utilizing inmate grown produce from the Department's Farm and Edible Crops Program will not be included.

Consequence: If the Contractor fails to meet Performance Outcomes, Measures, and Standards 1., a., the Department will impose financial consequences in the amount of \$1,000 per month, per institutional site.

- b. **Outcome: Food Supplies Inventory** - The Contractor shall maintain food inventory sufficient to prepare meals in accordance with the Master Menu for one hundred percent (100%) of all inmates (as determined by the midnight census) at each institutional site.

Measure: Audits of monthly food purchase invoices shall demonstrate sufficient quantities of food supplies are available at each institution. This will be measured on a monthly basis at each institution.

Standard: Ninety eight percent (98%) of the required food inventory shall be maintained.

Consequence: If the Contractor fails to meet Performance Outcomes, Measures, and Standards 1., a., the Department will impose financial consequences in the amount of \$1,000 per month, per institutional site.

c. Outcome: Maintenance of ACA Accreditation for food service delivery.

Measure: The Department will monitor the Contractor's performance to determine compliance with other contract requirements at each institution.

Standard: The Contractor shall achieve 100% compliance. Failure to comply 100% of the time will result in the imposition of financial consequences.

Consequence: In the event an institution incurs loss of American Correctional Association (ACA) accreditation due to food service operations, financial consequences in the amount of \$25,000 per institution, per loss of accreditation shall be imposed

d. Daily staff appearance on-site to prepare, serve, and clean-up food at each specified meal time.

Measure: The Department will monitor the Contractor's performance to determine compliance with other contract requirements at each institution.

Standard: The Contractor shall achieve 100% compliance. Failure to comply 100% of the time will result in the imposition of financial consequences.

Consequence: In the event the Contractor's staff fails to timely appear on site to prepare, serve and/or clean-up at each mealtime as specified in Section II., F., 1., and the meal service, meal time, and/or cleanliness of the kitchen is affected, financial consequences in the amount of \$2,500 per meal time shall be imposed.

e. Timely service of meals without delay in line.

Measure: The Department will monitor the Contractor's performance to determine compliance with other contract requirements at each institution.

Standard: The Contractor shall achieve 100% compliance. Failure to comply 100% of the time will result in the imposition of financial consequences.

Consequence: In the event the Contractor's staff fails to deliver meals consecutively with no line delay between inmates exceeding fifteen minutes as specified in Section II., F., 1., financial consequences in the amount of \$250 per meal period shall be imposed.

f. Occupancy of contractor staff positions in accordance with the approved contractor's staffing plan at each institution.

Measure: The Department will monitor the Contractor's performance to determine compliance with other contract requirements at each institution.

Standard: The Contractor shall achieve 100% compliance. Failure to comply 100% of the time will result in the imposition of financial consequences.

Consequence: In the event the Contractor's management staff position or any line staff position is not permanently filled within 60 calendar days, from the time the position becomes vacant as specified in Section II., N., 2., Staff Vacancies Absences, and as documented in Section II., N., 3., Staff Timesheet Documentation financial consequences shall be imposed in the amount of \$250 per day, per staff position for each calendar day past the 60 day allowance.

g. Timely Submittal of Corrective Action Plans (when applicable)

Measure: The Department will monitor the Contractor's performance to determine compliance with other contract requirements at each institution.

Standard: The Contractor shall achieve 100% compliance. Failure to comply 100% of the time will result in the imposition of financial consequences.

Consequence: In the event that the Contractor receives a Monitoring Report requiring a Corrective Action Plan (CAP) to be submitted and fails to submit a CAP responding to each specified written deficiency within the time frames specified in Section II., X., 2., financial consequences in the amount of \$1,000 per day for each day the CAP is untimely submitted will be imposed.

h. Correction for identified performance deficiencies.

Measure: The Department will monitor the Contractor's performance to determine compliance with other contract requirements at each institution.

Standard: The Contractor shall achieve 100% compliance. Failure to comply 100% of the time will result in the imposition of financial consequences.

Consequence: In the event the Contractor fails to correct performance deficiencies noted in the Department's monitoring report within the timeframes indicated in the CAP, financial consequences in the amount of \$1,000.00 per follow-up site visit, per institutional site, where deficiencies have not been timely corrected shall be imposed until such time as all noted deficiencies are corrected.

By execution of this Contract the Contractor hereby acknowledges and agrees that its performance under the Contract shall meet the standards set forth above. Any failure by the Contractor to achieve any outcome and standard identified above may result in assessment of Financial Consequences. Any such assessment and/or subsequent payment thereof shall not affect the Contractor's obligation to provide services as required by this Contract.

Department of Corrections Contract # C2816

Section II.,

X. Monitoring Methodology

1. Monitoring Performance Outcomes and Standards

The Department's Contract Manager, or designee, will monitor the Contractor's service delivery monthly to determine if the Contractor has achieved the required level of performance for each outcome and standard identified in Section II., W., Performance Measures and Financial Consequences. Performance measures shall be assessed, as specified, beginning the second month after services have been implemented.

If the Department determines that the Contractor has failed an outcome and standard, the Contractor will be sent a formal contract communication in accordance with Section II., C., Communications. The Contractor shall correct all identified non-compliant service delivery related to failure to meet the outcomes and standards identified in this Section, however, this shall not negate the fact that an outcome and standard has not been met and that financial consequences will be imposed.

2. Monitoring Other Contract Requirements

Contract Management and Monitoring in accordance with the requirements in this Contract. The monitoring tool will be utilized in review of the Contractor's performance. Such monitoring may include, but is not limited to, both announced and unannounced site visits.

The Department's Contract Manager, or designee, will provide an exit briefing at the conclusion of the monitoring visits and a written monitoring report to the Contractor within three (3) weeks of the monitoring. Non-compliant issues identified by the Department's Contract Manager, or designee, will be described in detail to provide opportunity for correction, where feasible.

Within 10 calendar days of receipt of the Department's monitoring report, (which may be transmitted by email), the Contractor shall provide a formal CAP to the Department's Contract Manager, or designee, email acceptable, in response to all noted deficiencies, to include responsible individuals and required timeframes for achieving compliance. Such timeframes for compliance shall not exceed 30 calendar days, from the date of receipt of the monitoring report by the Contractor, unless specifically agreed upon, in writing, by the Department's Contract Manager, or designee. CAPs that do not contain all information required shall be rejected by the Department, in writing, email acceptable. The Contractor shall have five (5) business days from the receipt of the written rejection to submit a revised CAP. This will not increase the time for compliance and correction of the noted deficiencies. All noted deficiencies shall be corrected within the timeframes identified or the Department will impose financial consequences. The Department's Contract Manager, or designee, Contract Monitoring Team, or other designated Department's staff may conduct follow-up monitoring reviews, at any time, to determine compliance based upon the submitted CAP.

The Department reserves the right for any Department's staff to make scheduled, unscheduled, announced, or unannounced monitoring visits.

During follow-up monitoring, any noted failure by the Contractor to correct deficiencies identified in the monitoring report within the timeframe specified in the CAP shall result in the assessment of financial consequences.

3. Instances of Failure

Failure to meet either the performance outcomes and standards or to correct deficiencies may, in addition to imposition of financial consequences, result in determination of Breach of Contract, and/or termination of the Contract, in accordance with Section VI., TERMINATION.

SCHEDULE IV-B FOR OFFENDER BASED INFORMATION SYSTEM (OBIS) MODERNIZATION

For Fiscal Year 2022-23



September 15, 2021

Florida Department of Corrections


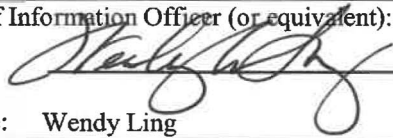

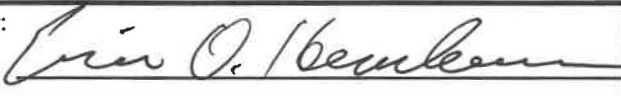

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Schedule IV-B for Offender Based Information System (OBIS) Modernization

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Corrections	Schedule IV-B Submission Date: 09-15-2021
Project Name: OBIS 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: 36260C0	FY 2022-23 LBR Issue Title: OBIS Modernization
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Wendy Ling, 850-717-3963, wendy.ling@fdc.myflorida.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: 9/14/21
Printed Name: Mark Inch	
Agency Chief Information Officer (or equivalent): 	Date: 9/13/21
Printed Name: Wendy Ling	
Budget Officer: 	Date: 9/13/21
Printed Name: Mark Tallent	
Planning Officer: 	Date: 9/13/21
Printed Name: Eric Henderson	
Project Sponsor: 	Date: 9/14/21
Printed Name: Ricky Dixon	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Srini Kishore, 850-717-3717, srinivasa.kishore@fdc.myflorida.com
Cost Benefit Analysis:	Greg Prescott, 850-717-3895, greg.prescott@fdc.myflorida.com
Risk Analysis:	Wendy Ling, 850-717-3963, wendy.ling@fdc.myflorida.com
Technology Planning:	Srini Kishore, 850-717-3717, srinivasa.kishore@fdc.myflorida.com
Project Planning:	Wendy Ling, 850-717-3963, wendy.ling@fdc.myflorida.com

Hackney, Stacey

From: Lawrence, Laura
Sent: Tuesday, September 14, 2021 8:50 AM
To: CO-ELT
Cc: CO-ELT_Support; Stanford, Lavitta; Jenkins, Shajuana; Bodiford, Trueby
Subject: Delegation of Authority

Good Morning,

Secretary Inch will be out of the office today, Tuesday, September 14, 2021 through Thursday, September 16, 2021. During this time, Deputy Secretary Ricky Dixon will have delegated authority to handle all matters on his behalf.

Thank you,

Laura Lawrence

Office of the Secretary
Florida Department of Corrections
501 South Calhoun Street
Tallahassee, Florida 32399
850-717-3030



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Executive Summary

Pursuant to Chapter 945, Florida Statutes (F.S.), the Florida Department of Corrections (Department or FDC) is entrusted with the care and custody of inmates in Florida prisons. The FDC is the third largest state prison system in the country with an annual budget of \$2.9 billion, approximately 80,000 inmates incarcerated, and nearly 140,000 offenders under community supervision. As such, the Department's operations are critical to the safety and security of the public as well as our staff.

Currently, the Department relies primarily on manual, paper-based processes that are later entered into a home-grown mainframe application known as the Offender Based Information System, or OBIS. Advancements in technology long surpassed the original technologies of OBIS, which no longer align with the agility and needs of an already complex core business. As a result, the Department struggles to adapt to challenges such as:

- Fluctuations in inmate/offender populations – limits accuracy of Criminal Justice Estimating Conference (CJEC) projections, intake and release, and corresponding staffing needs
- Changing business process needs for operational efficiencies – dependency on manual paper-based processes, redundant data entry, and unnecessary shipping of paper forms/files
- Data transparency for data-driven operational decision-making and legislative mandates – lack of real-time access to data and analytics, and Criminal Justice Data Transparency Initiative
- Technical support staff and subject matter expert retirement / attrition

The Department has taken initial steps to address questions and next steps on how best to mitigate the risk of a rigid, 40-year-old, costly mainframe system that continues to grow complexity with each year that passes. In 2008 and 2016, the Department engaged an outside vendor to conduct analysis and produce a business case for replacing OBIS. In addition, the Department has been in regular consultation with expertise from Gartner Research Engagement Services, Inc. regarding our revised technical approach, while also researching other states and issuing a Request for Information (RFI) to obtain relevant market information.

With all of these considerations, the Department intends to re-engineer all offender management business processes with particular emphasis on automating workflows and data interoperability to better support the overall mission and increase public safety. The Department proposes a multi-year, staggered workstream approach for OBIS Modernization, with priority given to core functionality. Breaking down and prioritizing the core functional areas allows the Department to ensure appropriate support, distribute the dependence on subject matter experts, and lowers overall project risk with a phased implementation focused on the following:

1. Provide a sustainable and scalable architecture that supports dynamic process modification resulting from legislative mandates and changes
2. Provide a system that can leverage and integrate external and internal data sources in real-time.
3. Provide customized data views for interfaces supporting one-version-of-truth and data analytics to inform security and safety mandates and to measure systemic performance across the full corrections spectrum.
4. Provide a system with a workload management component to manage agency business processes effectively and efficiently.
5. Provide an interoperable and fully functional offender management system to access accurate and complete information that ensures public safety and meets the demands of a dynamic, data intensive correctional environment.
6. Provide a system that leverages modern technologies to attract and retain skilled technologists and support staff.
7. Provide a phased implementation plan identifying the functional, budget, resource, and procurement requirements to ensure a cost effective and realistic acquisition process.

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

A. Background and Strategic Needs Assessment

The Department’s mission is to provide a continuum of services to meet the needs of those entrusted to their care, creating a safe and professional environment with the outcome of reduced victimization, safer communities, and an emphasis on the premium of life. To that end, the Department relies on a collection of legacy mainframe applications referred to as the Offender Based Information System (OBIS) to carry out its mission.

In FY 2016-17, the Department engaged a vendor to provide an updated feasibility study and technical recommendation to inform the Department’s next steps. Since then, the Department has continued to research other states and developed a more current technical approach with guidance from Gartner Research Engagement Services, Inc.

1. Organization

The Department is comprised of two major functional components, Institutions and Community Corrections, along with support entities and staff for Administration, Health Services, and Programs and Re-Entry. The Office of Institutions is responsible for the supervision of all four institutional regions and operational management of all correctional facilities; auditing security at facilities; maintaining accreditation standards; special operations; membership on the State Emergency Response Team (SERT); tracking incident reports; maintaining records on all inmates incarcerated; assisting law enforcement in their investigations; monitoring and interpreting court orders; establishing security standards for all facilities; maintaining the inmate transportation system; conducting training programs on security issues, classification, records, sentence structure, and court orders, as well as other related areas; and establishing policy and direction for all classification and records functions from reception to release.

The Office of Community Corrections in Central Office assists the administration in carrying out its mission for public safety by providing support, technical assistance, and policy for approximately 2,620 Community Corrections staff in the state.

2. Business Need

Since 1978, the Department has used OBIS to record data, generate reports, and support its critical decision-making process. OBIS is used in institutions for inmate management, classification, work assignments, health grades, disciplinary information, and custody status. Due to its extensive use, OBIS is indispensable to the mission and operational performance of the Department. The major areas of functional support within OBIS include:

- Inmate Custody Tracking
- Inmate Classification Tracking
- Inmate Banking with Interface to Canteen (operated by Contractor)
- Inmate Housing Assignment Tracking
- Facility Population Tracking
- Transportation Scheduling
- Inmate Movement Tracking
- Release Date Computation
- Probation and Parole Supervision
- Court Ordered Payments (COPS)
- Field Investigation Tracking
- Collection and Reporting of Health Services Statistics

OBIS is more than 40 years old and has had continual updates and revisions over the past four decades. The system

is a mainframe-based application maintained locally by Department full-time employees (FTEs) and contracted staff. The options for enhancement are limited and the pool of skilled resources needed to continue supporting the system are shrinking. As a result, OBIS requires modernization to better serve the increasing informational needs of internal and external stakeholders.

3. Business Objectives

Through internal analysis and self-assessment, the Department established and prioritized the following objectives for the solution:

Objectives	Priority
Provide a mobile enabled web-based system that comports with current technology platforms, improving usability for the Department.	1
Provide a sustainable and scalable architecture that supports dynamic process modification resulting from legislative mandates and changes	2
Provide a system that can leverage and integrate external and internal data sources in real-time. Provide customized data views for interfaces supporting one-version-of-truth and data analytics to inform security and safety mandates and to measure systemic performance across the full corrections spectrum.	3
Provide a system with a workload management component to manage agency business processes effectively and efficiently.	4
Provide an interoperable and fully functional offender management system to access accurate and complete information that ensures public safety and meets the demands of a dynamic, data intensive correctional environment.	5
Provide a system that leverages modern technologies to attract and retain skilled technologists and support staff.	6
Provide a phased implementation plan identifying the functional, budget, resource, and procurement requirements to ensure a cost effective and realistic acquisition process.	7

After the Department derived and validated its overarching objectives, a gap analysis was performed to determine differences; the “gaps,” are represented by the difference between the current OBIS environment (the “As-Is” state) and the desired future state as defined by the Department’s objectives (the “To-Be” state). For example, the current OBIS user interface is a collection of text-based mainframe “green screens” while a Department objective states, “Provide a web-based system that comports with current technology platforms, improving usability for the Department.” There is an inherent “gap” between a green screen user interface and a modern web-based, graphical user interface (GUI). Therefore, this misalignment must be addressed to achieve the desired solution outcome.

The Gap Analysis highlights aspects of the OBIS environment that must be modernized to meet the Department’s objectives, but it does not attempt to determine whether the changes are achievable or how to resolve the gap. The Gap Analysis merely paints a picture of what OBIS is today and how that compares to what the Department has articulated as its collective needs in a To-Be state.

The following discussion addresses each of the Department’s identified objectives.

Objective 1: Provide a mobile enabled web-based system that comports with current technology platforms, improving usability for the Department.

While the Department has, over time, web-enabled discrete functionality in the current OBIS, e.g., Corrections Integrated Needs Assessment System (CINAS) and Inmate Risk Management System (IRMS), the vast majority of the core OBIS application operates in a green screen environment lacking what is considered today to be a standard presentation layer: a responsive browser-based graphical user interface (GUI) with the look and feel of today’s

modern characteristics, e.g., mouse-enabled pull down menus and checkboxes, that a standard GUI provides, which promotes ease of use and dynamically adapts to the screen size of the device being used. If OBIS is modernized with a web-based GUI the collection of multiple green screens can be optimized for data entry functions with logic to integrate workflows, minimize data entry errors, and perform error correction checks before data is submitted. Additionally, a web-enabled system allows authorized users to access the system using a wide-range of supported browsers.

The few web-enabled applications that are currently part of OBIS rely upon the same underlying legacy architecture (mainframe-based, Db2). Modernizing OBIS includes updating the architectural design to leverage cloud service providers and provide the advantages of maintainability and interoperability.

Objective 2: Provide a sustainable and scalable architecture that supports dynamic process modification resulting from legislative mandates and changes.

OBIS is written in a programming language named Common Business-Oriented Language (COBOL) and the data resides in an IBM Db2 database. Although the current system is functional and stable modifications to the code base are difficult and often introduce technical risk when implementing changes imposed by executive, legislative, or judicial decisions.

In some cases, the risk is imposed by the code base itself, which has been modified, repaired, and enhanced over four decades. The accumulation of past modifications is reaching critical levels of complexity and will become unsustainable if the trend continues. Legislative and business requirements for OBIS continue to evolve while the pool of available skilled development resources shrinks, adding to the risk of overall sustainability. COBOL has not been on the forefront of application development for decades due to organizations migrating to new platforms and rewriting applications in modern languages. Finally, resources with OBIS-specific knowledge are diminishing due to retirement and normal attrition.

The Department's commitment to OBIS Modernization demonstrates a concrete step needed to move to a more flexible and dynamic technical infrastructure and application architecture to allow it to react quickly and accurately to external and internal policy changes.

Objective 3: Provide a system with scalable architecture that can leverage and integrate external and internal data sources in real-time. Provide customized data views for interfaces supporting one-version-of-truth and data analytics to inform security and safety mandates and to measure systemic performance across the full corrections spectrum.

The Department receives and shares tremendous amounts of data with other state and local agencies. However, in many cases, data sharing is accomplished in a paper-intensive environment. An enormous amount of data is captured and generated using hundreds of paper forms that are manually entered into OBIS using green screens that are time-intensive and error-prone processes. The Department is currently piloting new processes that include a method to receive electronic images of commitment paperwork from the courts and developing an automated workflow to receive court sentences as data through automated interfaces to OBIS rather than manual data entry.

The Department uses automated fingerprint scanning technology which supports biometric identification for inmates and offenders. However, the information which is received from FDLE is not readily entered or updated in OBIS without human intervention; criminal history data is still entered manually by staff. There are tremendous benefits associated with moving to a more robust and automated data sharing solution, including accuracy, timeliness, and more appropriate allocation of staffing resources. Under the current architecture, electronic data sharing with external agencies involves extracting the same data multiple times with slight variations for each unique data interface, which is accomplished by resource-intensive batch jobs.

The Department has recognized for many years the importance of creating and managing a secure data sharing environment to address the needs of its employees, inmates, offenders, victims, and the general public. To that end,

the Department created highly focused tools such as CINAS for inmate needs assessment and IRMS for the Security Threat Group (STG) processes, developed as a result of a need to manage gangs and gang activity more effectively within institutions. Today, the STG mandate encompasses the need to effectively identify and manage threats posed by terrorism.

Real-time views of an organization's operational profile and performance have become standard in today's approach to information as a management tool. The ability to see and assess an organization from an enterprise perspective and drill down to illuminate discrete data and performance elements are critical needs for an operation with the breadth and scope of the Department.

Common techniques used to gather and report metrics include dashboards and flexible reporting tools, which allow users to create and monitor operational aspects of the business without requiring significant technical support from programmers or other IT resources. Users are empowered to identify, track, and report on key elements they define as critical to their needs and the management of the overall correctional environment.

Finally, data analytics will provide insight into a wide variety of the Department's operational activities and effectiveness—measured by time, cost, and safety factors that are not readily visible in OBIS today. Integrated data analytics enables the Department staff to perform “what if?” analyses using a standard toolset rather than relying on highly technical and costly IT resources. For instance, questions such as, “What would be the cost savings if the accuracy of an inmate's initial needs assessment were implemented?” Data analytics could be used to identify costs and risks associated with repeated inmate moves in terms of transportation and personnel.

OBIS Modernization must address the Department's desire to capture and manage its operational profile using defined metrics and data-driven decision making.

Objective 4: Provide a system with a workload management component to manage agency business processes effectively and efficiently.

The Department has implemented rudimentary workflow processes to manage certain aspects of its mission. The Classification Appointments Overview & Scheduling System (CAOSS) is one such example of the Department's need for workload management. Using a “factory” paradigm, moving parts and pieces through an operation, adding value at each step, and creating a final product is instructive. However, another component necessary to measure operational efficiencies and effectiveness is, the ability to quantify the amount of work individual resources complete within a specific timeframe? Properly functioning workforce management systems provide organizations, like FDC, with insight into key business metrics such as the number of resources required to staff particular functions throughout the work day, week or month and how to effectively forecast for operational and strategic needs.

This objective addresses the need to manage staff and equipment resources more efficiently. How many classification officers are required to manage the current and projected inmate population? How many and what type of offenders can a Probation and Parole Officer supervise? How many buses need to be scheduled next week to transport the projected inmate moves? These are all operational questions which may be resolved more efficiently with OBIS Modernization.

Workload management addresses the need to use available resources given a wide range of factors which may include staffing issues, e.g., who is out sick today or on vacation next week and how can the system most efficiently transfer their work to another resource? Specific qualifications or restrictions can be included in the logic such as how many cases of a given type may a Probation Officer supervise?

Workload management will also help manage equipment resources, e.g., the transport bus scheduled for today has broken down so what other transport bus is available to use or must the inmate transport be rescheduled. Workload management will also support the Department's mission of securely and safely housing inmates by identifying, tracking, and allocating the appropriate bed required to meet an inmate's Risk and Needs profile.

Often associated only with staffing resources, automated workload management can be effectively used to address the full spectrum of an organization's efficient use of all resources. Automation of workload management will eliminate the manual data entry of paper workflows that are error prone and time consuming, which will enable staff to concentrate on more productive tasks and further enhance the Department's ability to accomplish its mission.

Objective 5: Provide an interoperable and fully functional offender management system to access accurate and complete information that ensures public safety and meets the demands of a dynamic, data intensive correctional environment.

This goal represents the smallest gap between the As-Is and To-Be environments. Modernizing OBIS using interoperable technologies while re-shaping current business processes reduces manual workflows, enhances data accuracy, and offers the greatest benefit to operational efficiency and user experience.

This gap highlights the dependence on the skills and knowledge embodied by Department staff to accomplish the Department's mission. A modernized OBIS will utilize business rules, workflow processes, workload management controls, and interoperable data sharing enabling the Department to better achieve its mission.

Objective 6: Provide a system that leverages modern technologies to attract and retain skilled technologists and support staff.

This objective is aimed at addressing the current and escalating difficulty in hiring and retaining technical resources knowledgeable in COBOL or those even interested in supporting a system based in decades old technologies. Educational institutions no longer teach COBOL and are instead preparing an IT workforce to address increasing cybersecurity threats, leverage cloud-based technologies, and develop using modern programming languages and platforms. OBIS modernization is necessary to address sustainability and operational support needs with skilled resources available in the modern market.

Objective 7: Provide a phased implementation plan identifying the functional, budget, resource, and procurement requirements to ensure a cost effective and realistic acquisition process.

Rather than a gap this is a strategy to maximize the allocation of funding and resources with consideration of procurement requirements and desired outcomes by devolving the project into manageable work streams over a 5-year period.

B. Baseline Analysis

The Department's staff from the offices of Institutions, Community Corrections, Administration, Health Services, Programs and Re-Entry, and Information Technology met to identify business process differences between the 2006 and 2016 Feasibility Study and the 2008 Business Process Analysis. The As-Is documents created in 2008 were used to assess what had changed.

The project team, including Department staff and vendor staff, conducted working sessions with subject matter experts (SMEs) from various functional teams within the Department. As a result of the meetings and follow up discussions, the As-Is process documents from 2008 were updated to reflect business practices current as of 2016. In particular, the following documentation was reviewed and refreshed to reflect current business practices:

- Institutions: Receive Inmate
- Institutions: Institutionalize Inmate
- Institutions: Release Inmate
- Community Corrections: Intake Offender
- Community Corrections: Supervise Offender
- Community Corrections: Release Offender

1. Current Business Process(es)

Within its two major functional areas, Institutions and Community Corrections, the Department performs a wide variety of processes comprised of three major components which fall into each respective functional area. The Department is also responsible for oversight of its outsourced Health Services processing, which provides care for inmates throughout their incarceration. Institution staff are responsible for inmates during incarceration while Community Corrections staff supervise offenders on probation as they return to the community. Figure 1 below provides an overview of the core Department functions.

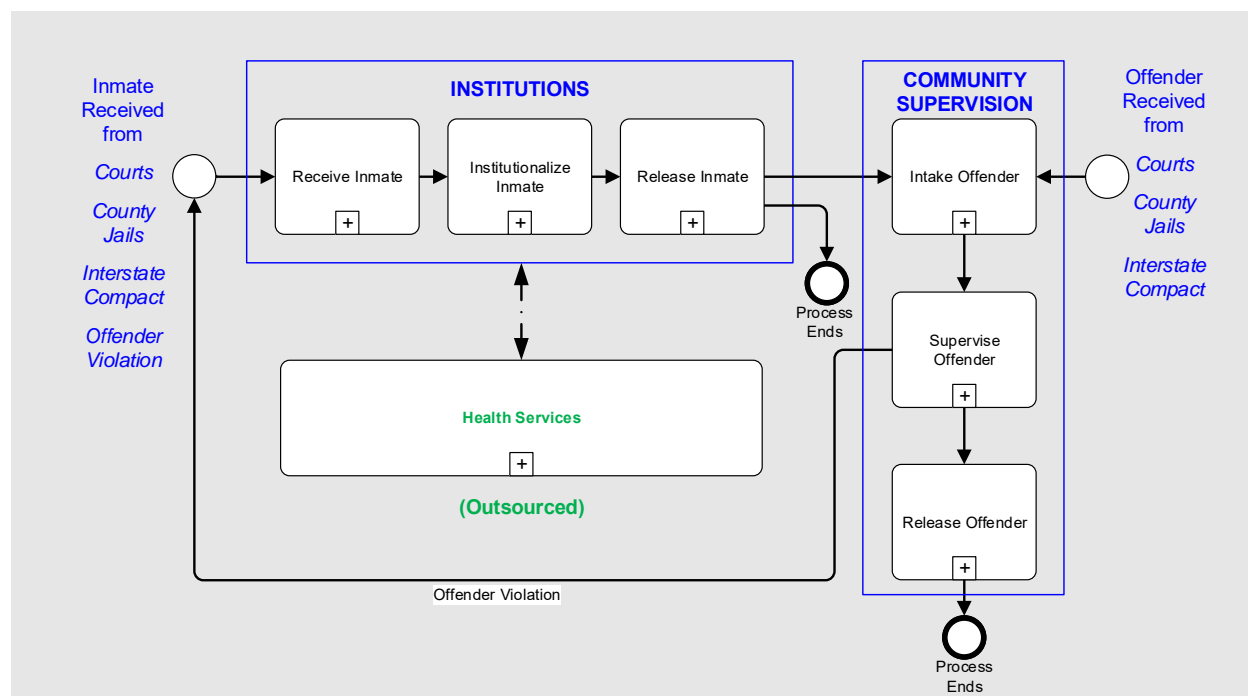


Figure 1: Overview of Florida Department of Corrections Core Functions

Institutions: Receive Inmate

The purpose of the Receive Inmate core process is to physically receive an inmate from the County Sheriff’s Office or designated transporting agent and place the inmate in the custody of the Florida Department of Corrections. The State of Florida receives approximately 30,000 inmates per year in six reception centers, five for male inmates and one for female inmates.

Offenders are transported from county jails or other authorized locations and entered into one of six Reception Centers located throughout the state. Each inmate is accompanied by official commitment papers and other official documents mandated by section 944.17, Florida Statutes. At intake, the inmate is identified as a new receipt, recidivist, or violator. An inmate is processed, tested, evaluated by Health Services, assessed for program needs, and his/her custody (security risks) is determined. Custody is determined by reviewing the seriousness of the offense, length of sentence, time remaining to serve, prior criminal history, escape history, prison adjustment, and other factors. Based on key assessment results gathered during the reception process, the inmate is then transferred to a permanent facility.

The objectives of this process are:

- Review and validate inmate commitment papers for custody acceptance
- Search and seizure of personal property
- Inmate orientation
- Testing and assessment of mental, physical, educational, vocational, substance abuse treatment, and medical needs
- Assessment of security risk level
- Assignment to permanent institution
- Transfer of inmate to permanent institution

Institutions: Institutionalize Inmate

The purpose of the Institutionalize Inmate core process is to receive an inmate after he or she has been assigned to an institution following the Inmate Reception process and to manage the inmate throughout incarceration in a Department facility.

The objectives of this process are:

- Review and validate inmate reception papers for custody acceptance
- Assign a bed meeting custody and risk provisions
- Search, seizure of personal property, and orientation
- Complete a risk/needs assessment
- Assign institutional programs (education, vocational, substance abuse)
- Manage inmate
- Manage the institution (visitors, transportation, phones)

Institutions: Release Inmate

The purpose of the core process, Release Inmate, is to ensure completion of all tasks required by statute, rule, procedure, or best practices prior to the lawful end of a commitment to state custody. The inmate may be released without legal constraint, placed under post-release supervision (executive or judicial), or turned over to another legal authority for criminal process (law enforcement) or civil process (Immigration and Customs Enforcement or Department of Children and Families civil commitment for sexually violent predators).

The objectives of this process are:

- Determine if an inmate has reached the lawful end of a court commitment to state custody
- Determine the type of release
- Review all inmates prior to release for transition services programs, residential housing, employment, and other special services as needed or required by law
- Conduct a full medical and mental health assessment on the inmate and determine if special placement is clinically indicated at end of sentence (EOS) (hospital, inpatient mental health care, assisted-living facility/nursing home, etc.)
- Determine the entity to whom the inmate will be released, if applicable
- Notify all appropriate organizations and individuals of the pending release
- Ensure the inmate is not subject to warrants or detainer notices by other jurisdictions either in Florida or elsewhere (courts, law enforcement, corrections)
- Fully inform the inmate about his or her obligations following release (e.g., supervision by Community Corrections)

- Ensure all Department of Corrections information about the inmate is current and validated (numerous reviews)

Community Corrections: Intake Offender

The purpose of the core process, Intake Offender, is to conduct identification and assignment of offenders placed on supervision.

The objectives of this process are to:

- Receive/gain offenders coming directly from court or being released from an institution into conditional release or court ordered supervision.
- Manage the various referral sources including deferred prosecutions, sentencing by the court or the releasing authority, interstate compact and other State entities, as well as institutions, prosecutors, and the Florida Commission on Offender Review (FCOR). Offenders may be sentenced to supervision types as described in Florida Statutes 944, 947, 948, 949.
- Initiate the completion of the various forms included with the case file.
- Input appropriate data in OBIS screens and case notes across all supervision activities.

Community Corrections: Supervise Offender

The purpose of the core process, Supervise Offender, is to supervise offenders commensurate with their court ordered conditions, and to address the needs of the offender, thereby protecting the community.

The objectives of this process are:

- Monitor and supervise offenders on a schedule that adheres strictly to the terms and conditions of the Probation Order
- Identify needs/resources
- Motivate and assist
- Perform field work on a regular basis
- Manage violations of supervision
- Manage offender transfer requests
- Manage the various investigations that are requested (e.g., presentence investigation, pretrial investigation, inmate release investigation, absconder investigation, etc.)
- Document appropriate OBIS screens and case notes across all supervision activities

Community Corrections: Release Offender

The purpose of the core process, Release Offender, core process is to perform activities associated with the end of supervision for an offender who has successfully completed the conditions of supervision and is ready to transition back into the community. The community supervision release population consists of all offenders permanently removed from the Florida Department of Corrections from a specific term of supervision due to satisfaction of the sentence, a pardon, return to another State, death, revocation, or other court termination action.

The objectives of this process are:

- Prepare offenders for a smooth transition back into the community
- Provide termination of supervision instructions to offenders
- Create release documentation to the various agencies and/or individuals
- Document offender release in OBIS and in hardcopy file

Stakeholders

Each process affects individuals and entities inside and outside the Department 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.” The table below lists the project’s stakeholders which have been identified to-date, as well as a summarization of how each will be affected by, or will participate in, OBIS Modernization.

Business Process Stakeholder Groups	
Stakeholder	How affected and/or how group will participate
Florida Department of Corrections	<p>Replacing the current OBIS affects all facets of support and operational areas within the Department as it represents a significant shift in technology, functionality, staff skills and knowledge, and an ongoing need to readdress budgetary support. Internal stakeholders include:</p> <ul style="list-style-type: none"> • Executive Leadership • Institutions • Community Corrections • Administration • Budget and Financial Management • Communications • Facilities Management • Finance and Accounting • General Counsel • Health Services Human Resources • Information Technology • Inspector General • Intelligence • Legislative Affairs • Procurement • Programs and Re-Entry
General Public	A general body of people within the Florida community. The general public is directly affected by the Department’s ability to meet its security and safety mandates.
Victims	Victims of crime have an interest in the new system to ensure it meets their notification needs and to ensure appropriate restitution is made.
Law Enforcement Agencies	A wide variety of law enforcement agencies provide data to support the Department mission. The Florida Department of Law Enforcement (FDLE) provides positive, biometric-based identification services (state and federal) and supplies criminal history records to the Department. By running an identification check, the Department notifies FDLE that an inmate is in custody.
Local Law Enforcement Agencies	A wide variety of law enforcement agencies provide data to support the Department mission. State law enforcement agencies (Police, Sheriffs) interact with the Department and may be actively involved with transfers, escapes, absconders, and investigatory processes.

Business Process Stakeholder Groups	
Stakeholder	How affected and/or how group will participate
Courts	Court systems are intimately involved with the Department. The Courts impose the sentences which the Department is mandated to carry out for inmates and offenders and often requires information and/or investigations to assist them in their constitutional duties.
Other States	The Department, through the Interstate Compact, houses inmates from and provides supervision of offenders on behalf of other states. Concurrently, other states perform similar services on behalf of the Department.
Florida Department of Children and Families (DCF)	The Department operates in partnership with DCF to close any government benefits such as the Supplemental Nutrition Assistance Program (SNAP) or Temporary Assistance for Needy Families (TANF) when a person enters FDC to ensure benefits are not distributed to incarcerated persons. The data provided also prevents incarcerated individuals' identities from being fraudulently used to apply for assistance.
Other State Agencies	Other agencies within the State of Florida that interact and/or are affected by OBIS Modernization include: <ul style="list-style-type: none"> • Florida Department of Revenue (DOR) • Florida Department of Juvenile Justice (DJJ) • 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 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
State Data Center (SDC)	The SDC provides utility computing services to the Department. The center maintains a 24x7x365, Tier III data center operation with redundant power, back-up generators, redundant network connections, and managed services for OBIS. As of FY 2020-21, the SDC outsourced mainframe services to the Northwest Regional Data Center (NWRDC) who has contracted with a vendor to supply services.
Contracted Services	Third party vendors contract with the Department. Examples of service contractors include: <ul style="list-style-type: none"> • Health Services • Canteen • Electronic Monitoring • JPAY payment processing

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.
Other Federal Agencies	Other Federal Agencies interact with the Department. 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)

2. Assumptions and Constraints

OBIS Modernization is dependent upon a wide range of assumptions and constraints. Assumptions refer to things which are, based on functional, technical, statutory, and/or best practices, believed to have potential impact on the overall goals of the project. Constraints are defined as things that are known to prevail today or will be required in the future, which limit or influence subsequent functionality, the technical environment, budgets, implementation planning, project execution, and operations and maintenance activities.

From a fundamental perspective, the most important aspect of OBIS Modernization is an understanding that the functions of the Department to meet its mission cannot be interrupted.

Assumptions

- Total project costs will increase with longer project timelines due to the need to maintain and operate the current OBIS solution over a longer period of time.
- Funding to maintain and operate the current OBIS will continue until the new system is implemented.
- The proposed vendor solution will be either a Commercial of the Shelf (COTS) product, Cloud-based Software as a Service (SaaS) solution, or Cloud-based Customer Relationship Management and Enterprise Resource Management (CRM/ERP) Platform as a Service (PaaS) with correctional verticals. Vendors can propose a combination of one or more of the above and integrate them all to provide least Total Cost of Ownership (TCO) over 10 years.
- The vendor will propose service-oriented architecture, a range of appropriate technologies and tools like data integration, business rule-engines, with low-code/no-code frameworks with real-time interoperability and interfaces using application program interfaces (APIs) and web-services.
- The proposed Vendor solution will be hosted in a cloud environment that complies at a minimum with the FBI Criminal Justice Information Services (CJIS) Security Policy.
- The proposed Vendor solution will be compliant with the National Institute of Standards and Technology (NIST), the FBI CJIS Security Policy, the Health Insurance Portability and Accountability Act of 1996 (HIPAA), and standards for protecting Personally Identifiable Information (PII).

- The proposed vendor solution will be compliant with Chapter 60GG-2, F.A.C., Florida Cybersecurity Standards, and Chapter 60GG-3, F.A.C., Data Center Operations.
- Vendors can implement the proposed solution in the designated timeframe, in the sequence prescribed, and in alignment with budgetary allocations/restrictions.
- The proposed vendor solution will increase operational efficiencies and effectiveness and eliminate manual processes which rely upon the use of ad-hoc tools.
- The cost avoidance from operational efficiencies and resource gains resulting from OBIS Modernization will be allocated to activities which directly support the Department's mission.
- The proposed vendor solution will use an architecture model that facilitates rapid and scalable deployment of the technical and functional requirements.
- The proposed vendor solution includes building interfaces with the current OBIS applications as functionality is modernized in phases.
- The current OBIS applications will remain the system of record for agency data until all functionality is tested and migrated to the modernized OBIS.
- The Department will employ the Organizational Change Management (OCM) activities required to successfully implement the recommended solution.
- The project team, both the Department and the vendor, will be staffed appropriately to complete the deliverables, achieve milestones, implement infrastructure changes, manage user involvement, and ensure proper testing.
- The proposed vendor solution will include automated data interfaces with other external agencies to preclude the storage of duplicate data.
- As a part of the business process re-engineering, the current interfaces will be analyzed if providing real-time access to data to reduce batch load and data exchange traffic.
- The Department's executive leadership and key project stakeholders will remain invested in the success of the project throughout the multi-year phased implementation.
- The end user computer workstations and network connectivity are sufficient to support the use of a web-based user interface.
- The computers and mobile devices used to enter data without using paper will not negatively affect the safety of officers, staff, or inmates.
- The proposed vendor solution will provide offline data capture workflows with connected synchronization for data collection when connectivity is unavailable, which will be critical to reduce the need for paper-based data collection and manual workflows.
- The proposed vendor solution can be implemented in phases over a 5-year period.
- Implementation of the proposed vendor solution will comply with Chapter 60GG-1, F.A.C., Florida Information Technology Project Management and Oversight Standards.
- The proposed vendor solution will consider public safety as an overarching goal of the Department.
- OBIS Modernization will not negatively affect operational continuity.

Constraints

- Potential vendors may prefer to implement OBIS Modernization in fewer phases over a shorter period, which may not match the approved funding model.
- Project activities, schedules, and milestones depend on the appropriate funding.
- State statutory changes, changes in administrative rules, and Department policy changes could affect the project.
- Specific software tools supporting desired capabilities will be determined based on the solution options proposed by the system integration vendor.
- There is a limit to the workload that Department staff can dedicate to OBIS Modernization each year.

- The current OBIS applications contain cross dependencies that will require ongoing operation of the legacy system during OBIS Modernization.
- During OBIS Modernization a temporary bridging interface is needed to maintain operational continuity and data integrity.
- There is a high level of risk associated with a phased implementation, which necessitates an emphasis on modernization strategies.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

Functional Requirements

Functional requirements are defined as those items which must be met to address the business processes of the Department; and must be supported to perform the actual business of the Department. Within the functional requirements are items common across all functions, such as scheduling and workflow management. Figure 2 below illustrates the inter-relationship of common functional elements.

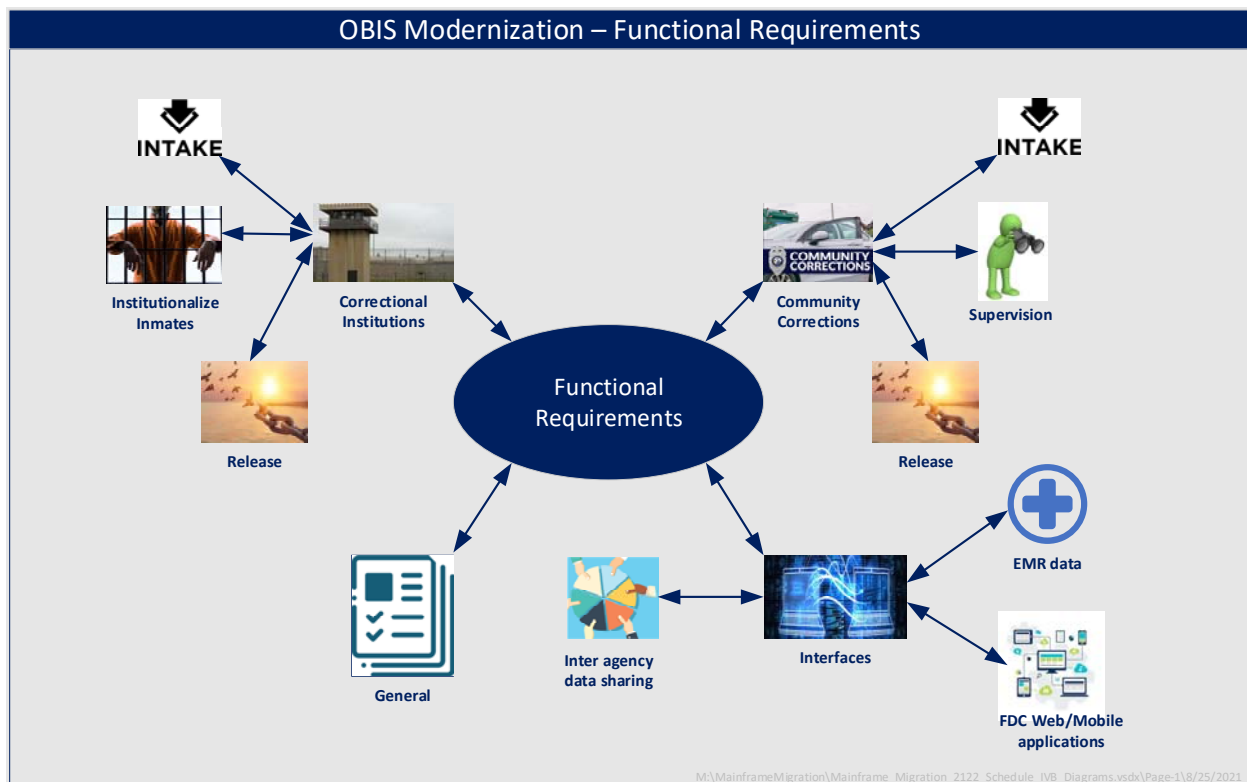


Figure 2: Functional Requirements for OBIS Modernization.

The requirements fall into general groupings as summarized in the following table.

Major Functional Area	Process Sub-Categories	Description
Institutions - Intake	Inmate Reception	Processes required to receive an inmate.
Institutions - Intake	Risk and Needs Assessments	Processes required to determine the internal and external risks posed by an inmate, define custody levels, and assess an inmate's specific needs (e.g., health, education, and vocational training).
Institutions - Intake	Security Threat Group	Processes required to determine gang or terrorist memberships and threats.
Institutions - Institutionalize	Inmate Education	Processes required to determine and meet the educational needs specific to a particular inmate.
Institutions - Institutionalize	PREA	Processes required to determine the threats posed by sexual predators or to assess the propensity for victimization.
Institutions - Institutionalize	Property Management	Processes required to remove, store, track, and return inmate property.
Institutions - Institutionalize	Disciplinary Report (DR) Management	Processes required to track inmate disciplinary actions.
Institutions - Institutionalize	Inmate Trust Fund	Processes required to manage inmate funds (e.g., transferring funds to an inmate's ID for use in the canteen).
Institutions - Institutionalize	Sentence Structure	Processes required to validate and manage an inmate's incarceration, sentence modifications, and to calculate a release date.
Institutions - Institutionalize	Visitation/Phone Lists	Processes required to manage inmate visitors and authorized recipients of inmate phone calls.
Institutions - Institutionalize	Transportation	Processes required to move inmates between Department institutions.
Institutions - Institutionalize	Vocational Training	Processes required to determine and manage inmate vocational program assignments and training.
Institutions - Institutionalize	Housing	Processes required to manage bed space throughout Department and to determine appropriate bed assignments based on inmate custody levels.
Institutions - Institutionalize	Interstate Compact	Processes required to manage and coordinate inmates serving time in other states or inmates from other states serving time in Florida.
Institutions - Institutionalize	Drug Testing	Processes required to manage the inmate drug testing program.
Institutions - Institutionalize	Emergency Operations	Processes required to support Emergency Operations (e.g., managing escapes or mass moves during natural disasters).
Institutions - Release	Inmate Release	Processes required to prepare and release an inmate from incarceration.
Community Corrections - Intake	Offender Receipt	Processes required to receive an offender.
Community Corrections - Supervision	Offender Supervision	Process of making referrals, tracking public service, monitoring treatment attendance and various other activities.
Community Corrections - Supervision	Risk and Needs Assessment	Processes required to assess an offender's specific needs during supervision.
Community Corrections - Supervision	Investigations	Processes required to complete offender investigations.

Major Functional Area	Process Sub-Categories	Description
Community Corrections - Supervision	Absconder Management	Processes required to manage offenders who have absconded (potential probation/parole violators).
Community Corrections - Supervision	Court Ordered Payments (COPS)	Processes required to manage payments ordered by a Court as restitution to victims or payments for services rendered by Department as part of an offender's supervision.
Community Corrections - Supervision	Offender Transfer	Processes required to transfer an offender's supervision from one office to another.
Community Corrections - Release	Offender Release	Processes required to release an offender from supervision.
Interfaces – Inter agency Data Sharing	Inter-Agency Data Sharing	Processes required to support outbound and inbound data exchange with external agencies. Currently most of these are batch.
Interfaces – Department Web/Mobile	Department Web/Mobile Applications	Processes required to support data requirements of Department web / mobile applications in real-time or batch.
Interfaces – Health Services	EMR Interface	Processes required to support EMR system providing inmate data and receiving medical/mental health data for internal processing.
General	Document Management	Processes required to maintain Department document templates, image/store documents, and to address archival requirements levied by the Department and/or the State.
General	Scheduling	Processes required to schedule appointments.
General	Workflow Management	Processes required to move work items between staff members for completion and or authorization.
General	Identification (Photos, Badges, LiveScan, RapidID)	Processes required to positively identify inmates and offenders and to create acceptable identification badges.
General	Integration with External Agencies (e.g., Courts, State/Local/Federal law enforcement agencies)	Processes required to share data/access with a wide variety of external entities that supply or use Corrections data while incarcerated or under supervision.
General	Case Management	Processes required to manage inmates and offender records and caseloads.
General	Audit (inmate records, sentence structure)	Processes required to validate the accuracy of Department processing and records.

Categorizing Current OBIS Functions

From the perspective of modernization, OBIS functionality has been broken down into four groups. The grouping accounts for the relative functional priority to modernize including, functional relationships, sequencing of migration, and migrating to a newer solution as a block for minimizing interactions. The groupings are provided in Figure 3.

Application Functionality Grouping for Sequencing Modernization			
Group-1	Group-2	Group-3	Group-4
<p><u>Community Corrections</u> Offender intake management, Offender release, Offender risk and needs assessment</p> <p><u>Information Technology:</u> Bridge Technology, Enterprise Reporting, Infrastructure / Replatform</p> <p><u>Institutions</u> Disciplinary Report (DR), Emergency Operations, Inmate Classification Assessment, Inmate Reception, Risk and Needs Assessments, Sentence Structure, Release Day calculation, Support Release & Management</p> <p><u>Integration</u> Support Internal & integrations, Support Internal & interfaces,</p>	<p><u>Community Corrections</u> Offender Supervision</p> <p><u>Core OBIS Functionality</u> Case / Records management, Court Order Payments, Data analytics, Financial Management, Scheduling, Workflow Management</p> <p><u>Information Technology</u> Database, Data Warehouse and DataMarts, Support Tools & Maintenance</p> <p><u>Institutions</u> Identification Badges, Livescan, RapidID, Inmate Custody Assessment, Security Threat group, Support Emergency Management, Support Sex & Offenders, Vocational Training</p> <p><u>Integration</u> Support External & interfaces</p>	<p><u>Community Corrections</u> Community Supervision, Community Corrections, Incident Management</p> <p><u>Core OBIS Functionality</u> Pre-sentencing investigations</p> <p><u>Institutions</u> Facility Population Tracking, Inmate Education, Inmate Housing Assessment, Inmate Movement Tracking, Inmate Release, Inmate Trust Fund, PREA, Support Grievances, Transportation Scheduling</p>	<p><u>Community Corrections</u> Investigations Offender absconder management Offender transfer</p> <p><u>Core OBIS Functionality</u> Audits Document Management Victim Information</p> <p><u>Institutions</u> Drug Testing Interstate Compact Property Management Support Facility & Supervision Support Job & Assignment Visitation management</p>

Figure 3: Core Functionality Groupings

With major business functions grouped as listed above, the task of migration has been categorized into the following three work streams, which is applicable to any chosen solution options.

Workstream-1: Modernize Interfaces & User Experience

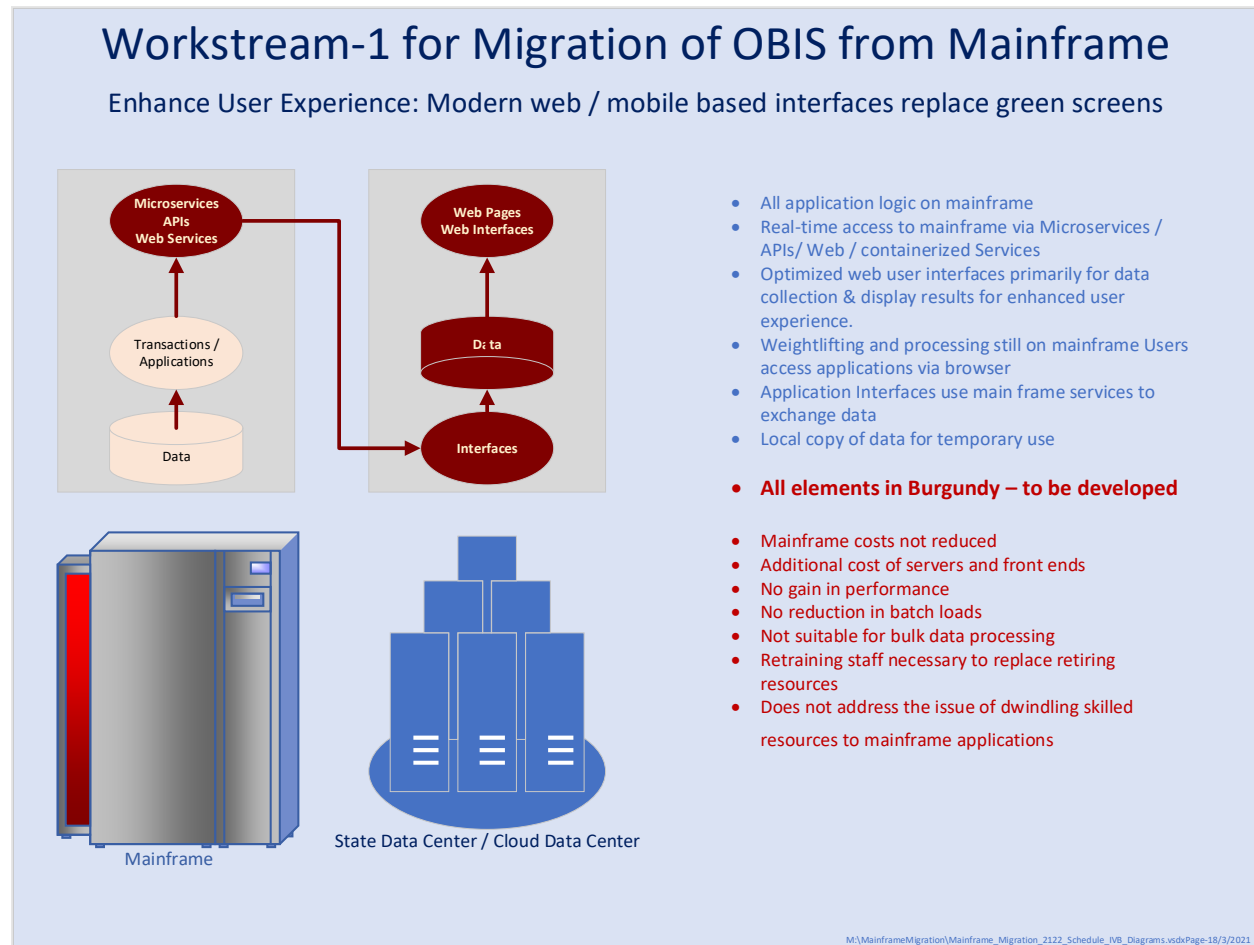


Figure 4: Workstream 1

The focus of this workstream is to replace the green screen interfaces of OBIS with web-based and mobile-enabled interfaces. Development of these interfaces provides the functionality of multiple OBIS green screens can be combined into a single screen for an improved user experience and error trapping can be done at the time of data entry to improve the accuracy of collecting data. These advantages will significantly reduce the traffic to the mainframe once functionality is shifted to a newer interface.

Workstream-2: Reduce the Mainframe Footprint

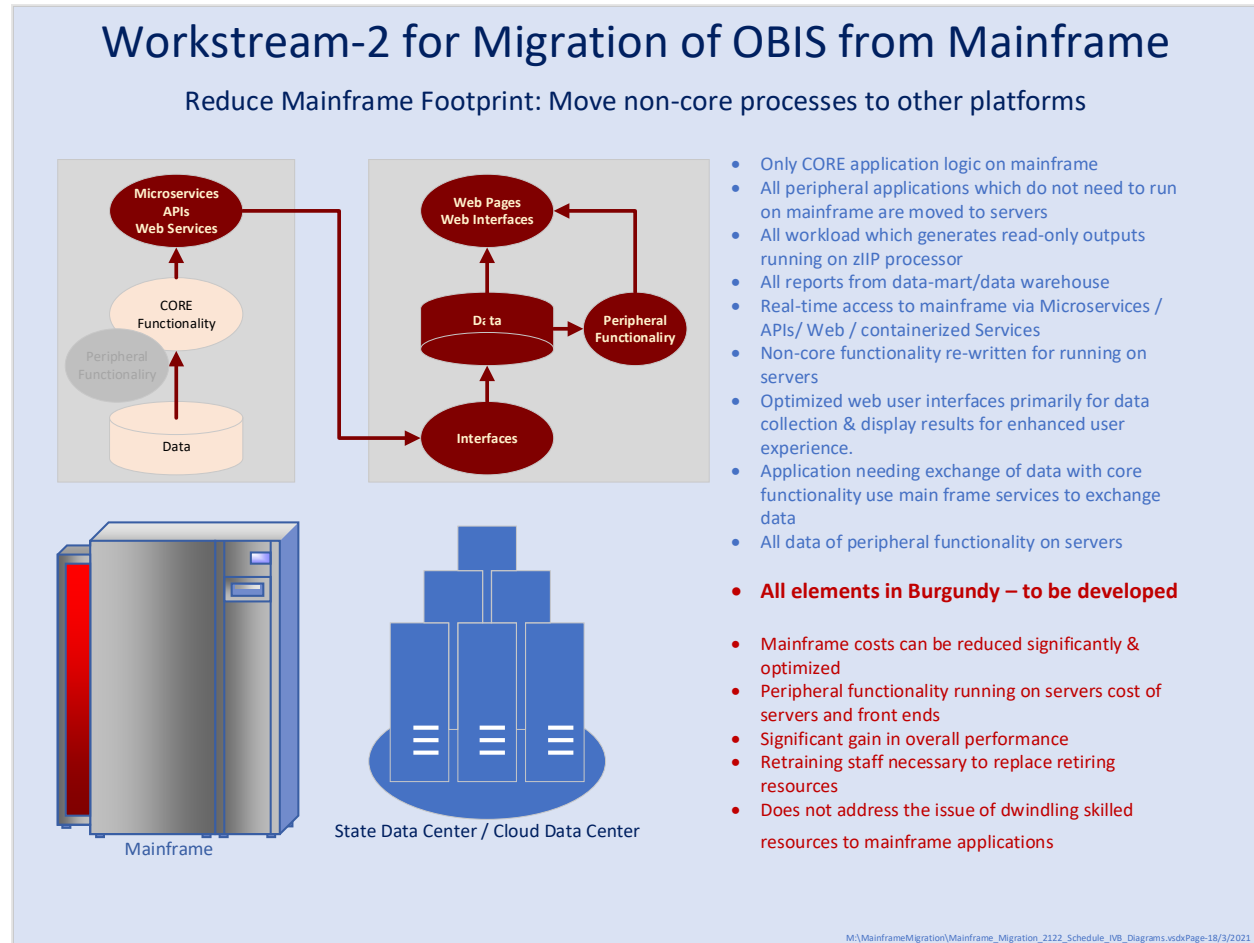


Figure 5: Workstream 2

During research, OIT discovered several processes that can be eliminated or do not require the processing power provided by the mainframe. The focus of this workstream is to reduce the footprint on the mainframe by moving non-core functionality to a cost-effective modern platform and sunsetting the processes that are not required.

Workstream-3: Refactor/Rewrite Functionality

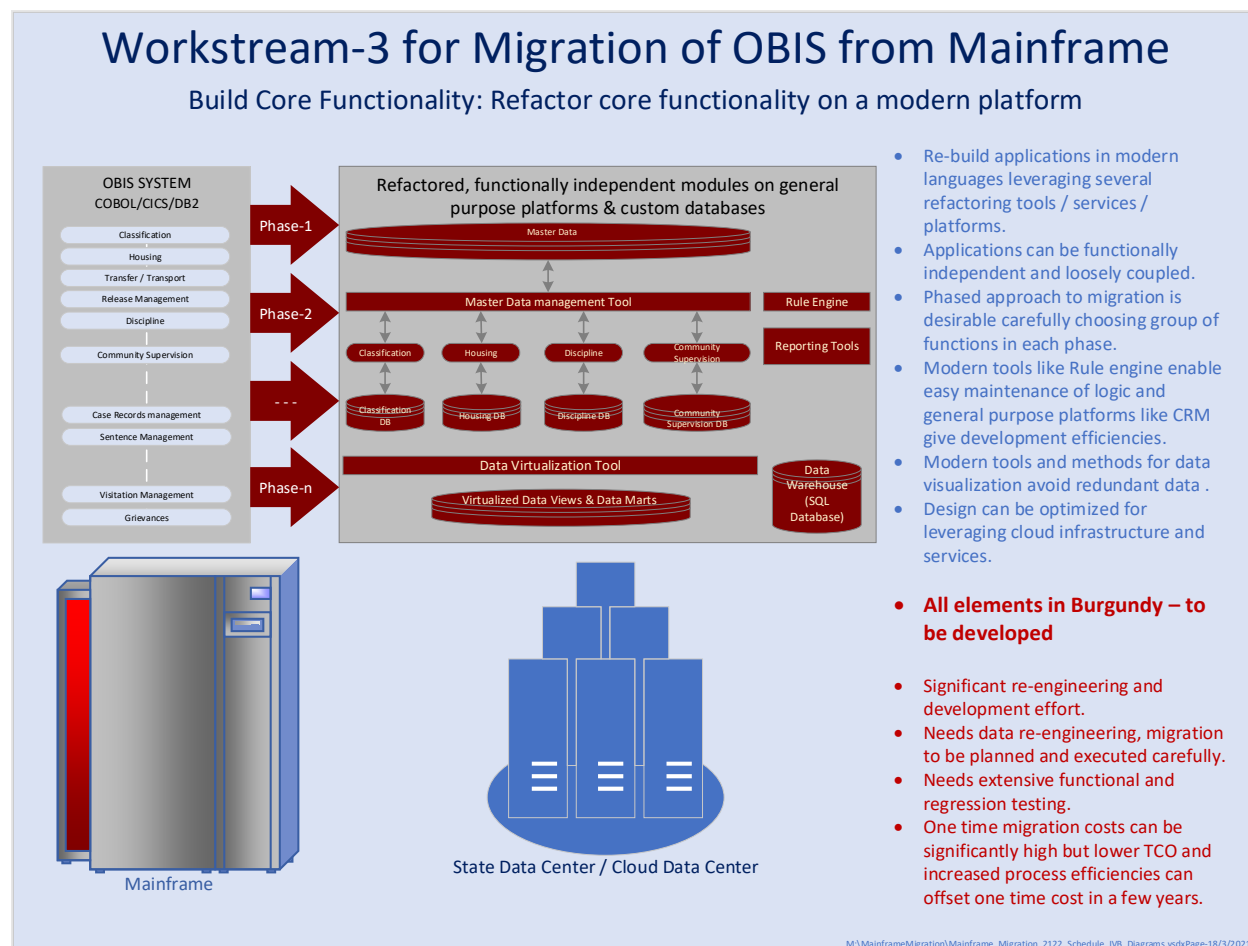


Figure 6: Workstream 3

The focus of this workstream is migrating core functionality to a modern platform. The approach for modernization could be a combination of one or more options considered under Business Solution Options. The end goal of this workstream is to provide a modern system that meets the Department’s business objectives.

Technical Requirements

Technical Requirements are defined as those items which must be met to address the information technology processes of the Department; and must be supported to meet Department technical environment needs and compliance with Chapter 60GG-2, F.A.C., Florida Cybersecurity Standards and Chapter 60GG-3, F.A.C., Data Center Operations. As with the functional requirements, many technical requirements are common across the solution, such as database architecture, network infrastructure, and data integrity/security. The requirements fall into general groupings summarized and illustrated in the following diagram. For a complete listing of requirements, refer to Appendix 0,

Business Process Documents.

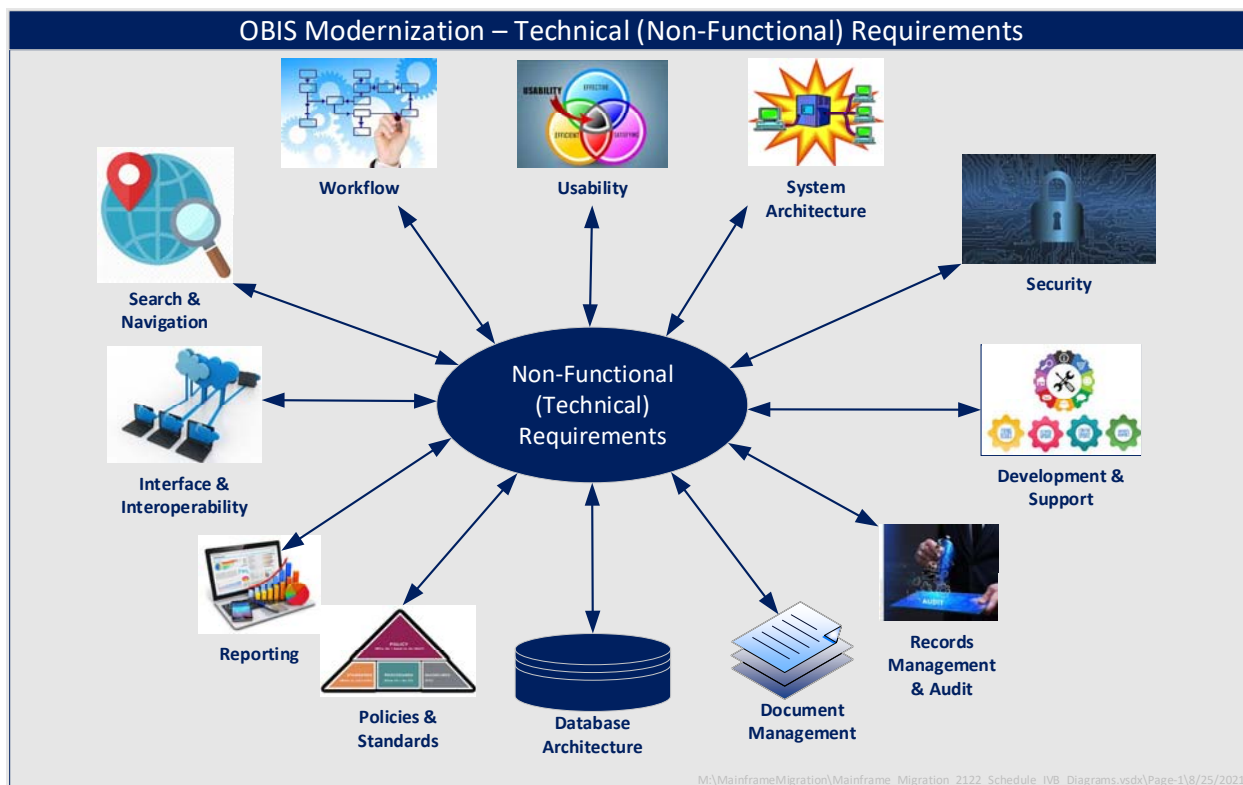


Figure 7: Summary of Technical Requirements for OBIS Modernization

2. Business Solution Options

The initial research from the 2016 Feasibility Study focused on gathering data about the correctional environment at the national level, followed by looking at individual states and identifying those which are similar to Florida, based on inmate and offender populations. Particular attention was placed on states which have recently implemented a new Offender Management System (OMS) and states considering the replacement of their existing system.

A review of individual states was performed to determine which systems were currently in production or planned, functionality, underlying technology suites, and overall implementation strategies. States with large inmate and offender populations were most relevant, given the inherent similarities to Florida with particular attention given to California, Texas, Pennsylvania, New York, Illinois, Virginia, and North Carolina.

A comparison of systems and technology included research and analysis of vendors, products, third-party integrators, and application options provided as part of recent, within the last five years, or planned system implementations. For states that recently implemented a new system, implementation information helped provide insight into key factors the Department must consider for OBIS Modernization. For states using a mainframe platform and considering implementing a new system, research focused on determining key drivers for change.

The Department engaged in process validation and considered budgetary constraints, technical capabilities, functional needs, staffing issues, and Department objectives for OBIS Modernization. Three approaches were identified which had the potential to meet the Department’s needs:

1. Commercial Off-The-Shelf (COTS)

2. Best of Breed: Component-Based/Software as a Service (SaaS)
3. Hybrid on Common Platform as a Service (PaaS)

It is important to note that each of the potential options could at some point, with varying levels of complexity, cost, and risk, meet the needs of the Department. Figure 8 below illustrates the options available and the primary characteristics of each.

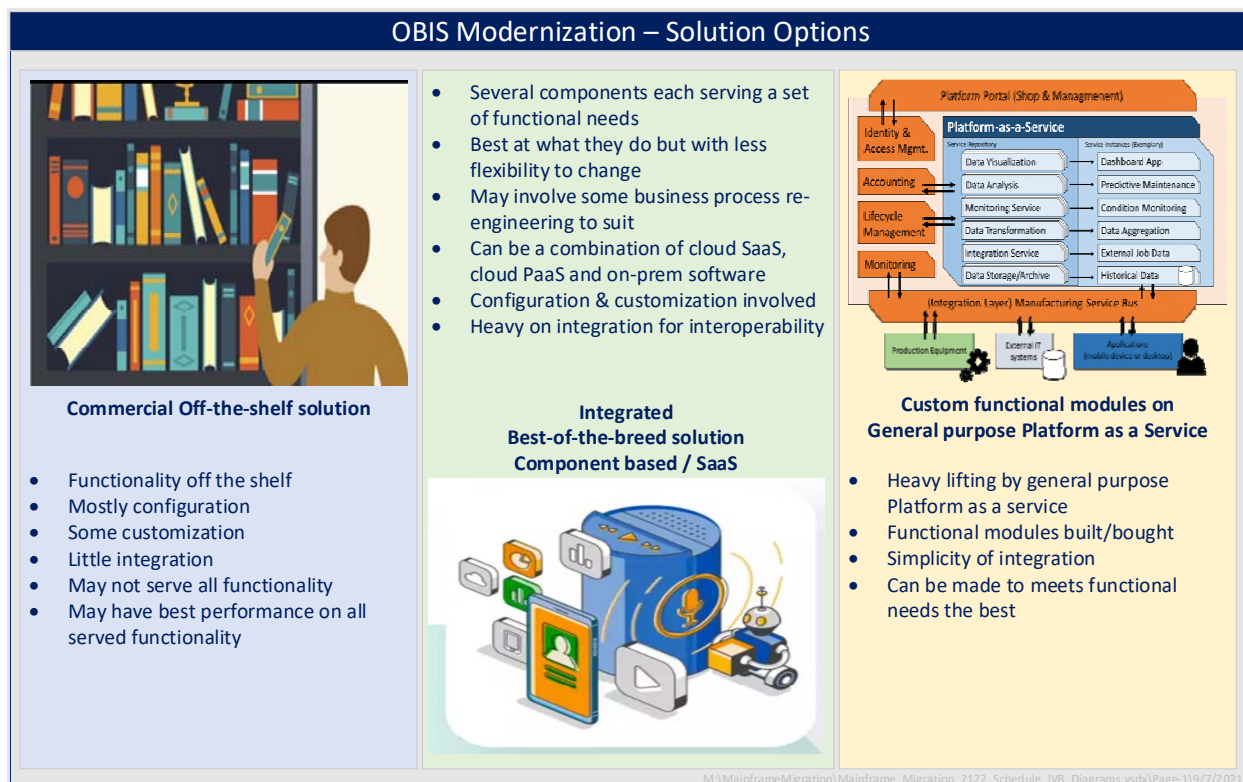


Figure 8: OBIS Modernization Solution Options

Findings

The market was assessed from a technical perspective (which products, services, and vendors address various migration or replacement strategies) and with a view toward identifying the current (and planned) installations for Departments of Corrections across the 50 states.

In general terms, there are three major implementation strategies prevalent in the market for Corrections:

- Commercial Off-The-Shelf
- Best of Breed: Component-Based/Software as a Service (SaaS)
- Re-Platform to Platform as a Service (PaaS): Modular/Custom Development

Commercial Off-The-Shelf (COTS)

COTS solutions are most commonly understood to be “packages” or “shrink-wrapped” software which is fully functional, requiring only basic configuration services to place it in a production environment. Most commonly, COTS products which address a particular functional need (e.g., an offender management system) come from a single vendor, have some sort of internal production “engine” underlying/supporting the entire solution, and various “modules” which perform discrete tasks related to a particular function (e.g., bed management or transportation fleet

management). Customers are usually required, at a minimum, to purchase or license the “engine” or “core” and are then free to decide which of the functional modules they wish to use to support their specific needs.

Technical risk is usually reduced with this strategy as a vendor is ultimately responsible for the integration of their own product offerings. As an added benefit, the various modules within the system generally operate in the same fashion (menus and options are common across the different functional system components); the look and feel is decidedly similar which may reduce user training time and costs and increase staff productivity.

As part of the transition to a COTS platform, the Department would use out-of-the-box functionality with minimal customization and extensions to the core product. In some cases, current business processes may require modification to align with the COTS capabilities.

Benefits:

- Functionality may be more mature and stable for use by multiple customers
- Tool provides a modern platform and user interface
- Vendor maintains product to support state and federal requirements

Drawbacks:

- Limited market for corrections-specific COTS
- Extensive customization may be needed to address Florida-specific needs
- Upgrades to newer versions of COTS product could require extensive rework to include original customization
- Current business processes may require change to align with COTS product
- Dependency on specialized resources for system updates or legislative changes

Best of Breed: Component-Based/Software as a Service (SaaS)

Component-Based strategies allow the customer to select the best option for a given functional need, from different vendors, and then integrate the chosen components to form their overall system or solution. For example, Vendor A’s Inmate Management module may excel in the market, while Vendor B’s Probation and Parole module may be considered the “best of breed” (best solution in the market for a particular functional business need).

A Component-Based strategy allows the system to be built from market leading parts and pieces which then form the enterprise solution. Potentially, custom modules could be developed by a vendor to meet a highly specific functional need (SaaS: Software as a Service). However, there are potentially significant risks associated with this approach as it requires the tight integration of disparate vendor offerings which may be technically challenging, and which may present a different look and feel to users as they move from one area of the solution to another.

A Best of Breed modernization strategy transitions current OBIS to improved functional capabilities as discrete modules/ solution components. For each module/solution component, analysis would determine the best solution for the specific functionality. Module/solution components could be provided by one or more COTS or SaaS vendors, as custom developed modules or re-platformed functionality from OBIS. To enable module/component-based processing, the core OBIS architecture would need to use a flexible Service Oriented Architecture and provide a solid integration framework.

Benefits:

- Modernization can be done in a phased program as budget allows
- Solution provides access to best of breed solution components from functionality and cost perspective
- Vendors maintain COTS and SaaS modules/components

Drawbacks:

- Possibly more integration effort than a single COTS vendor solution
- Changes to current business processes may be required to align with new module/components
- Use of offsite vendor-hosted system (“cloud”, or out-of-state locations) may add complexities for CJIS compliance

Re-Platform to Platform as a Service (PaaS): Modular/Custom Development

A third approach to OBIS Modernization is to use standard application hosting platform, offered as a service (PaaS), and buy/build corrections-specific application modules using the rapid application tools supported by the platform which can serve the necessary business functions. This involves integrating modular components that are either pre-built or custom-developed for the core functional areas.

The primary areas of expected savings result from reduced mainframe hardware and software licensing costs. Organizations which project mainframe costs savings should be careful to understand the fixed costs (costs which remain even when mainframe utilization is reduced or eliminated). For example, there may be costs associated with support staff and facilities, regardless of where the new platform operates.

A re-platform modernization strategy transitions current OBIS to a modern application platform and development technologies. Transition may use a platform migration tool to reduce cost and elapsed time to move to the new platform. Ongoing capabilities would be custom developed on the new technology platform.

Benefits:

- Functionality customized to FDC requirements and preferences, built to specifications or bought if readily available
- Faster migration to relatively lower cost hosting and infrastructure since the platform is service provider managed
- Department retains control over system direction, features, and speed to implement change

Drawbacks:

- Longer elapsed time to implement system changes that modernize business processes
- Cost, staffing, and management challenges of custom application maintenance

State Comparisons

For frame of reference purposes, the following table shows totals for inmates and supervised offenders from the National Institute of Corrections (NICIC) reports. There may be slight variances between data reported and actual state data, but the table below is representative for each state as of December 31, 2019. Florida ranks third nationally for total inmate population.

State	Inmate Population	Community Corrections Population	Total Population
Texas	158,429	474,100	632,529
California	122,687	306,500	429,187
Florida*	96,009	208,500	304,509
Georgia	54,816	427,600	482,416
Pennsylvania	45,702	278,000	323,702
New York	43,500	133,800	177,300
Illinois	38,259	119,600	157,859
Virginia	36,091	67,400	103,491
North Carolina	34,079	90,900	124,979

Sources: <https://bjs.ojp.gov/content/pub/pdf/p19.pdf>
<https://bjs.ojp.gov/library/publications/probation-and-parole-united-states-2019>

*Includes non-state probation. FDC Community Corrections Active and Active Suspense = 131,300; All categories = 163,000.

State OMS Profiles & Activity in the States

The California Department of Corrections and Rehabilitation (CDCR) spent 7 years and approximately \$250 million to complete implementation of a new solution, the Strategic Offender Management System (SOMS), to replace its Corrections application.¹ At the time of implementation, this was the largest state system of any type in the nation. The core offender management system chosen by CDCR was eOMIS, a Commercial Off-The-Shelf (COTS)

¹ Source - <https://www.nascio.org/wp-content/uploads/2020/09/2015CA6-NASCIO-CDCR-SOMS-2015.pdf>

package developed by Marquis Software (Florida’s OBIS application is the precursor to eOMIS); CDCR chose Hewlett-Packard (HP) as its integrator. From the CDCR website:

The SOMS project is not strictly technological in nature. A significant portion of the effort in upgrading and standardizing data management has involved business process optimization. SOMS has improved offender management through the innovative use of technology and streamlined processes. All components of the SOMS solution were implemented over a five year timeframe.

Texas² has the largest state Corrections department in the nation and sought to replace its OMS with a custom-built solution, originally estimated to cost \$31 million back in the early 2000s. In 2004, Texas terminated the contract with the solution integrator when only 1 of 3 functional modules had been implemented, and as noted above, they are now considering moving to PaaS. The following table compiles information from multiple sources to provide an overview of all states of the current offender management systems in place, updates in progress, or planned to be modernized. The table may not reflect the latest status of all states but almost all are accurate as of 2018.

State	System Name	Notes
Alabama	Inmate Management System (IMS)	N/A
Arizona ³	Offender 360	Starting Mid 2019
Arkansas ⁴	eOMIS by Marquis	Since 2001
California ³	eOMIS by Marquis	COTS + External tools (Hybrid)
Colorado ⁴	DeCoRum (Powered by eOMIS by Marquis)	Since 2018
Connecticut ⁴	Syscon JMS	Since 1999
District of Columbia	OMS Global Tel* Link/Digital Solutions Incorporated (DSI)	N/A
Florida	Offender Based Information System (OBIS)	Developed internally
Georgia	Scribe-Inhouse Software Development (IBM infrastructure)	N/A
Hawaii	Motorola - Offendertrak	N/A

² Source - <https://www.prisonlegalnews.org/news/2011/apr/15/texas-state-auditors-reports-find-problems-with-parole-system/>

³ Source – Corrections Technology Association listserv.

⁴ Source – Request for Information (RFI) responses received by the Department.

Schedule IV-B for Offender Based Information System (OBIS) Modernization

State	System Name	Notes
Idaho	Global Tel*Link proprietary system	N/A
Illinois⁴	Tribridge Offender-360	Since 2019 Built on the Microsoft Dynamic 365 CRM
Indiana	OIS (Offender Information System) Mi-Case OMS (In process)	
Iowa	Iowa Corrections Offender Network - ICON Vendor is Advanced Technology Group -- ATG	N/A
Kansas⁴	Offender 360	Since 2020 Built on the Microsoft Dynamic 365 CRM
Kentucky⁴	KIMS (Powered by eOMIS)	Since 2006
Louisiana	Currently have a 20-year-old legacy system written in Unisys Mapper	State is currently writing a new Offender Manager System. This process started in 2012.
Maryland	Mi-Case OMS	
Massachusetts	Inmate Management System	N/A
Michigan⁴	Offender 360	Since 2019 Built on the Microsoft Dynamic 365 CRM
Minnesota⁴	Syscon JMS	Since 1999
Mississippi	Offendertrak by Printrak, a Motorola company. Caseload Explorer by Automon	N/A
Missouri	Currently using legacy offender management system called OPII.	State will eventually retire it and is currently developing a new web-based system called MOCIS (Missouri Corrections Integrated System). Base code for MOCIS was received from NCOMS (National Consortium of Offender Management Systems).
Montana	NCOMS, which is the MT version of the system OMIS, Offender Management Information System.	State uses a shared source system that is shared by six other states. The version uses an Oracle database and a web based front end. The consortium is called NCOMS; more details and a demo can be provided if desired.

Schedule IV-B for Offender Based Information System (OBIS) Modernization

State	System Name	Notes
Nevada⁴	Syscon JMS	Since 2007
New Hampshire	CORIS (Corrections Information System), Vendor-Abilis New England	N/A
New Jersey⁴	Syscon JMS	Since 1999
New Mexico	Criminal Management Information System (In-house development, Part of the NCOMS consortium)	N/A
New York	Home grown Case Management System (Custom)	N/A
North Carolina	OPUS (OBIS by Marquis)	N/A
North Dakota⁴	Syscon JMS	Since 1999
Ohio	Departmental Offender Tracking System Portal	Supported by internal staff
Oklahoma	Currently using Syscon iTag	Old system and has not been upgraded in many years. Actively seeking a replacement system.
Oregon⁴	Syscon JMS	*** Since 1999
Rhode Island	INFACTS - Inmate Facility Tracking System	Built in house using PowerBuilder with Oracle back-end
South Carolina	The South Carolina Department of Corrections' Offender Management System (OMS)	Developed and is maintained by in-house Information Technology staff.
South Dakota⁴	Syscon JMS	Since 2007
Tennessee⁴	OMSE (By GTL)	Originally by DSI implemented by GTL
Texas	Offender Information Management System (OIMS) - Custom	N/A Currently considering Microsoft Dynamic 365 CRM based system.
Utah	TBD	N/A
Vermont⁴	JailTracker	COTS
Virginia⁴	Virginia CORIS	Partial COTS

State	System Name	Notes
Washington ⁴	Syscon JMS	Since 1997
West Virginia	Offender-360, built on the Microsoft Dynamic CRM	N/A
Wisconsin ⁴	WICS (Powered by eOMIS by Marquis)	Since 2004

The recommended implementation strategy is a central component of managing the overall project risk. Prior to procuring a solution integrator and beginning any development, the Department must prepare and plan appropriately for a project of this size and scope. Specific tasks in the pre-design, development, and implementation (Pre-DDI) stage include establishing and refining a project management plan and governance structure, conducting business process re-engineering activities, and establishing organizational change management.

These Pre-DDI tasks are the catalyst and foundation for the success of the project. This also includes tasks which support the initiation of the program as well as tasks for on-going control, monitoring, and support of the overall project. The tasks illustrated in Figure 9 are part of this Pre-DDI work.

Pre-DDI Activity in OBIS modernization			
Year-0: FY 2021-20 Q1	Year-0: FY 2021-20 Q2	Year-0: FY 2021-20 Q3	Year-0: FY 2021-20 Q4
RFI	Procurement Strategy & Support		
	Establish Project Management Office, procedures		
	Organizational Change Management & Workforce Transition Planning		
	Business Process Re-engineering planning & Use Case Development		

Figure 9: Pre-DDI activity in OBIS modernization.

- **Request for Information (RFI)** – Soliciting information on best practices and solution approaches being considered for comparative evaluation. The Department issued and received responses from nearly 15 vendors in August 2021.
- **Procurement Strategy and Support** – Establish procurement and contract management strategy and activities to identify, evaluate and select the best value solution and service provider to achieve the desired outcomes.
- **Establish Project Management Structure** – Establish the overall project and governance framework, structure and activities for the lifecycle of the project. Begin performing on-going monitoring, controlling, and issue resolution and escalation activities for the project.
- **Organizational Change Management and Workforce Transition** – Develop a change management strategy for the entire life-cycle of the project. Map the current workflows, both functional and technical, into the future operating model which includes the future business processes and technology solutions. This includes the mapping of roles and the required skill set needed.
- **Business Process Re-Engineering (BPR)** – Develop the future business process models and use cases that inform and validate functional requirements. Specific use cases would be used during the procurement effort to allow vendors to demonstrate functionality prior to vendor award.

The vendor procurement will include acquisition of all services and tools for the re-platforming of the current environment to more cost-effective modern platforms and acquisition of technologies to support the development and deployment of the OBIS Modernization.

With inclusion of the Pre-DDI tasks, the Department considered various timelines appropriate for implementing the complete OBIS Modernization and estimated a 5-year timeline for this approach. A shorter timeline would overburden Department staff and a longer timeline would increase the project costs and diminish the rate of ROI; however, vendor responses to a solicitation may affect the proposed timeline.

Five Year Implementation of OBIS modernization					
Year-1: FY 2022-23	Year-2: FY 2023-24	Year-3: FY 2024-25	Year-4: FY 2025-26	Year-5: FY 2026-27	
Procurement & Vendor Selection	Functional Group-1 Work Stream-1	Functional Group-1 Work Stream-3	Legend: <ul style="list-style-type: none"> Functional Group-X: Functions grouped according to priority for modernization <u>WorkStream-1</u>: Modernize Interfaces & user experience <u>WorkStream-2</u>: Reduce Mainframe Footprint <u>WorkStream-3</u>: Refactor/Rewrite functionality 		
	Functional Group-1 Work Stream-2				
	Functional Group-2 Work Stream-1	Functional Group-2 Work Stream-2			Functional Group-2 Work Stream-3
		Functional Group-3 Work Stream-1			Functional Group-3 Work Stream-2
		Functional Group-4 Work Stream-1	Functional Group-4 Work Stream-2	Functional Group-4 Work Stream-3	

Figure 10: High Level Implementation Schedule for OBIS Modernization

4. Rationale for Selection

The rationale for selection considered two major strategic decisions that define the Department’s OBIS Modernization strategy:

1. Enterprise System Platform Strategy (Platform Strategy)
2. Migration Strategy to a new Enterprise System Platform (Migration Strategy)

The Enterprise System Platform Strategy decision defines core functionality and system capabilities, software buy/build direction, software provider type, and hosting platform direction for OBIS Modernization. The Platform Strategy resulting from evaluation of RFI responses is a decision that considered the state of the market, desired business capabilities, the use of Department resources, risk, and speed to benefits and projected future system capabilities that will benefit the Department. The Platform Strategy decision is important because it sets direction to align correctional business processes in Florida with industry standards and practices used in other states, determines the timing to introduce system components which were not custom developed specifically for Florida, and influences Department’s decision about whether to establish and grow a custom system development organization within the Department.

The Migration Strategy to the modernized OBIS Enterprise System Platform defines the overall approach, sequencing of new capability implementation, and the timing to implement and migrate to the modernized OBIS Enterprise System Platform. The migration strategy establishes a flexible framework for modular implementation and provides a foundation to manage the ongoing modernization of OBIS. The Migration Strategy seeks to balance multiple constraints and risks to achieve the most improvement in business outcomes for the Department. Constraints considered in the development of the Migration Strategy included:

- Business usage and net benefit
- Availability of funding

Schedule IV-B for Offender Based Information System (OBIS) Modernization

- Requirements to establish temporary bridging solutions between the old and new system
- Technical foundational components
- Resource availability and capacity
- Impact on ongoing operations and workforce

The Migration Strategy reflects a series of manageable initiatives to migrate to and implement the modernized OBIS Enterprise System platform in a logical manner. The Migration Strategy will likely be updated multiple times during the modernization program to reflect prevailing program constraints and to take advantage of additional opportunities to create value. For example, following procurement and contracting for a specific modernized OBIS platform solution, the sequencing of modules may change.

Platform Strategy Rationale

Each alternative was evaluated and scored against the following (“Goals” below reflect the Department’s Objectives outlined in Section A3 of this document):

Evaluation Criteria	Factors
Alignment with Goals	Responsive Web-Based System - The solution provides a responsive, mobile-enabled and web-based system that comports with current technology platforms, improving usability for the Department.
	Scalable and Sustainable Technology Architecture - The solution provides a modern technology architecture that supports dynamic process modification and offers long-term sustainability.
	External/Internal Data Sources and Data Analytics - The solution provides a system that can leverage and integrate external and internal data sources and data analytics to inform security and safety mandates and to measure systemic performance across the full corrections spectrum.
	Workload Management - The solution provides a system with a workload management component to manage institution and community corrections business processes effectively and efficiently.
	Interoperable - The solution provides an interoperable and fully functional inmate/offender management system to access accurate and complete information to ensure public safety and to meet the demands of a dynamic and data intensive corrections environment.
	Technologies to Attract and Retain Skilled Staff - The solution provides a system that leverages modern technologies to attract and retain skilled technologists and support staff.
	Phased Implementation Plan - The solution provides a phased implementation plan identifying the functional, budget, resource, and procurement requirements to ensure a cost-effective and realistic acquisition process.
Stakeholder Value	Supports Evolving Needs - The solution supports evolving stakeholder needs, including multiple self-service options and communication channels, including mobile.

Evaluation Criteria	Factors
	<p>Stakeholder Experience - The solution offers an improved stakeholder experience that should result in increased stakeholder satisfaction and an improved relationship with the Department.</p>
	<p>Enables Relationships - The solution will enable the Department to foster a stronger relationship between the agency and its stakeholders.</p>
	<p>Protects Privacy - The solution will support strong privacy and confidentiality controls of stakeholder information to protect their identities.</p>
Risk Mitigation	<p>Data Risk - The solution will mitigate the Department’s risk related to data migration.</p>
	<p>Resource Risk - The solution will mitigate the Department’s risk related to the limited availability of IT resources with the skill set required to maintain the system.</p>
	<p>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).</p>
	<p>Expected Benefit Risk - The solution will mitigate the Department’s risk related to the realization of expected benefits.</p>
	<p>Litigation Risk - The solution will mitigate the Department’s exposure to risk of litigation.</p>
	<p>Technology Obsolescence Risk – The solution will mitigate the risk of selected technologies becoming obsolete and unsupported.</p>
Technical Architecture	<p>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.</p>
	<p>Future Needs - The solution offers the stability and scalability necessary to support future needs.</p>
	<p>Integration - The solution will enable the Department to integrate with other internal and external systems in a cost-effective manner.</p>
	<p>Value to Partners - The solution offers the scalability and flexibility necessary to leverage and extend it to support or add value for other internal and external partners.</p>
	<p>Meets Standards - The solution is aligned with industry standards.</p>
Business Alignment	<p>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.</p>
	<p>Current Business Process - The solution supports the Department’s current business processes and would eliminate current workarounds or extensive staff training.</p>

Evaluation Criteria	Factors
	<p>Positive Impact - The solution will positively impact the user experience/staff satisfaction and will result in enhanced fiscal responsibility through efficient operations.</p>
	<p>Resource Capacity - The solution will free-up manual and wasteful resource capacity so that it can be applied to more value-add activities.</p>
<p>Data Architecture</p>	<p>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.</p>
	<p>Data Integrity – The solution offers data architecture which enables all the business functions access the same data in real-time amenable to single version of truth without unduly loading the transactional databases.</p>
	<p>Data Security - The solution allows the state to fully protect sensitive information per State and national standards.</p>
	<p>Data Sharing - The solution provides industry standard interface methodologies. The solution also provides industry standard tools to provide custom virtual views for various use cases.</p>
	<p>Data Analytics - The solution enables robust trend and analysis of data.</p>
<p>Financial</p>	<p>One-time Project Costs - The solution has a manageable project cost for implementation and other one-time components.</p>
	<p>Ongoing Operational Costs - The solution’s ongoing operational costs are within acceptable ranges and feasible for the Department.</p>
	<p>Tangible Benefits - The solution realizes tangible benefits for stakeholders.</p>
	<p>Intangible Benefits - The solution realizes intangible benefits for stakeholders.</p>
	<p>Financial Metrics - The solution has acceptable ROI, NPV, and adequate payback period.</p>
<p>Total Cost of Ownership</p>	<p>Costs to Procure, Develop/Customize, Implement, and Maintain - The solution costs include costs to procure, develop, implement, and maintain the new system over time.</p>
	<p>Direct and Indirect Costs - The solution costs include both direct and indirect costs.</p>
	<p>Cost of Maintaining Separate Systems - The solution cost includes the cost of maintaining the existing system until it can be removed from service.</p>

Migration Strategy Rationale

The migration strategy rationale reflects multiple constraints and seeks to maximize the value of OBIS Modernization. Grouping functionality to allow specific components to be implemented and migrated to a newer platform incrementally is preferable to deployment using a “Big Bang” approach which is widely considered risky. The grouping accounts for the relative functional priority to modernize, including functional relationships, sequencing of migration, and migration to a newer solution as a block for minimizing interactions. The migration sequence accounts for the planned realization of benefits with the incremental approach allowing for an earlier realization of benefits that will progressively increase throughout the project.

The controlling factors of a multi-year migration strategy are scheduling, funding, and availability of Department resources, which make a longer implementation period more feasible. The table below lists constraints that were used in developing migration strategy options.

Constraint	Discussion
Business usage and net benefits	The sequencing of modernization initiatives and the implementation of modular components attempts to optimize business benefits to the Department. For example, where there are opportunities for significant cost reductions (e.g. mainframe CPU charges) or where there are productivity improvements that impact a large number of workers or a high volume of transactions, the modules that support modernized processing were sequenced earlier to maximize the cumulative savings and/or to achieve productivity improvements.
Availability of funding	Funding to support the migration to a modernized OBIS platform is needed beyond currently budgeted resources. The amount of funding allocated per year is likely to be a major constraint on implementation speed. The Department anticipates the need for funding above \$10M per year will be a constraint regardless of net benefits.
Requirements to establish temporary bridging solutions between the old and new system	The sequence of migration to the modernized OBIS platform recognizes that concurrent operation of the old OBIS platform and the modernized OBIS platform will be necessary until all components of the current OBIS solution are retired. In developing the plan, the options considered the amount of bridging and interim integration work required to operate both systems concurrently.
Technical foundational components	There are some technical foundational components that are prerequisites to implementation of specific modules or components on the modernized OBIS platform. The prerequisites were considered in defining each of the migration options.
Resource availability and capacity	The current OBIS solution is a mature system in maintenance mode with a limited number of resources who provide support. The number of resources available to support integration, bridging, and legacy system changes can be a constraint which limits the schedule. Likewise, availability of business resources to support configuration and customization of the modernized OBIS may limit overall program implementation speed.
Impact on ongoing operations and workforce	There are a large number of staff who use the current OBIS and follow business processes which support it. The proposed strategy considers the amount of change that can be absorbed by the organization and the risk to ongoing operations from changing too many processes in too short a period of time.

The Department's estimated 5-year migration strategy is in line with the sequence of modernization initiatives using a hybrid approach with consideration of the following key features:

- OBIS mainframe infrastructure re-platform – Reduction in ongoing mainframe costs to the Department during the period of migration to the modernized OBIS platform.
- Integration, data sharing, and data analysis/reporting improvements – Modernizations that can be used quickly with the existing OBIS and the modernized OBIS without significant throw away effort or rework.
- Core OBIS capabilities – Establishment of modernized OBIS infrastructure and the use of common capabilities which benefit multiple stakeholders.
- Institutions Capabilities and Processes – Modernization of business processes affecting Institutions are generally prioritized before other business areas
- Community Corrections Capabilities and Processes – Community Corrections capabilities are generally implemented following core Institutions capabilities.
- Integration with Health Services – Integration with Health Services processing (at this time, Health Services is nearing implementation of an electronic health/medical record solution).

5. Recommended Business Solution

After multiple discussions with other states, guidance and confirmation from Gartner, the Department recommends a hybrid solution approach that migrates the current OBIS platform to a combination of best-of-breed COTS/PaaS/SaaS solutions with the scalability and flexibility of integrating applications in a modular, service-oriented architecture.

Platform Strategy Recommendation

OBIS Modernization using a hybrid solution is recommended for the following reasons:

- There is a lot of peripheral Department-specific functionality running on the mainframe which will not be available through any COTS package. Hence, COTS-only solution is not workable leaving some other strategy to be chosen for the other functions. A hybrid approach combines the benefits provided by the other two (SaaS/PaaS) which can be leveraged in building an integrated system. Integrations can be achieved via a service-oriented architecture (SOA) using flexible APIs and web services. Implementation will be more flexible than a COTS-only solution and quicker than a fully custom-developed solution.
- A consistent user interface can be configured for use across all business functions and applications to provide a seamless end user experience.

Migration Strategy Timeline Recommendation

The Department recommends that OBIS Modernization be implemented over an estimated 5-year timeframe with an iterative workstream and functional area approach for the following reasons:

- The Department can begin realizing benefits incrementally and more immediately, increasing the cumulative return on investment.
- Despite engaging a solution integrator, a significant amount of work must be performed by Department staff to define and validate requirements, test functionality, train staff etc. It is impractical to assume that all the subject matter experts will be available full time for OBIS modernization. With a multi-year implementation strategy, the demands on Department technical and business resources is distributed and can be managed more appropriately without significantly impacting the primary business.
- The introduction of change and resulting affect to business processes is more manageable over time.

D. Functional and Technical Requirements

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 Background and Strategic Needs Assessment section of this document are included as Appendix E. These requirements reflect base requirements gathered in the previous 2008 Business Process Project and will require updating and validation. The total requirements reflected in the attached documents are summarized in the following table.

Type	Area	Number of Requirements	
Functional	General	58	
	Community Corrections	Intake Offender	348
		Supervise Offender	51
		Release Offender	38
	Health Services ⁵	Inmate Health	233
		Clinical and Admin Health Services	408
		Services Transition	31
	Institutions	Institutionalize Inmate	201
		Receive Inmate	295
		Release Inmate	128
	Interfaces	Community Corrections	66
		Institutions	18
		General	3
	Grand Total		1878

⁵ Health Services requirements may be reduced and/or eliminated, as these functions are in the process of moving to a new electronic health/medical record solution.

Type	Area	Number of Requirements
Non-Functional	Database Architecture	9
	Development and Support Services	35
	Events and Scheduling	16
	Interfaces and Interoperability	15
	Notes	9
	Policies and Standards	6
	Record Management and Audit	6
	Reporting	40
	Search and Navigation	26
	Security	72
	System Architecture	31
	Usability	16
	Workflow	42
	Other	7
		Grand Total

The table below highlights and summarizes additional requirements identified with the current process updates.

Requirement Area	Initiative	Description
Business Functionality	Mobile Application & Upload	The solution will support functionality to allow staff mobile platform-optimized versions of functionality.
Business Functionality	Real-time Web Services	The solution shall use secure web services to provide real-time access of information.
Business Functionality	Dashboard and Data View	The solution shall display information on a configurable dashboard with drill-down capabilities; provides a holistic view of data gathered relevant to the inmate/offenders.
Business Functionality	Housing Management and Balancing	The solution shall have the ability to manage inmate housing needs within Institutions across regions and to manage inmate allocations during emergencies such as hurricanes.
Information and Data	Data Analysis Tools	The solution shall provide data analytic capabilities for current, future, and historical data contained in a Data Warehouse.
Information and Data	Data Analysis Tools	The solution shall provide tools to identify trends and forecast opportunities related to process improvement and training.

Requirement Area	Initiative	Description
Information and Data	Data Analysis Tools	The system shall establish and produce a range of scores to categorize work items by level of risk and priority.
Information and Data	Data Warehouse	The solution shall use a Data Warehouse to integrate data from different sources and to create a central data repository for current and historical data.
Information and Data	Integrated Imaging	The solution shall provide integrated access to imaged documents.
Information and Data	Integrated Imaging	The solution shall provide integrated access to previously submitted and indexed documents to staff.
Information and Data	Integrated Imaging	The solution shall use a Services-Oriented Approach (SOA).
Information and Data	Integrated Imaging	The solution shall track forms and events 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	Reports Migration	The solution shall migrate legacy reports from OBIS.
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 staff).
Information and Data	Advanced Workforce Analysis Tools	The solution shall use workforce analysis and trend tools to identify potential opportunities to optimize staff costs.
Architecture	Single Sign-On	The solution shall require users to sign on only once to access multiple systems.
Architecture	SOA/Standards	The solution architecture shall be modular with open interfaces and business rules which are separate from application-related programming.
Architecture	SOA/Standards	The solution shall be deployed as a web-based, graphical user interface, accessed via a web browser or mobile platform.
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).

Requirement Area	Initiative	Description
Architecture	Implementation Approach	The solution shall have the capability to interact with the current OBIS solution to provide existing business services while the legacy OBIS is undergoing reengineering/replacement 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 OBIS functionality.
Architecture	System Performance	The solution shall include infrastructure to support processing of existing volume.
Architecture	Disaster Recovery	The solution shall provide the ability to back up and recover all system data and components.
Architecture	Data Migration	The solution shall re-platform functionality and processes written in COBOL and other third party supporting software on OBIS Florida mainframe to operate on an open systems server platform.
Architecture	Data Migration	The solution shall migrate existing OBIS data to the modernized OBIS solution.
Architecture	Data Migration	The solution shall provide the capability to convert active, inactive, and archived records.
Architecture	Data Migration	The solution shall provide a mechanism to perform data cleansing and to remove duplicate records.
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 per NIST, CJIS, PII and HIPAA standards.
Architecture	Security	The solution shall enable multi-factor authentication for secure access to data.

III. Success Criteria

The success of OBIS Modernization depends on quantitative and qualitative factors listed below. Each of these factors are in alignment with the business objectives and proposed business process requirements outlined in the Strategic Needs Assessment section of this document, as well as the overall vision and mission of the Department.

The success criteria shall form the basis of any contracts pursued to implement the project. 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 include baseline measurement and several interim measurements before the final benefit realization report finishes.

Success Criteria Table				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	The solution will support the Department in its on-going practice of sound fiscal stewardship of its assets.	Operating costs for Security and Institutional Operations Operating costs for Community Corrections Overhead costs for Department Administration Collections of restitution, fines, court costs, subsistence, and other Court Ordered payments. Operating costs for Health Services	All those who are currently using paper processes to capture data in the field and re-entering the data into OBIS	Year 3
2	The solution will enable the Department to improve its internal operating efficiency.	Days to place an inmate at initial institution Cost(s) per inmate Cost(s) per offender	All FDC staff	Year 5
3	The solution will enable the Department to adapt to new sentencing guidelines more quickly.	Time to implement mandated changes	Admissions & Release	Year 3
4	The solution will mitigate the potential risk associated with on-going support and maintenance of the system.	On-going support and maintenance costs	FDC	Year 6
5	The solution will present program data in an integrated view.	Staff efficiencies/performance	Executive leadership and decision makers	Year 4

Success Criteria Table				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
6	The solution will provide value to the Department through additional portable options.	Percent of supervision case notes completed by use of automation or mobile devices Efficiencies/performance increases	Supervisors and Field staff	Year 4
7	The solution will positively impact the user experience and increase employee satisfaction.	Employee satisfaction survey results Attrition/Turnover rates New Hire latency Help Desk calls Reduced training time	FDC	Year 2
8	The solution will provide an underlying data structure that is scalable to meet future growth.	Cost to implement new capabilities/requirements	All current OBIS users	Year 5
9	The solution will allow the Department to fully protect sensitive criminal justice information.	Data security incidents Audits and review results	FDC	Year 5
10	The solution will provide a positive financial Return on Investment (ROI) and Internal Rate of Return (IRR) to the State of Florida.	Project ROI Project IRR	FDC	Year 7
11	The project will be completed on-schedule, following an approved project plan.	Interim project milestones Independent Verification and Validation (IV&V) reports	FDC	Year 1
12	The project will be completed within the prescribed budget constraints defined in advance of project initiation.	Project financial data	FDC	Year 1
13	The project will achieve anticipated Cost Benefits.	Cost Benefit Analysis and Benefit Realization outcomes	FDC	Year 5
14	The project will facilitate data exchange with external stakeholders	Automated data exchange volume/accuracy with Law Enforcement, Courts Victim access/notifications	External Agencies	Year 3

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

A. Benefits Realization Table

Benefits Realization Table					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
1	Eliminate paper processes and reduce data entry with a friendly UI for reception processing	FDC	Decreased staff time spent on data entry by 20%. Decrease use of paper by 50% or more.	During the OBIS Modernization implementation, compare the data entry time between the legacy and the modernized user interfaces. Establish a baseline of paper usage on the legacy system and compare that to the paper usage once OBIS Modernization implementation is complete.	Progressive growth starting Year 2
2	Provide web-based GIS mapping for matching inmates to services in preparation for release	FDC	Real time mapping of data using Google Earth or ArcMap creates a 20% efficiency in placement of inmates into community programs when searching for sites with CTE programs, ESE, bed space, employment opportunities in the community, and halfway houses.	Establish a baseline of time spent on placement searches and compare that to the time spent once OBIS Modernization implementation is complete.	Year 3

Benefits Realization Table					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
3	Creating a web-based Community Supervision Program Referral Form will assist Staff, Offenders, and Treatment Providers	FDC, Offenders, Treatment Providers.	Decreased staff time spent on forms to place Offenders into treatment programs by 30%.	Establish a baseline of time spent on the existing Community Supervision Program Referral Form including the manually updating treatment data in the legacy OBIS. Compare that to the digital form provided by OBIS Modernization.	Year 4
4	Provide a friendly UI to simplify the use of OBIS by attorneys and reduce training	FDC	The time spent referencing code books for attorneys to access data is reduced by 80%.	During the OBIS Modernization implementation, compare the data access time between the legacy and the modernized user interfaces.	Year 2
5	Provide a friendly web-based UI for access from mobile devices	FDC	Not having to be at a computer to enter case notes will save 15 minutes for each offender case and make data immediately available for supervisors to review.	During the OBIS Modernization implementation, compare the case note data entry time between the legacy and the modernized user interfaces.	Progressive growth starting Year 2

Benefits Realization Table					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
6	Provide a friendly web-based UI for quick access to information	FDC	Quick access to information from a friendly UI results in a 50% time savings for each occurrence.	Establish a baseline of time spent on information retrieval and compare that to the time spent once OBIS Modernization implementation is complete.	Progressive growth starting Year 2
7	Simplify the use of OBIS to reduce the learning curve for new employees	FDC	Training time for using OBIS green screens and codes is reduced by 50%.	Establish a baseline of training time for legacy OBIS and compare that to the time spent once the OBIS Modernization implementation is complete.	Year 4
8	Reduce the platform cost of OBIS by replacing the mainframe platform and applications with modern architecture	FDC	The total platform cost of OBIS will be reduced by 75%.	Upon completion of OBIS Modernization, compute the platform costs of the legacy OBIS to the platform cost of the modernized OBIS.	Year 5
9	Simplify the steps to access data and provide field validation to eliminate data entry errors	FDC	The time to retrieve accurate data is reduced by 50%.	Establish a baseline of time spent on information retrieval and validation and compare that to the time spent once OBIS Modernization implementation is complete.	Progressive growth starting Year 3

Benefits Realization Table					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
10	Replace the batch run green screens for easy navigation of reporting results	FDC	The time spent interpreting report results is eliminated.	Establish a baseline of time to interpret batch run green screens and compare that to the time spent once the OBIS Modernization implementation is complete.	Year 4
11	Creation of or integration into a holistic FDC information system environment rather than a catalogue of individualized and archaic application silos. A modernized architecture should be able to better communicate back to users (reminders, etc.) with information from itself or other FDC resources (e-mail, etc.) using at least Boolean searches across FDC data systems	FDC	Reference to data from multiple sources is eliminated.	Establish a baseline of time to extract and validate information from multiple sources and compare that to the time spent once OBIS Modernization implementation is complete.	Year 5
12	Increased capability for generating and reviewing statewide transfers in a centralized location to allow for shared transports	FDC	Decreased staff time spent on making direct transports to the same facilities as a neighboring institution by approximately 35% due to the new functionality.	Establish a baseline of time on direct transports and compare that to the time spent once OBIS Modernization implementation is complete.	Year 4

Benefits Realization Table					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
13	Provide a friendly UI for collecting daily information on inmates and providing a reporting tool to review the information efficiently	FDC	Decreased staff time spent on collecting data for daily and weekly reports by approximately 30%, due to the new functionality.	Establish a baseline of time to compare data collection time between the legacy and the modernized user interfaces.	Progressive growth starting Year 3
14	Data entry for inmate movement with real-time reporting of gains and losses externally	FDC	Update the movement of an inmate as soon as the movement occurs ensuring count is accurate	Establish a baseline of time to compare the time tracking inmate movement between the legacy and the modernized user interfaces.	Year 4
15	Provide a shared database for inmate attendance in programs	Programs and Re-Entry, Security, and Inmates	Eliminate duplicate data entry and provide a single view of inmate attendance and facilitate the proper calculation of program completion.	Establish a baseline of time to compare the time tracking inmate program attendance and completion between the legacy and the modernized user interfaces.	Year 4
16	Improve data entry and reporting for Classification tasks including, monthly gain time evaluation, DRs, program attendance, inmate notices, visitation, and Classification Team Dockets	FDC, Inmates, and General Public	Decreased data entry time spent on monthly gain time evaluations, disciplinary reports, program attendance/hours, inmate notices/acknowledgements, Institutional Classification Team dockets, and visitation by 20%.	Establish a baseline of time to compare the data entry time between the legacy and the modernized user interfaces.	Year 3

Benefits Realization Table					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
17	Provide a centralized shared database so that information gather during reception can be utilized without duplicate data entry	FDC, Inmates	Decreased duplicate data entry of personal history information and other information gathered during reception by 20% through the use of tablets.	Establish a baseline of time to compare the data entry time between the legacy and the modernized user interfaces.	Year 3
18	Utilize a central database with field validation to avoid data entry errors and duplication of data	All Community Corrections staff	Eliminate duplicate data entry and correction of errors.	Establish a baseline of time to compare the data entry time between the legacy and the modernized user interfaces.	Year 3
19	Improve the capability for supporting the system architecture	FDC	The increase cost of staff augmentation for COBOL programmers will be avoided.	Sample the annual increase of the market rate for COBOL programmers.	Year 5

B. Cost Benefit Analysis (CBA)

CBA Form 1A & 1B - Net Tangible Benefits

CBAForm 1 - Net Tangible Benefits

Agency	<u>Department of Corrections</u>	Project	<u>OBIS Modernization</u>
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Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A																
Agency <i>(Recurring Costs Only -- No Project Costs)</i>	FY 2022-23			FY 2023-24			FY 2024-25			FY 2025-26			FY 2026-27			
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	
A. Personnel Costs -- Agency-Managed Staff	\$4,639,767	\$1,040,000	\$5,679,767	\$4,639,767	\$1,040,000	\$5,679,767	\$4,639,767	\$1,040,000	\$5,679,767	\$4,639,767	\$1,040,000	\$5,679,767	\$4,639,767	\$1,040,000	\$5,679,767	
A.b Total Staff	38.00	4.00	42.00	38.00	4.00	42.00	38.00	4.00	42.00	38.00	4.00	42.00	38.00	4.00	42.00	
A-1.a. State FTEs (Salaries & Benefits)	\$2,075,510	\$0	\$2,075,510	\$2,075,510	\$0	\$2,075,510	\$2,075,510	\$0	\$2,075,510	\$2,075,510	\$0	\$2,075,510	\$2,075,510	\$0	\$2,075,510	
A-1.b. State FTEs (#)	22.00	0.00	22.00	22.00	0.00	22.00	22.00	0.00	22.00	22.00	0.00	22.00	22.00	0.00	22.00	
A-2.a. OPS Staff (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
A-3.a. Staff Augmentation (Contract Cost)	\$2,564,257	\$1,040,000	\$3,604,257	\$2,564,257	\$1,040,000	\$3,604,257	\$2,564,257	\$1,040,000	\$3,604,257	\$2,564,257	\$1,040,000	\$3,604,257	\$2,564,257	\$1,040,000	\$3,604,257	
A-3.b. Staff Augmentation (# of Contractors)	16.00	4.00	20.00	16.00	4.00	20.00	16.00	4.00	20.00	16.00	4.00	20.00	16.00	4.00	20.00	
B. Application Maintenance Costs	\$0	\$990,000	\$990,000	\$0	\$1,250,000	\$1,250,000	\$0	\$1,250,000	\$1,250,000	\$0	\$1,250,000	\$1,250,000	\$0	\$1,250,000	\$1,250,000	
B-1. Managed Services (Staffing)	\$0	\$10,000	\$10,000	\$0	\$10,000	\$10,000	\$0	\$10,000	\$10,000	\$0	\$10,000	\$10,000	\$0	\$10,000	\$10,000	
B-2. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
B-3. Software	\$0	\$980,000	\$980,000	\$0	\$1,240,000	\$1,240,000	\$0	\$1,240,000	\$1,240,000	\$0	\$1,240,000	\$1,240,000	\$0	\$1,240,000	\$1,240,000	
B-4. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
C. Data Center Provider Costs	\$9,378,172	\$20,000	\$9,398,172	\$9,378,172	\$40,000	\$9,418,172	\$9,378,172	\$40,000	\$9,418,172	\$9,378,172	\$40,000	\$9,418,172	\$2,344,543	-\$6,993,629	-\$4,649,086	
C-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
C-2. Infrastructure	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
C-3. Network / Hosting Services	\$0	\$20,000	\$20,000	\$0	\$40,000	\$40,000	\$0	\$40,000	\$40,000	\$0	\$40,000	\$40,000	\$0	\$40,000	\$40,000	
C-4. Disaster Recovery	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
C-5. Other <i>State Data Center</i>	\$9,378,172	\$0	\$9,378,172	\$9,378,172	\$0	\$9,378,172	\$9,378,172	\$0	\$9,378,172	\$9,378,172	\$0	\$9,378,172	\$2,344,543	-\$7,033,629	-\$4,689,086	
D. Plant & Facility Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
E. Other Costs	\$0	\$240,000	\$240,000	\$0	\$480,000	\$480,000	\$0	\$480,000	\$480,000	\$0	\$480,000	\$480,000	\$0	\$480,000	\$480,000	
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
E-3. Other <i>Cloud Hosting</i>	\$0	\$240,000	\$240,000	\$0	\$480,000	\$480,000	\$0	\$480,000	\$480,000	\$0	\$480,000	\$480,000	\$0	\$480,000	\$480,000	
Total of Recurring Operational Costs	\$14,017,939	\$2,290,000	\$16,307,939	\$14,017,939	\$2,810,000	\$16,827,939	\$14,017,939	\$2,810,000	\$16,827,939	\$14,017,939	\$2,810,000	\$16,827,939	\$6,984,310	-\$4,223,629	\$2,760,681	
F. Additional Tangible Benefits:		\$78,680			\$3,143,080			\$16,513,550			\$40,081,619			\$52,844,885		
F-1. <i>1 - Mobile and Web-based System</i>		\$0			\$2,048,582			\$4,089,808			\$7,050,505			\$9,091,731		
F-2. <i>2 - Modern Architecture</i>		\$0			\$0			\$0			\$1,402,500			\$1,402,500		
F-3. <i>3 - Data Analytics</i>		\$0			\$0			\$1,021,635			\$2,962,740			\$6,742,788		
F-4. <i>4 - Workload Management</i>		\$0			\$931,490			\$11,140,720			\$20,315,619			\$35,153,792		
F-5. <i>5 - Interoperable System</i>		\$0			\$0			\$0			\$0			\$0		
F-6. <i>6 - Retain Skilled Support Staff</i>		\$78,680			\$163,008			\$253,398			\$350,254			\$454,074		
Total Net Tangible Benefits:		(\$2,211,320)			\$333,080			\$13,703,550			\$37,271,619			\$57,068,514		

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

Schedule IV-B for Offender Based Information System (OBIS) Modernization

CBA Form 2A - Project Cost Analysis

Department of Corrections		OBIS Modernization		CBA Form 2A Baseline Project Budget																		
Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.				FY2022-23			FY2023-24			FY2024-25			FY2025-26			FY2026-27			TOTAL			
				\$ -			\$ 12,803,000			\$ 16,546,000			\$ 29,233,500			\$ 24,609,500			\$ 21,642,500			\$ 104,834,500
Item Description (remove guidelines and annotate entries here)	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL			
Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -		
Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -		
Staffing costs for personnel using Time & Expense. Project management personnel and related deliverables.	Staff Augmentation	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -		
Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ 982,500	\$ -	0.00	\$ 992,500	\$ -	0.00	\$ 917,500	\$ -	0.00	\$ 927,500	\$ -	0.00	\$ 922,500	\$ -	\$ -	\$ 4,742,500		
Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00	\$ 2,000,000	\$ -	0.00	\$ 2,000,000	\$ -	0.00	\$ 2,000,000	\$ -	0.00	\$ 2,000,000	\$ -	0.00	\$ 2,000,000	\$ -	\$ -	\$ 10,000,000		
Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ 8,510,500	\$ -	0.00	\$ 12,358,500	\$ -	0.00	\$ 25,126,000	\$ -	0.00	\$ 20,452,000	\$ -	0.00	\$ 17,490,000	\$ -	\$ -	\$ 83,937,000		
Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -		\$ 1,120,000	\$ -		\$ 1,120,000	\$ -		\$ 1,120,000	\$ -		\$ 1,120,000	\$ -		\$ 1,120,000	\$ -	\$ -	\$ 5,600,000		
Hardware purchases not included in data center services.	Hardware	OCO	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -		
Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -		\$ 150,000	\$ -		\$ 40,000	\$ -		\$ 60,000	\$ -		\$ 100,000	\$ -		\$ 100,000	\$ -	\$ -	\$ 450,000		
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -		
All first-time training costs associated with the project.	Training	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -		
Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -		
Other contracted services not included in other categories.	Other Services	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -		
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -		
Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -		
Other project expenses not included in other categories.	Other Expenses	Expense	\$ -		\$ 40,000	\$ -		\$ 35,000	\$ -		\$ 10,000	\$ -		\$ 10,000	\$ -		\$ 10,000	\$ -	\$ -	\$ 105,000		
Total			\$ -	0.00	\$ 12,803,000	\$ -	0.00	\$ 16,546,000	\$ -	0.00	\$ 29,233,500	\$ -	0.00	\$ 24,609,500	\$ -	0.00	\$ 21,642,500	\$ -	\$ -	\$ 104,834,500		

CBA Form 2B & 2C – Project Cost Analysis

CBAForm 2 - Project Cost Analysis

Agency Department of Corrections

Project OBIS Modernization

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 (*)	\$12,803,000	\$16,546,000	\$29,233,500	\$24,609,500	\$21,642,500	\$104,834,500
CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related)</i>	\$12,803,000	\$29,349,000	\$58,582,500	\$83,192,000	\$104,834,500	

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	\$12,803,000	\$16,546,000	\$29,233,500	\$24,609,500	\$21,642,500	\$104,834,500
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$12,803,000	\$16,546,000	\$29,233,500	\$24,609,500	\$21,642,500	\$104,834,500
CUMULATIVE INVESTMENT	\$12,803,000	\$29,349,000	\$58,582,500	\$83,192,000	\$104,834,500	

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

CBA Form 3 - Project Investment Summary

CBAForm 3 - Project Investment Summary

Agency Department of Corrections

Project OBIS Modernization

	COST BENEFIT ANALYSIS -- CBAForm 3A					TOTAL FOR ALL YEARS
	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27	
Project Cost	\$12,803,000	\$16,546,000	\$29,233,500	\$24,609,500	\$21,642,500	\$104,834,500
Net Tangible Benefits	(\$2,211,320)	\$333,080	\$13,703,550	\$37,271,619	\$57,068,514	\$106,165,443
Return on Investment	(\$15,014,320)	(\$16,212,920)	(\$15,529,950)	\$12,662,119	\$35,426,014	\$1,330,943
Year to Year Change in Program Staffing	4	4	4	4	4	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	5	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2026-27	Fiscal Year during which the projects investment costs are recovered.
Net Present Value (NPV)	(\$3,126,975)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	1.03%	IRR is the project's rate of return.

Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27
Cost of Capital	2.69%	2.90%	3.09%	3.29%	3.48%

V. Schedule IV-B Major Project Risk Assessment

The Risk Assessment Tool and Risk Assessment Summary are included as Appendix A, Risk Assessment Tool. The results of the assessment are summarized in the following sections.

A. Risk Assessment Summary

The overall risk assessment of the project is rated as “High” based on the risk assessment tool. This rating reflects assessment ratings of “Medium” in two of the eight assessment areas and “High” in six areas of eight areas. As would be expected at this early stage, the project carries some risk. It is expected that overall project risk will diminish significantly by the conclusion of the first year when the project structure is fully in place and the foundational process and technology elements have been implemented.

The categories assessed as high risk and the primary causes for that assessment level include:

- Technology Exposure Assessment – because the technology approach has been conceptually identified and the resources needed will be external to the Department throughout implementation. There will be a learning curve for current staff for future sustainability and support.
- Organizational Change Management – because the new system will enable cross organization integration capabilities, the change related to the system is considered extensive. Extensive change can be a significant risk because staff is not adept at dealing with changes of this size.
- Communication Assessment – because the new system has so many external stakeholders the communication required is extensive.
- Fiscal Assessment – the size and 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.
- Project Organization – the duration of the project and less than full time commitment of some of the project team members are a significant risk.
- Project Complexity - because the proposed project is larger than any other project performed by the Department and involves more than 3 stakeholders, this assessment area was also rated as High. For a project of this type this risk level is expected.

The overall risk assessment rating aligns with expectations for a project of this scope and type regardless of solution or approach. The areas where risks classified as “High” do exist, the risks are manageable and unlikely to undermine expected success or benefits of the program. Many of the areas with high classification risks will see reduction within months of project start when a formal project management program, stakeholder sign-off, and requirements validation exercise by awarded vendor is completed. Until project scope and funding is approved, additional effort to reduce identified risks would be speculative at best.

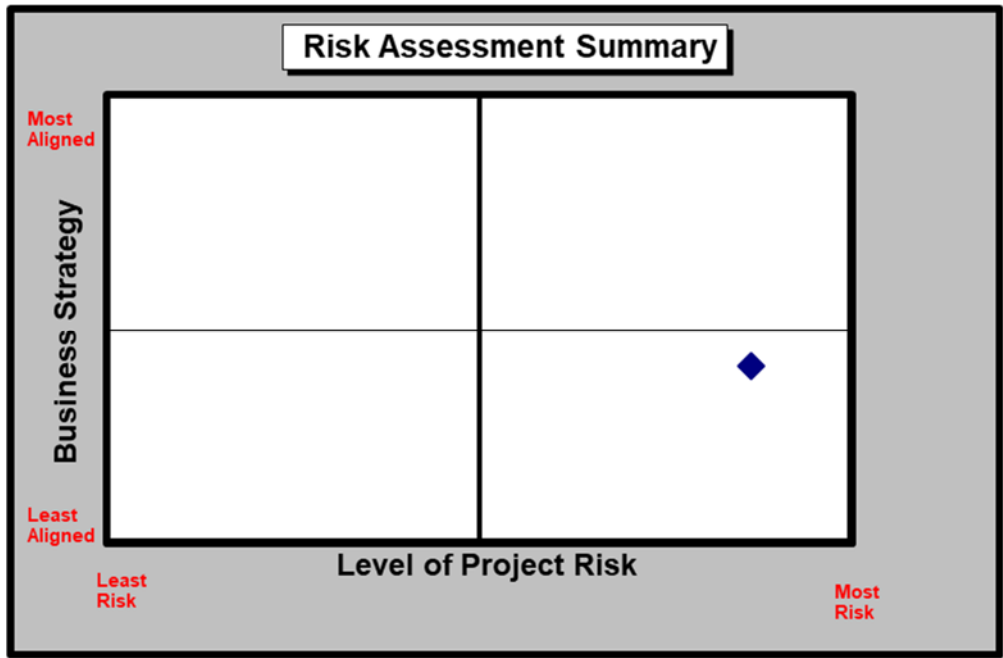


Figure 11: Project Risk Assessment Summary

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

Figure 12: Project Risk Area Breakdown

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

Description of Current System - OBIS

OBIS is a mainframe-based computer application currently installed at the State Data Center with applications developed and maintained by Department staff and contractor staff augmentation since 1978. The major areas of functional support within OBIS include:

- Inmate Custody Tracking
- Inmate Classification Tracking
- Inmate Trust Fund with Interface to Canteen
- Inmate Housing Assignment Tracking
- Facility Population Tracking
- Transportation Scheduling
- Inmate Movement Tracking
- Release Date Computation Probation and Parole Supervision
- Court Ordered Payments
- Field Investigation Tracking
- Collection and Reporting of Health Services Statistics
- Inmate Reception Process
- Inmate Search
- Offender Search
- Re-Entry
- Resource Directory
- Management Incident Notes
- Florida Commission on Offender Review
- Inmate Visitation
- Personnel Human Resources
- Outside Agency/Vendor Data Exchanges

Note: This is not an exhaustive list but representative of the total scope.

The technical scope of OBIS is characterized by:

- 6.2 million lines of COBOL code
- Approximately three hundred and seventy-seven (377) character-based screens about one hundred and fifty (150) lacking graphical user interface features even though they are viewed on Windows-based computers.
- Approximately one thousand, one hundred and fifty (1,150) green screen reports without any graphical support.
- The last Information Management System (IMS) database was eliminated in February 2013. All OBIS data is now stored in Db2 relational databases. Many of the older COBOL programs use the DL/2 middleware product to allow old IMS code to access the Db2 database. The Department currently has 363 Db2 tables that contain production OBIS data. The Department's mainframe has two logical partitions (LPARs). Each LPAR has 3 regions (Development, Test, and Production). Each region within each LPAR have the same Db2 database structures.

Web-Enabled Applications

There are several web-enabled client server applications that are used to support the offender information needs of the Department. These applications interface with the mainframe via web services. A list of the applications is below:

- AIRS – (Automated Inmate Ranking System) is designed to work with CINAS in identifying inmates for replacement in substance abuse, academic and vocational programs.
- CAOSS – (Classification Appointments Overview & Scheduling System). This system will assist in viewing all appointments and serve as a catalyst to CINAS and IRMS assessments and reviews in the web environment.
- CINAS – (Corrections Integrated Needs Assessment System) integrates information, needs and the Community Corrections Recidivism Index Score collected during an offender’s term of supervision into a collective system that measures an inmate's Institutional Inmate Recidivism Index Score by way of static and dynamic factors and assists the classification team in determining inmate needs.
- Community Probation Officer Caseload – provides probation officers with the ability to manage offenders’ visits in a web interface.
- EAC – (Emergency Action Center) tracking system for post incident reporting of a Use of Force event conducted within an institution.
- Emergency Management – Web-based application to track and log post-event damage assessments from the field.
- Gain Time – Gain time data from the OBIS DC45 green screen is displayed with no update capability.
- Health Services Reporting - captures reports coming from the field covering areas such as HIPAA, Tuberculosis, Risk Management, QM for Central Office to analyze.
- Health Services Utilization – Tracking system used at Regional Medical Centers to log outpatient and emergency hospital visits for inmates along with reasons.
- Inmate at a Glance – an application that provides users with a comprehensive listing of information about a specific inmate.
- IRMS – (Inmate Risk Management System), in conjunction with CINAS, will replace the Department's Risk & Needs Assessment system. IRMS will be devoted strictly to inmate risk while CINAS will handle inmate needs.
- MHIT – (Mental Health Inmate Transfer) processes all mental health inpatient requests from the point of request through the actual admission into the inpatient bed.
- ONAS – (Offender Needs Assessments System) identifies both the offender’s needs which must be addressed in order for the offender to succeed and reduce the likelihood of the offender from recidivating.
- RANA – (Risk and Needs Archive) serves as a web environment to view past risk & needs assessments while conducting new CINAS and IRMS assessments and reviews.
- Spectrum – Spectrum 1.0 targets two types of programs: criminogenic domains and core programs. Criminogenic domain programs will be targeted for each inmate through Spectrum 1.0 at reception (for the reception pilot) based on the needs identified through the domain question sets.
- STORMS – (Security Threat Group) Tracking and assessment application for identifying gang affiliation and other threat group associations for inmates.
- SVPPU - (Sexual Violent Predator Program) allows staff to track the status of inmates that are possibly eligible under the Jimmy Ryce Act.

Ancillary Applications

- Sentence Structure – Inmate correspondence tracking system.
- RMS – (Roster Management System) manages the security staff rosters at all institutions including the creation of the daily roster, scheduling leave and training.
- Records Trac – provides the ability to track and monitor the completion of all requests for inmate records and/or information contained in the inmate’s record. It includes public records requests, billing and payment tracking.
- SORR/SOAR – manages sex offender residence review to assure offender residence is not located in prohibited location.

These applications are client server-based and run on numerous Windows-based servers located in the State Data Center. The database platform is Microsoft SQL Server. With the exception of the Prison Rape Elimination Act (PREA) application, which transmits and receives data real-time, the client-server applications use day-old data that is loaded nightly from an OBIS extract. The applications do not have direct access to all of the data contained in OBIS. The extract that is loaded is a subset of the data that is in OBIS. All of the client-server applications listed are maintained and administered by Department personnel and contractors at the Department’s Central Office.

Technical Architecture

Figure 13 illustrates the technical architecture used to support the offender information needs at the Department. The diagram includes the applications, the hardware they run on, and the communication protocols used to transmit data to and from the applications.

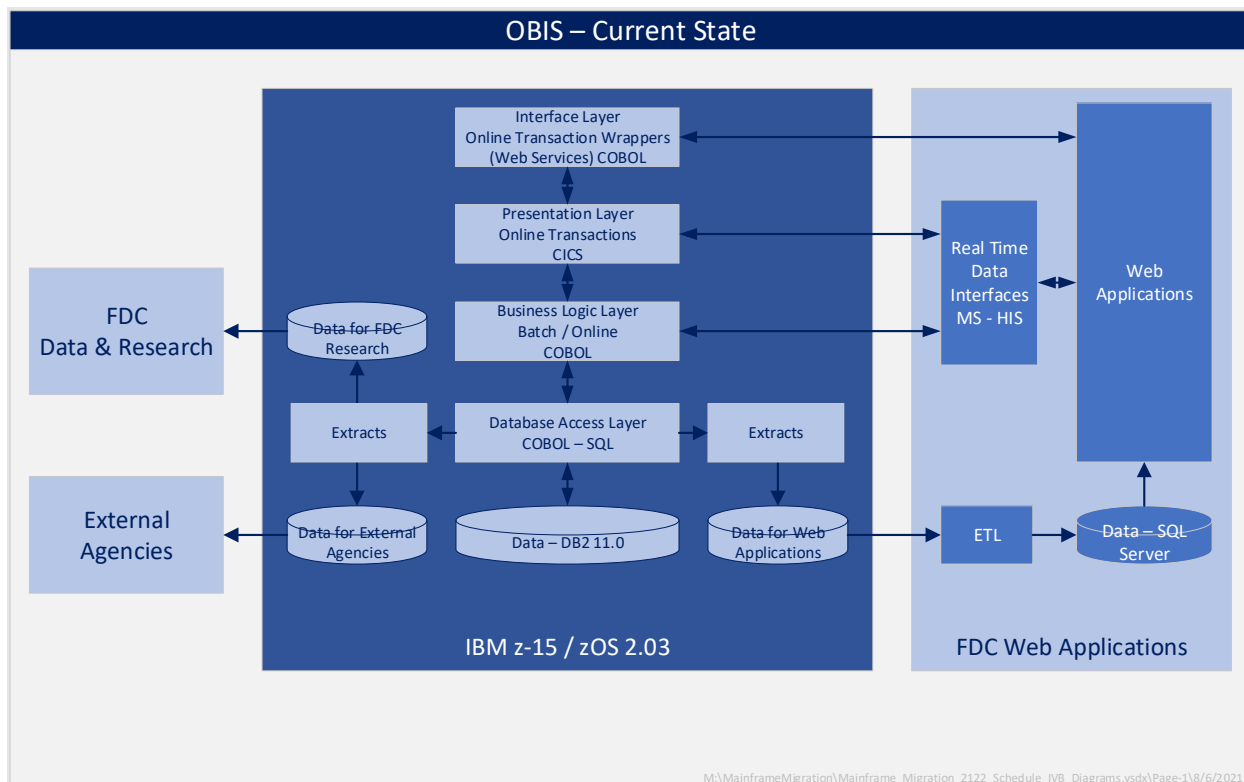


Figure 13: OBIS Current State

There are multiple agencies that depend on the Department for offender information. The majority of those information requirements are met by OBIS using File Transfer Protocol (FTP) extracts. Figure 14 illustrates the technical architecture used to support external offender information needs.

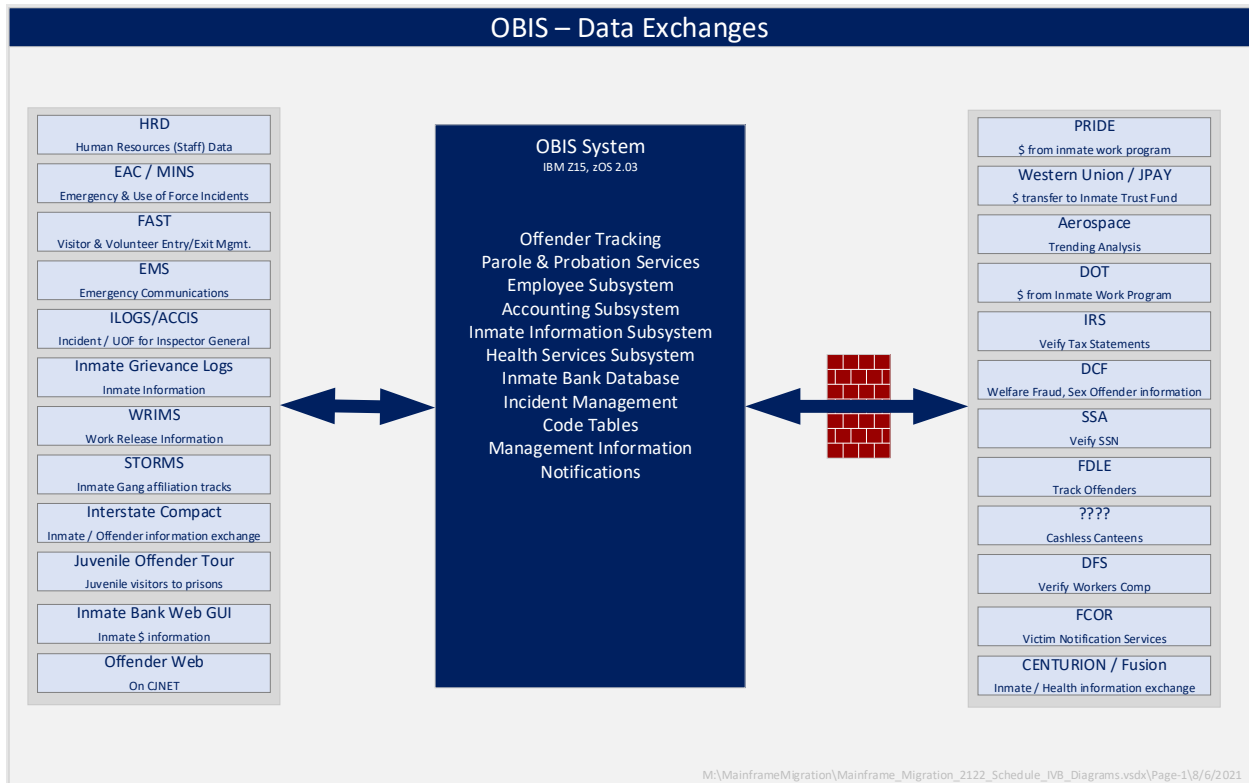


Figure 14: OBIS Current Data Exchanges

Current System Resource Requirements

The Department uses mainframe processing services overseen by the State Data Center (SDC) via NWRDC and their outsourced vendor. The vendor (via SDC/NWRDC) manages mainframe services and resources used by OBIS and balances and directs mainframe processing to vendor resources to manage load, capacity, availability, and performance. The table below describes the technology used by the vendor to deliver mainframe services for OBIS.

Resource	Requirement
Platform	The State of Florida Shared Resource mainframe is a Z15 8562-005 with a total of 5 processors running at 4.5 Ghz each. It is rated at 2,369 MIPs and 294 MSUs. The CDC has 5 processors assigned to the production LPAR and 191 MSUs of processing usage. The 5 processors have processor speed cycles per microsecs of 1,496 and a ziiip processor with the speed of 4,500. The have effective gigahertz cycles per nano of 1.5 and 4.5 respectively. Now on z/OS 2.3. COBOL and JAVA applications are the same level of performance speed.
Performance	This system is rated at 191 Million Service Units per second of processing power for FDC use only.

Resource	Requirement
I/O Capacity	There are 11 OSAD channels and 1 OSAE communication channels on the CEC that are shared by the customers on the shared mainframe. DASD is accessed through FICON Express version 16 channels.
Direct Access Storage Device (DASD) Storage	There is 7.5TB of space for FDC use on a Hitachi GS1500. HyperPAV is implemented and the DASD environment is replicated to the disaster recovery site with the exception of the ASG third party product volumes until an ASG licensing issue is resolved. Tape backup is on a DLM8500 and is replicated to the Lithia Springs, GA recovery facility.

Current System Performance

OBIS on mainframe supports the current and projected workloads with excess capacity to handle volume and seasonal processing spikes. OBIS is mature, stable, and available with few unplanned outages. However, for new employees who are more familiar with GUI interfaces, the OBIS green screens are not intuitive and mainframe-based workflow involves navigating through multiple screens with no front-end edits which causes transaction density to be very large. The system only meets objectives and functional requirements with significant augmentation of paper-based processing and manual workflow management. By current standards, the requirements and objectives for which OBIS was originally built are outdated. Advancements in technology have bypassed the capabilities of the current OBIS architecture.

As a legacy platform, outdated application development languages and technologies are used to maintain the system. Because development languages like COBOL used by OBIS have not been taught in schools in Florida for over 20 years there is concern about the ability to replace experienced legacy developers who retire or leave the Department.

2. Information Technology Standards

State of Florida Standards

As part of the work done during the requirements analysis phase of the 2008 analysis project, a complete list of technical requirements and standards were documented for the proposed new system. This document lists the high-level requirements and standards that OBIS Modernization should satisfy. It is broken down into the following categories:

- Architecture
- Security
- Usability
- Development & Support Services

Additional to those requirements and standards the proposed solution will comply with standards established by the Florida Digital Service (FLDS) and the Cloud-First statutory directives.

FBI Criminal Justice Information Services (CJIS) Security Policy

The Criminal Justice Information Services (CJIS) Division of the U.S. Federal Bureau of Investigation (FBI) gives state, local, and federal law enforcement and criminal justice agencies access to criminal justice information (CJI)—for example, fingerprint records and criminal histories. U.S. law enforcement and other government agencies must ensure that cloud services used for the transmission, storage, and processing of CJI complies with the CJIS Security Policy, which establishes minimum security requirements and controls to safeguard CJI. As such, CJIS data safeguarding and compliance is a key requirement for OBIS Modernization.

The CJIS Security Policy integrates presidential and FBI directives, federal laws, and the criminal justice community’s Advisory Policy Board decisions, along with guidance from the National Institute of Standards and Technology (NIST). The policy is periodically updated to reflect evolving security requirements.

HIPAA Privacy Rule and HIPAA Security Rules

OBIS also must comply with the Health Insurance Portability and Accountability Act of 1996 (HIPAA) regulations protecting the privacy and security of certain health information. Specific regulations include the HIPAA Privacy Rule and the HIPAA Security Rule. The Privacy Rule, or Standards for Privacy of Individually Identifiable Health Information, defines national standards for the protection of certain health information. The Security Standards for the Protection of Electronic Protected Health Information (the Security Rule) defines the national set of security standards for protecting certain health information that is held or transferred in electronic form.

B. Current Hardware and/or Software Inventory

The Department uses mainframe processing services provided by the SDC on a shared mainframe platform. The SDC balances mainframe services and resources used by OBIS and directs mainframe processing via the SDC to third-party resources to manage load, capacity, availability, and performance.

C. Proposed Technical Solution

1. Proposed Application Architecture (Hybrid Approach)

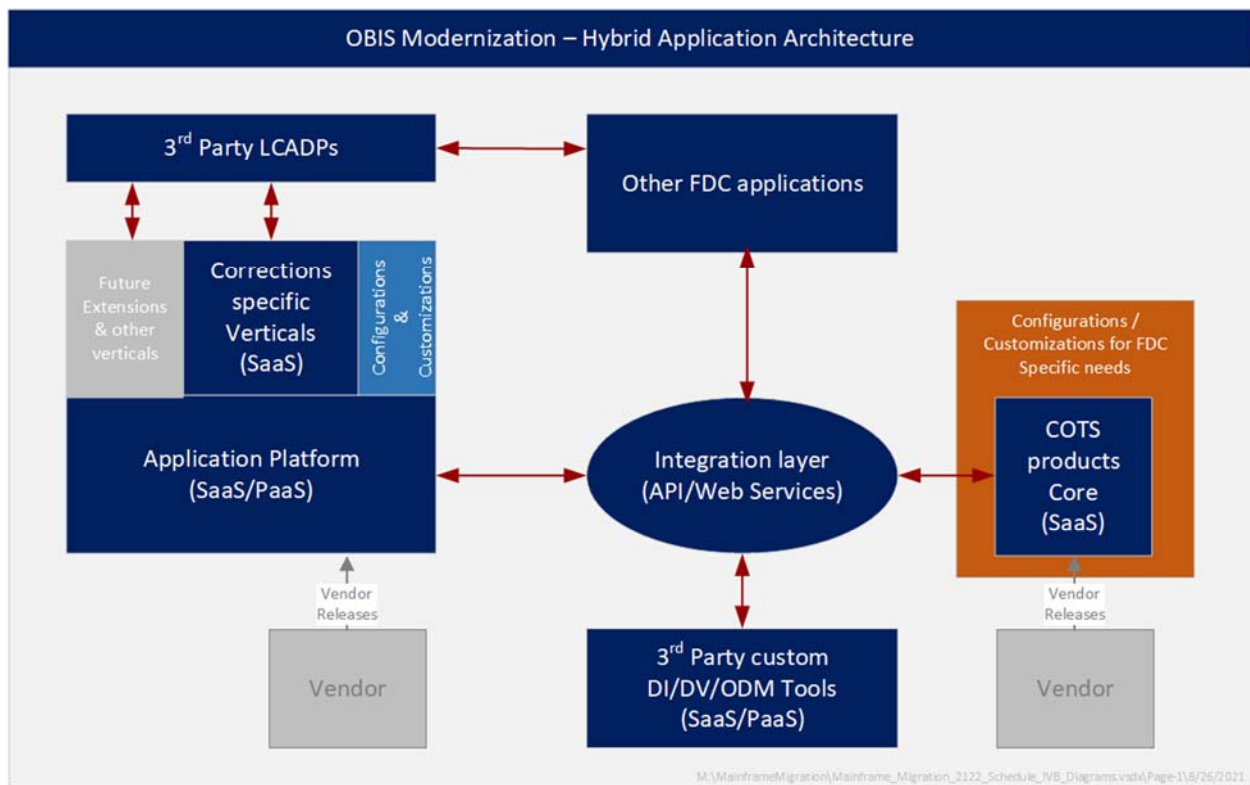


Figure 15: Proposed Application Architecture (Hybrid Approach)

2. Proposed Data Architecture (Hybrid Approach)

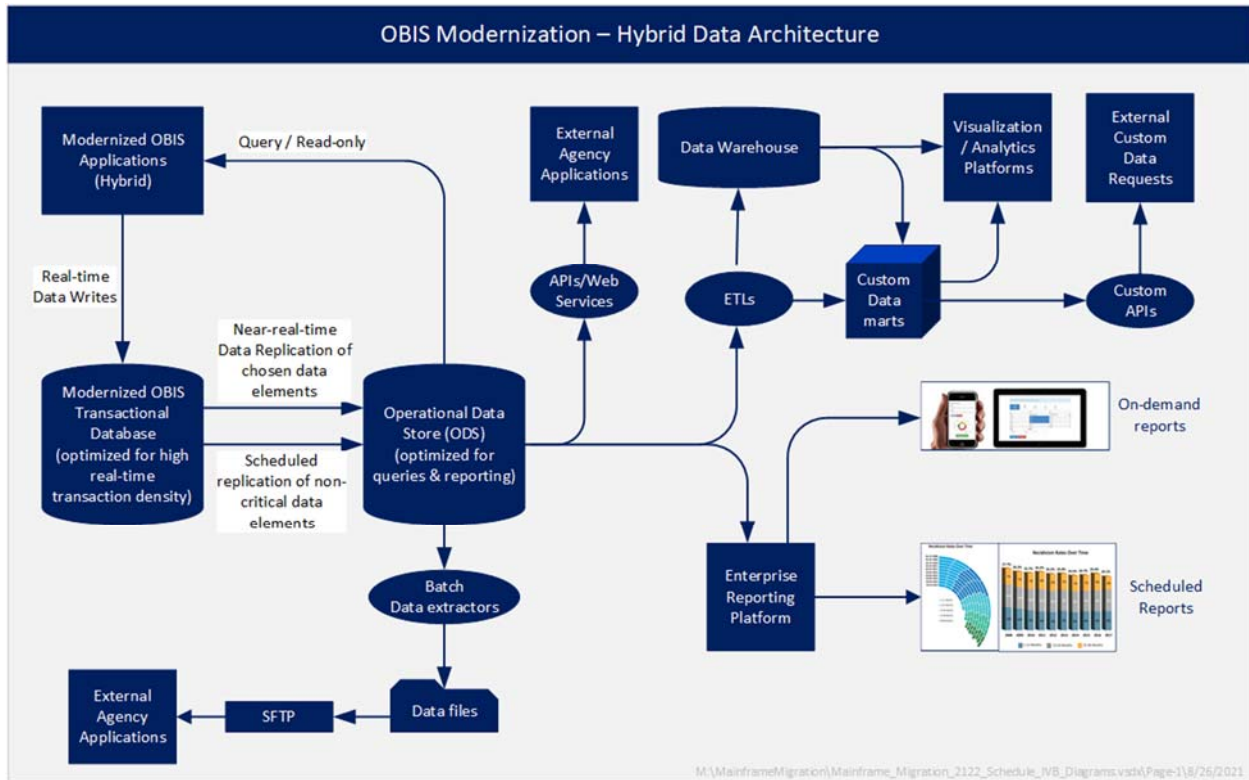


Figure 16: Proposed Data Architecture (Hybrid Approach)

3. Technical Solution Alternatives

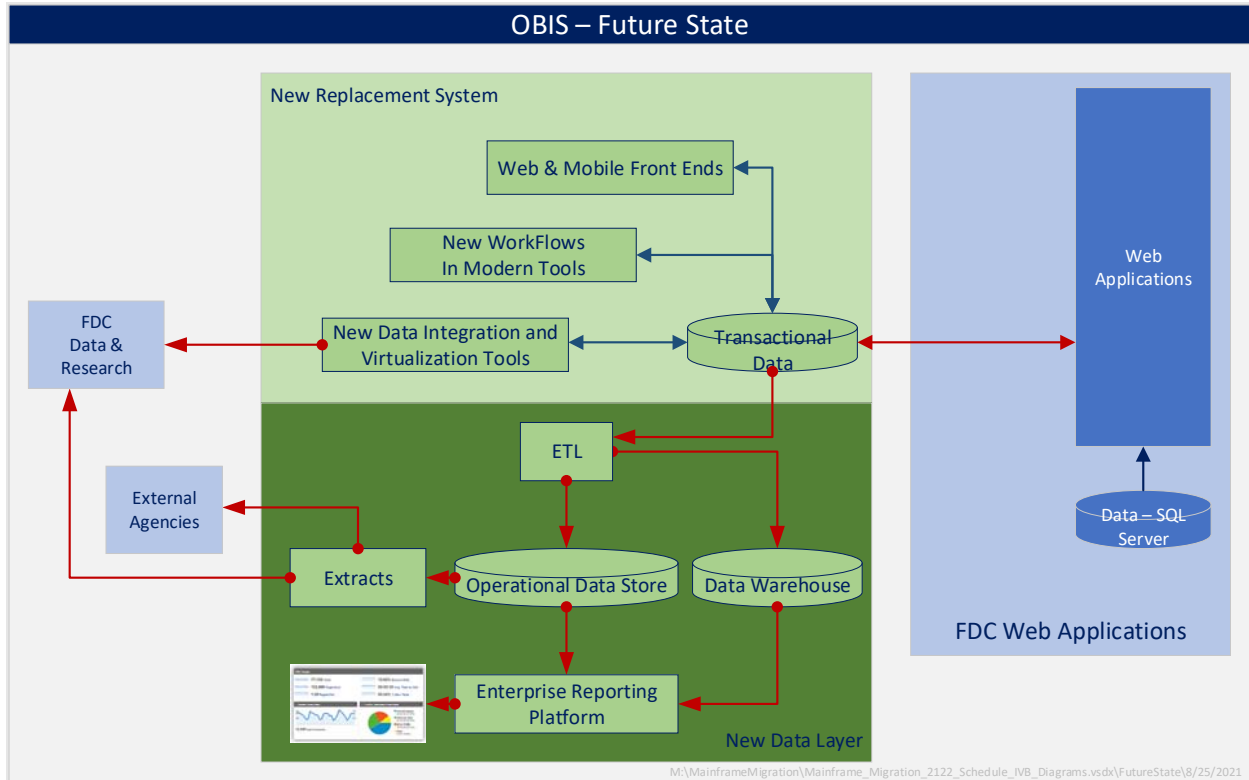


Figure 17: OBIS Modernization Future State

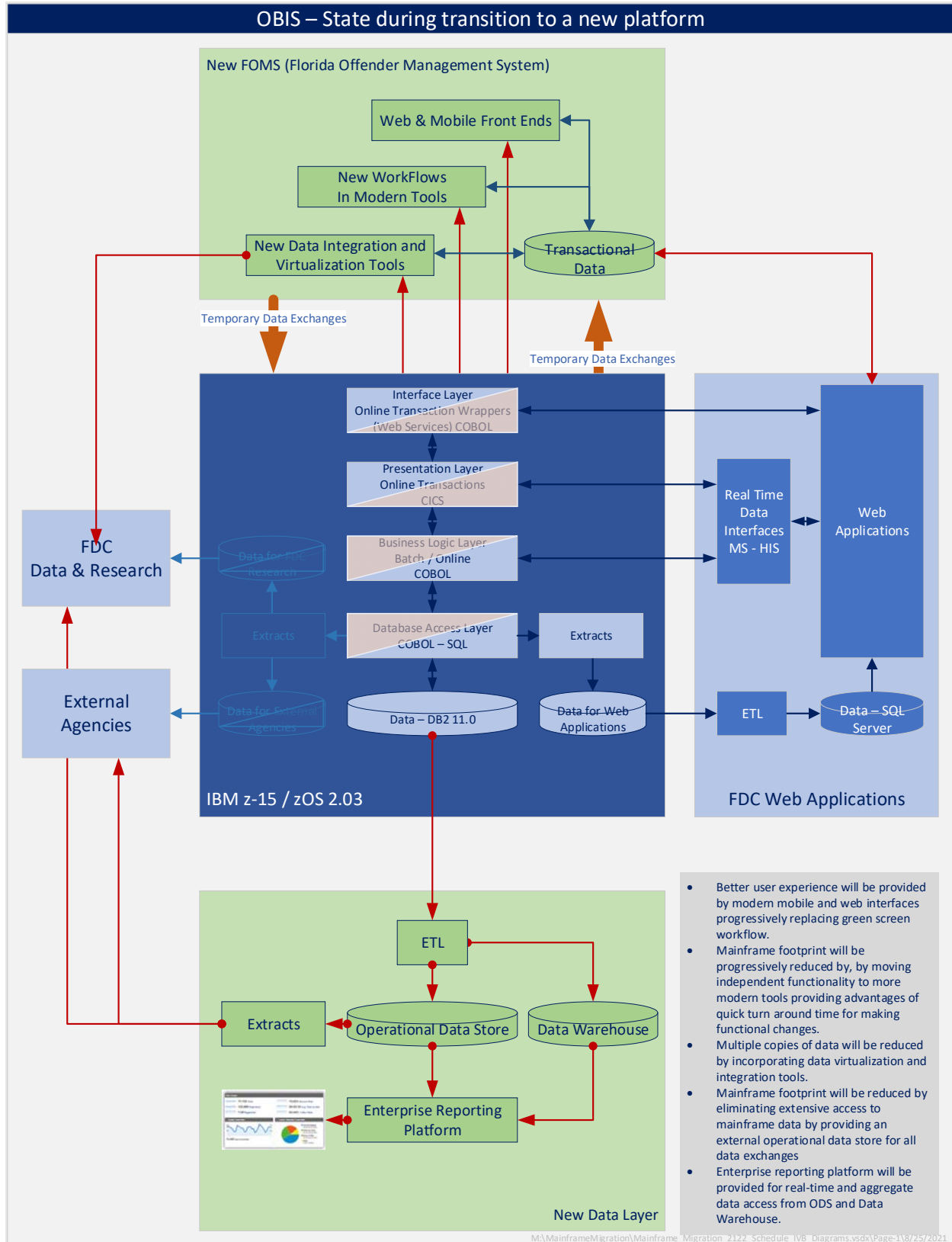


Figure 18: OBIS Modernization – State During Transition

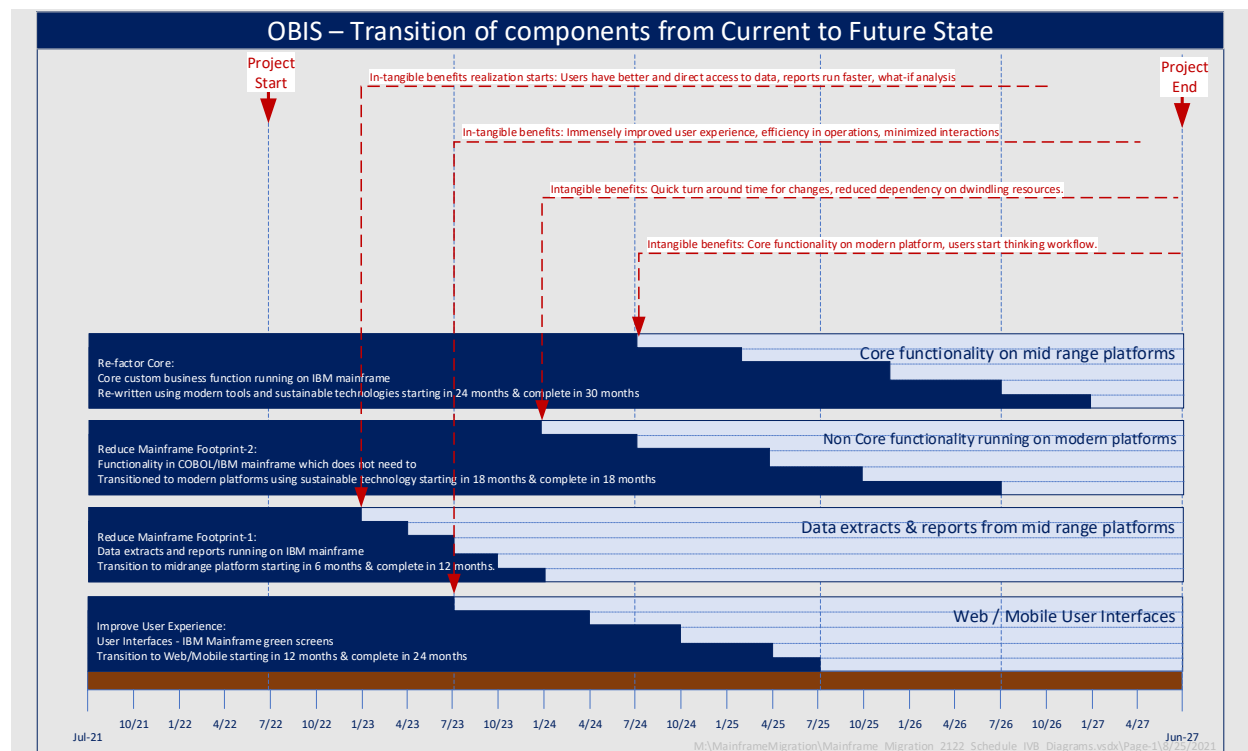


Figure 19: OBIS Modernization – Transition of Components from Current to Future State

The current technology of OBIS was designed to support computing needs prior to the widespread usage of personal computers or mobile devices, when paper processes were used to manage complex workflows. In that era batch reports were the only timely source of information other than talking to the right people that might have knowledge of activity, events, or people that a Department worker would interact with. OBIS worked well given the constraints for that period in history. For the Department, the current OBIS is a constraint that limits improvements to workflow management and expansion of services to operate more effectively. Without additional funding the Department is anchored to paper-based processes and green screen applications that do not provide access to real-time information.

Three modernization strategies considered suitable for the Department as technical alternatives are available in the marketplace.

Commercial Off-The-Shelf (COTS)

COTS solutions are most commonly understood to be “packages” or “shrink-wrapped” software, which is fully functional, requiring only basic configuration services to place it in a production environment. COTS products commonly address specific functional needs like offender management have some sort of internal production “engine” supporting the entire solution with various “modules” which perform discrete tasks related to a particular function, e.g., bed management or transportation fleet management. Customers are usually required, at a minimum, to purchase or license the “engine” and are then free to decide which of the functional modules they wish to use to support their discrete needs.

Technical risk is usually reduced with this strategy as a vendor is ultimately responsible for the integration of the product solution. As an added benefit, the various modules within the system generally operate in the same fashion, e.g., menus and options are common across the different functional system components; the look and feel is decidedly similar which may reduce user training costs and increase staff productivity.

As a part of the transition to a COTS platform, the Department would use out of the box functionality with minimal customization and extensions to the core product. In some cases, current business processes may require modification to align with the COTS capabilities.

Benefits

- Functionality may be more mature and stable for use by multiple customers.
- The tool provides a modern platform and user interface.
- The vendor maintains the product to support state and federal requirements.

Drawbacks

- Not fully customized to Florida specific needs.
- Not all the functions in OBIS will be supported.
- Changes to current business processes may be required to align with new COTS product.
- The Department is locked-in to a solution and migration to an alternate solution can be challenging.

Integrated Best of Breed: Component-Based/Software as a Service (SaaS)

Component-based strategies allow customers to select the best option for a given functional need, from different vendors, then integrate the chosen components to form the overall solution. For example, Vendor A's Inmate Management module may excel in the market, while Vendor B's Probation and Parole module may be considered the "best of breed" (best solution in the market for a particular functional business need). This solution may include COTS products which serve most of the functionality but use other external software for specific purposes like an interoperable rule-engine used to build process automation for tasks like sentence calculation.

A Component-based strategy allows the system to be built from market leading parts and pieces which integration to form the enterprise solution. Potentially, custom Software as a Service (SaaS) modules could be developed by a solutions integrator to meet highly specific functional needs. However, there are potentially significant risks associated with this approach as it requires the tight integration of disparate vendor offerings that may be technically challenging, and which may present a different look and feel to users as they move from one area of the solution to another.

A Best of Breed modernization strategy transitions current OBIS to improved functional capabilities as discrete solution components. For each solution component, analysis and evaluation would determine the best solution for the specific functionality. Solution components could be provided by one or more COTS or SaaS vendors, as custom developed modules or re-platformed functionality from the current OBIS. To enable component-based processing, the core OBIS architecture would need to use a flexible service-oriented architecture (SOA) and provide a solid integration framework.

Benefits

- Modernization can be accomplished in a phased approach.
- The solution provides access to the best of breed solution components.
- The vendors maintain the COTS and SaaS modules.
- Loosely coupled components with a tightly integrated product mix is feasible.

Drawbacks

- Greater integration effort than a single COTS vendor solution.
- Changes to current business processes may be required to align with new components.
- Use of offsite vendor-hosted system (“cloud”, or out-of-state locations) may add complexities for CJIS compliance

Re-Platform: Custom functional modules on a general purpose Platform as a Service (PaaS)

This allows for custom, functional modules to be built on a general-purpose platform like CRM/ERP and continue using in-house or contracted development resources to support the applications which can then operate on modern platform.

Multiple vendors provide tools and services to achieve a modernized OBIS through the use of general-purpose platforms. These vendors enable organizations to move enterprise application systems running on mainframes to non-mainframe platforms in the cloud. The application re-platform solutions support organizations which are motivated to eliminate or reduce the use of mainframe processing resources.

Consideration for the following requirements is needed to pursue the re-platform strategy for OBIS Modernization.

- Functional changes should be placed on hold during the re-platform effort.
- End users must be involved throughout the project for the design, testing, and acceptance of the new solutions.
- End user expectations for the functional and business process changes must be managed, and a robust communication plan must be followed to keep stakeholders informed.
- The infrastructure and support resources must be in place to maintain the new solution.

A re-platform modernization strategy transitions current OBIS to a modern platform and with new development technologies. The transition may benefit from the use a platform migration tool to reduce the total cost and elapsed time to move to modernize. After transitioning, further capability enhancements would be custom developed on the new technology platform.

Benefits

- Functionality is customized to specific Department requirements and preferences.
- Migration to lower cost hosting and infrastructure.
- The Department retains control over the future option to add new features and speed to implement change.

Drawbacks

- More time needed to implement system changes that modernize business processes.
- The custom flexibility results in a great total of ownership.

Technology - Implementation Summary

There are other nuances associated with each option which may influence a final implementation strategy decision. A COTS or Component-Based/SaaS solution, for instance, may provide an opportunity to engage a vendor’s staff for configuration and production support. In theory, vendors are more familiar with the nuances surrounding their own products which should serve to reduce the risks associated with technical and functional complexities in a production environment. Another option may be to purchase or license a COTS product suite but rely upon a third-party integrator or internal staff resources to provide the services required for implementation. Regardless of which solution and implementation strategy is selected, each approach has its own inherent benefits and risks.

4. 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 OBIS. The table below compares the technology characteristics of OBIS and the future-state modernized system. The table highlights how the requirements for a modernized system have changed to be always available, more connected, and more secure:

Item	Legacy System Characteristics	Modern System Characteristics
Hours of Operation	<ul style="list-style-type: none"> • Online primarily business hours; • Online worker 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
User Authentication and Access	<ul style="list-style-type: none"> • Internal system 	<ul style="list-style-type: none"> • Single sign-on • 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, JSON, 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
Security	<ul style="list-style-type: none"> • Emphasis on mainframe, 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"> • Batch jobs extract data and format reports • Extract to data repository 	<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 • Configurable rules
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
Batch Processing	<ul style="list-style-type: none"> • Processing nightly driven by mainframe processing capacity / cost and database locking issues • Reports produced via batch jobs 	<ul style="list-style-type: none"> • Processing can be run any time • Asynchronous updates

Item	Legacy System Characteristics	Modern System Characteristics
Workflow	<ul style="list-style-type: none"> • Workflow managed manually or via reports • 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 • Flexibility to 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 	<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"> • Adjust Business Rules to Match Application Capabilities
Application Maintenance	<ul style="list-style-type: none"> • In-house on-site • Contracted hourly resources 	<ul style="list-style-type: none"> • 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)

The sections below describe key technology considerations and rationale for each of the technology characteristics listed in the table previously.

Hours of Operation / System Availability

Department facilities operate 24x7 and thus any significant system modernization initiative 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 Department system users is expected to remain relatively constant unless there is a significant increase or decrease in the number of inmates or number of facilities. It is possible that there would be an increase in external users by other agencies who 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 OBIS and related systems have mainframe authentication, distributed network ID

authentication, and custom internal access controls. For workers, this means they must keep multiple IDs with multiple passwords. Architecturally, there are advantages of externalizing access controls from custom application logic. Single sign-on across applications with coordinated timeout is a base expectation related to access. The need to support federated access controls (e.g. allowing access by other agencies or county units of government) is increasingly a priority. *Note: 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. Because system usage is performed by workers that move throughout the facility, the general consensus is that being able to access data or enter data using a mobile device would be a significant convenience factor that enables more accurate and timely information.

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, primarily due to the challenges of data privacy 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 a relatively small number of interfaces in the current system, the Department should expect data sharing to increase. The amount of data sharing could increase as there is increased emphasis on establishing a 360-degree view of people from an overall health and human services perspective to analyze and provide relevant and timely services.

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. 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. Regardless of platform alternative, the recommended solution is expected to comply with Florida Cybersecurity Standards Rule 60GG-2, F.A.C. and CJIS Security Policy. This factor alone may be significant enough to influence the recommended system platform 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 to 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 storage 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:

- Reducing report generation costs of using mainframe architecture
- Reducing use of batch architecture
- Reducing need for reports by enabling real-time dashboards and data access
- Data Model Updates
- Data Marts
- Tools

If the modernized systems use a COTS product, the COTS data model will be different from current OBIS 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 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.

Business Rules

The general approach for a modernized system is to externalize business rules from custom application logic. 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 rule's 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 modernization 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.

Workflow

Work management is one of the most important capabilities of the system. 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 on paper or using multiple 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 in 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 modernization 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. The types of architecture services that are candidates to use external architecture services include services that:

- require specialized development skills,
- must comply with external standards or compliance criteria,
- are widely used, or

- are available at low-cost.

Architecture services such as security authentication and access, Enterprise Service Bus (ESB) and infrastructure monitoring are rarely custom-developed.

Application Ownership

The thinking on application ownership for modern systems has changed for most organizations. When systems had unique business processes or requirements, 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, record of accomplishment 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 was to define requirements and then build or customize the new system to meet the 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 within 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 includes the network, servers, system software, hosting, and systems operations capabilities. Improvements in technology have standardized and virtualized infrastructure, allowing organizations to optimize and leverage support resources across a much larger number of systems and system infrastructure components. Cloud providers use this standardization to support many customers at a fraction of the cost of traditional on-premise infrastructure.

For OBIS, the move from 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 potential option. If any system completion option retains existing system components, work will be required to make the current applications cloud-ready.

5. Recommended Technical Solution

The technical solution approach that the Department has selected is the hybrid approach. This approach reduces module integration effort and complexity, procurement complexity, and overall implementation effort and risk. The hybrid approach offers the flexibility to incorporate the new electronic health record solution currently being implemented into a common platform that integrates all other core functions. With a hybrid solution, technical components could be implemented more quickly and give greater speed to achieve value and return on investment.

Also, refer to Section C4 Rationale for Selection (Platform Strategy) for a table highlighting both business and technical factors for the recommended solution.

D. Proposed Solution Description

1. Summary Description of Proposed System

The proposed solution to replace existing mainframe-based OBIS processing must be able to support a large number of users (>14,000) during highly available (24x7) operations in a secure environment. The expected components of the new system include:

Integration Platform and New Interfaces - The implementation of the modernized OBIS solution would leverage or use an Enterprise Service Bus (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.

Reporting Platform - Reporting Platform to facilitate Department staff standard reporting, ad-hoc reporting, and drill down reporting and descriptive reporting capabilities using a non-mainframe platform.

Analytics Platform – Analytics Platform including data warehouse, data marts, or data lakes to facilitate Department analysis, data visualization and predicative analytics and predictive modeling capabilities.

Modernized System Engine – Core application system engine, architecture, and common services that support all corrections processing functionality and core functional system modules.

Modernized System Modules – Specific modules or groupings of modules that provide discrete functionality built to use the system engine.

Cloud-Ready Infrastructure – Servers, storage, hosting, and system management architecture is expected to be cloud ready allowing use of a private cloud or CJIS compliant cloud-based solution provider using an infrastructure-as-a-service (IaaS) or software-as-a-service (SaaS) model. OBIS requirements to comply with CJIS Security Policy present additional considerations and challenges that can make it more difficult to use of a cloud-based solution compared to other systems that are not subject to CJIS Security Policy.

Modernizing OBIS will fulfill several critical needs for the Department:

- Upgrading the system to use sustainable technology for which continued resource availability is not at risk and which provides the least total cost of ownership. The State’s “Cloud First” approach will be a primary factor in the solutions chosen to modernize OBIS.
- Supporting additional needs of the Department business units with new or enhanced applications. Modern web-based and mobile enabled interfaces will expand the opportunity for process efficiencies.
- Providing self-service capability for users to develop trends and reports using ad-hoc analysis. Following the split data model, Synchronized Transactional and Operational Data Stores, direct access to the data is provided to the users by reporting and analytics tools.
- Automating the sentence calculation process to reduce errors. Modern tools like rule-engines that facilitate methods of selecting and testing logic as a set of rules will be part of the OBIS Modernization.
- Providing enhanced user interfaces to reduce training and increase the efficiency of data collection while reducing errors and improving access to relevant data.

Providing an interoperable framework to connect disparate applications in one OBIS implementation

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

The total project cost is expected to be \$118,364,500 over five years. This amount includes an additional four staff augmentation contractors and no additional FTE positions. The majority of the workload for OBIS Modernization will be performed by a contracted vendor procured pursuant to F.S. 287.057.

Summary Level Funding

Cost Component	Sum of 2022-23 Total	Sum of 2023-24 Total	Sum of 2024-25 Total	Sum of 2025-26 Total	Sum of 2026-27 Total	Sum of 5-Year Total
Bandwidth Upgrade	\$20,000	\$40,000	\$40,000	\$40,000	\$40,000	\$180,000
Cloud Hosting	\$280,000	\$515,000	\$490,000	\$490,000	\$490,000	\$2,265,000
IV&V	\$2,000,000	\$2,000,000	\$2,000,000	\$2,000,000	\$2,000,000	\$10,000,000
Professional Services	\$8,520,500	\$12,368,500	\$25,136,000	\$20,462,000	\$17,500,000	\$83,987,000
Software	\$1,130,000	\$1,280,000	\$1,300,000	\$1,340,000	\$1,340,000	\$6,390,000
Staff Augmentation	\$1,040,000	\$1,040,000	\$1,040,000	\$1,040,000	\$1,040,000	\$5,200,000
Vendor Business Analysis	\$1,120,000	\$1,120,000	\$1,120,000	\$1,120,000	\$1,120,000	\$5,600,000
Vendor Project Management	\$982,500	\$992,500	\$917,500	\$927,500	\$922,500	\$4,742,500
Grand Total	\$15,093,000	\$19,356,000	\$32,043,500	\$27,419,500	\$24,452,500	\$118,364,500

E. Capacity Planning

This section provides utilization reports for OBIS for a 12-month period of operation. OBIS processes an average of 260,000 batch program executions and 65,000,000 CICS transactions a month. The number of transactions per month will typically be plus or minus 25% from the average. Average mainframe usage is 700 MIPS of 1600 MIPS capacity. The following pages contain tables and charts of OBIS resource usage.

1. User Counts

Total number of users (named and concurrent), user types (e.g. power, casual, data entry)

The current system supports approximately 14,000 total users with an average of 4,500 concurrent users during peak periods from 12,000 PC workstations running Windows 10. The following table details the organizational breakdown of the users:

Organization	# of Users
Business	114
Central Office	972
Education	443

Organization	# of Users
Parole Board	184
Health	2,225
Institutions	1,175
Personnel	79
P&P (Community Corrections)	3,505
Security	4,923
Institutions	673
Total	14,293

At a minimum, the proposed system must support the same number of users as the current system. Over time the number of users may increase due to the increasing number of offenders. There is no way to accurately project the number of future users due to the complexity of factors involved in the staffing of the Department.

2. Mainframe Processing Details

The table below provides additional details specific to mainframe processing:

Component	Description
CPU Usage	Average mainframe usage is 700 MIPS with the highest monthly peak of 1200 MIPS of 1600 MIPS capacity
CICS Transactions	OBIS processes an average of 65,000,000 CICS transactions per month
CICS Average Response Time	OBIS average response time has remained less than .074 seconds per transaction and trended faster
Batch Job Execution	OBIS processes an average of 260,000 batch program executions per month
DASD Usage	OBIS uses and reserves 4 TB of 18 TB of available storage of which slightly over 2 TB is used with the remaining reserved for database usage

VII. Schedule IV-B Project Management Planning

A. Project Management Methodology

The primary project management methodology used by FDC is based on the PMI's Project Management Framework and complies with Rule 60GG-1, F.A.C., Project Management and Oversight standards. The FDC Project Management Office and the implementation vendor will coordinate any adjustments in the project management approach and methodology.

The following control mechanisms will be applied to all phases of this project, including:

- Project Charter that 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)
- Project Change Management
- Organizational Change Management
- Quality Management
- Project Issues Log
- Project Risk Log
- Financial Management
- Reporting

The use of the project control framework indicated above, together with application of the Project Management Plan, will assist both the FDC and Vendor project managers 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

Refer to Appendix 0 for the signed Project Charter and Appendix 0 for the draft Project Management Plan.

VIII. Appendices

A. Risk Assessment Tool

The Department's detailed responses to the Risk Assessment are in the following document.

	B	C	D	E	F	G	H						
3	Project		<i>OBIS Modernization</i>										
4													
5	Agency		<i>Florida Department of Corrections</i>										
6	FY 2022-23 LBR Issue Code:			FY 2021-22 LBR Issue Title:									
7	<i>36260C0</i>			<i>OBIS Modernization</i>									
8	Risk Assessment Contact Info (Name, Phone #, and E-mail Address):												
9	<i>Name ----- Phone # ----- E-mail address</i>												
10	Executive Sponsor		<i>Ricky Dixon</i>										
11	Project Manager		<i>Danny Johnson</i>										
12	Prepared By		<i>Wendy Ling</i>			<i>9/15/2021</i>							
14	Risk Assessment Summary												
15													
16	Business Strategy	Level of Project Risk											
17													
18													
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20													
21													
22													
23													
24													
25													
26													
27													
28													
29													
30													
31													
32													
34	Project Risk Area Breakdown												
35	Risk Assessment Areas						<i>Risk Exposure</i>						
36	Strategic Assessment						MEDIUM						
37													
38	Technology Exposure Assessment						HIGH						
39													
40	Organizational Change Management Assessment						HIGH						
41													
42	Communication Assessment						HIGH						
43													
44	Fiscal Assessment						HIGH						
45													
46	Project Organization Assessment						HIGH						
47													
48	Project Management Assessment						MEDIUM						
49													
50	Project Complexity Assessment						HIGH						
51													
52													
53	Overall Project Risk						HIGH						

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

	B	C	D	E
1	Agency: Florida Department of Corrections		Project: OBIS Modernization	
3	Section 2 -- Technology Area			
4	#	Criteria	Values	Answer
5	2.01	Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?	Read about only or attended conference and/or vendor presentation	Read about only or attended conference and/or vendor presentation
6			Supported prototype or production system less than 6 months	
7			Supported production system 6 months to 12 months	
8			Supported production system 1 year to 3 years	
9			Installed and supported production system more than 3 years	
10	2.02	Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system?	External technical resources will be needed for implementation and operations	External technical resources will be needed through implementation only
11			External technical resources will be needed through implementation only	
12			Internal resources have sufficient knowledge for implementation and operations	
13	2.03	Have all relevant technical alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	Some alternatives documented and considered
14			Some alternatives documented and considered	
15			All or nearly all alternatives documented and considered	
16	2.04	Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
17			Some relevant standards have been incorporated into the proposed technology	
18			Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
19	2.05	Does the proposed technical solution require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Moderate infrastructure change required
20			Moderate infrastructure change required	
21			Extensive infrastructure change required	
22			Complete infrastructure replacement	
23	2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are defined only at a conceptual level
24			Capacity requirements are defined only at a conceptual level	
25			Capacity requirements are based on historical data and new system design specifications and performance requirements	

	B	C	D	E
1	Agency: Florida Department of Corrections		Project: OBIS Modernization	
3	Section 3 -- Organizational Change Management Area			
4	#	Criteria	Values	Answer
5	3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Extensive changes to organization structure, staff or business processes
6			Moderate changes to organization structure, staff or business processes	
7			Minimal changes to organization structure, staff or business processes structure	
8	3.02	Will this project impact essential business processes?	Yes	Yes
9			No	
10	3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	0% to 40% -- Few or no process changes defined and documented
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defined and documented	
13	3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	No
14			No	
15	3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Less than 1% FTE count change
16			1% to 10% FTE count change	
17			Less than 1% FTE count change	
18	3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	1 to 10% contractor count change
19			1 to 10% contractor count change	
20			Less than 1% contractor count change	
21	3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
22			Moderate changes	
23			Minor or no changes	
24	3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Moderate changes
25			Moderate changes	
26			Minor or no changes	
27	3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with fewer change requirements
28			Recently completed project with fewer change requirements	
29			Recently completed project with similar change requirements	
30			Recently completed project with greater change requirements	

	B	C	D	E
1	Agency: Agency Name		Project: Project Name	
3	Section 4 -- Communication Area			
4	#	Criteria	Value Options	Answer
5	4.01	Has a documented Communication Plan been approved for this project?	Yes	No
6			No	
7	4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Routine feedback in Plan
8			Routine feedback in Plan	
9			Proactive use of feedback in Plan	
10	4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	No
11			No	
12	4.04	Are all affected stakeholders included in the Communication Plan?	Yes	No
13			No	
14	4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Some key messages have been developed
15			Some key messages have been developed	
16			All or nearly all messages are documented	
17	4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Plan does not include desired messages outcomes and success measures
18			Success measures have been developed for some messages	
19			All or nearly all messages have success measures	
20	4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
21			No	

	B	C	D	E
1	Agency: Florida Department of Corrections		Project: OBIS Modernization	
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
5	5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	41% to 80% -- Some defined and documented
8			41% to 80% -- Some defined and documented	
9			81% to 100% -- All or nearly all defined and documented	
10	5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Greater than \$10 M
11			Greater than \$10 M	
12			Between \$2 M and \$10 M	
13			Between \$500K and \$1,999,999	
14			Less than \$500 K	
15	5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
16			No	
17	5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Order of magnitude – estimate could vary between 10-100%
18			Order of magnitude – estimate could vary between 10-100%	
19			Placeholder – actual cost may exceed estimate by more than 100%	
20	5.06	Are funds available within existing agency resources to complete this project?	Yes	No
21			No	
22	5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
23			Funding from local government agencies	
24			Funding from other state agencies	
25	5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Not applicable
26			Requested but not received	
27			Requested and received	
28			Not applicable	
29	5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
30			Some project benefits have been identified but not validated	
31			Most project benefits have been identified but not validated	
32			All or nearly all project benefits have been identified and validated	
33	5.10	What is the benefit payback period that is defined and documented?	Within 1 year	Within 5 years
34			Within 3 years	
35			Within 5 years	
36			More than 5 years	
37			No payback	
38	5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have not been consulted re: procurement strategy
39			Stakeholders have not been consulted re: procurement strategy	
40			Stakeholders have reviewed and approved the proposed procurement strategy	
41	5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Combination FFP and T&E
42			Firm Fixed Price (FFP)	
43			Combination FFP and T&E	
44	5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of hardware and software is documented in the project schedule
45			Purchase all hardware and software at start of project to take advantage of one-time discounts	
46			Just-in-time purchasing of hardware and software is documented in the project schedule	
47	5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
48			Contract manager is the procurement manager	
49			Contract manager is the project manager	
50			Contract manager assigned is not the procurement manager or the project manager	
51	5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	No
52			No	
53	5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	Some selection criteria and outcomes have been defined and documented
54			Some selection criteria and outcomes have been defined and documented	
55			All or nearly all selection criteria and expected outcomes have been defined and documented	
56	5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation not planned/used for procurement
57			Multi-stage evaluation not planned/used for procurement	
58			Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
59	5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	No, bid response did/will not require proof of concept or prototype
60			No, bid response did/will not require proof of concept or prototype	
61			Yes, bid response did/will include proof of concept or prototype	
62			Not applicable	

	B	C	D	E
1	Agency: Florida Department of Corrections		Project: OBIS Modernization	
3	Section 6 -- Project Organization Area			
4	#	Criteria	Values	Answer
5	6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	No
6			No	
7	6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	Some have been defined and documented
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	System Integrator (contractor)
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	2
14			2	
15			1	
16	6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Some or most staff roles and responsibilities and needed skills have been identified
17			Some or most staff roles and responsibilities and needed skills have been identified	
18			Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
19	6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
20			No, project manager is assigned 50% or less to project	
21			No, project manager assigned more than half-time, but less than full-time to project	
22			Yes, experienced project manager dedicated full-time, 100% to project	
23	6.07	Are qualified project management team members dedicated full-time to the project	None	No, business, functional or technical experts dedicated more than half-time but less than full-time to project
24			No, business, functional or technical experts dedicated 50% or less to project	
25			No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
26			Yes, business, functional or technical experts dedicated full-time, 100% to project	
27	6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Half of staff from in-house resources
28			Half of staff from in-house resources	
29			Mostly staffed from in-house resources	
30			Completely staffed from in-house resources	
31	6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Moderate impact
32			Moderate impact	
33			Extensive impact	
34	6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
35			No	
36	6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
37			No, only IT staff are on change review and control board	
38			No, all stakeholders are not represented on the board	
39			Yes, all stakeholders are represented by functional manager	

	B	C	D	E
1	Agency: Florida Department of Corrections		Project: OBIS Modernization	
3	Section 7 -- Project Management Area			
4	#	Criteria	Values	Answer
5	7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
6			Project Management team will use the methodology selected by the systems integrator	
7			Yes	
8	7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
9			1-3	
10			More than 3	
11	7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	Some
12			Some	
13			All or nearly all	
14	7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	41 to 80% -- Some have been defined and documented
15			41 to 80% -- Some have been defined and documented	
16			81% to 100% -- All or nearly all have been defined and documented	
17	7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	41 to 80% -- Some have been defined and documented
18			41 to 80% -- Some have been defined and documented	
19			81% to 100% -- All or nearly all have been defined and documented	
20	7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	0% to 40% -- None or few are traceable
21			41 to 80% -- Some are traceable	
22			81% to 100% -- All or nearly all requirements and specifications are traceable	
23	7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
24			Some deliverables and acceptance criteria have been defined and documented	
25			All or nearly all deliverables and acceptance criteria have been defined and documented	
26	7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
27			Only project manager signs-off	
28			Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
29	7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	0% to 40% -- None or few have been defined to the work package level
30			41 to 80% -- Some have been defined to the work package level	
31			81% to 100% -- All or nearly all have been defined to the work package level	
32	7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	No
33			No	
34	7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
35			No	
36	7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting processes
37			Project team uses formal processes	
38			Project team and executive steering committee use formal status reporting processes	
39	7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
40			Some templates are available	
41			All planning and reporting templates are available	
42	7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
43			No	
44	7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
45			Some have been defined and documented	
46			All known risks and mitigation strategies have been defined	
47	7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
48			No	
49	7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
50			No	

	B	C	D	E
1	Agency: Florida Department of Corrections		Project: OBIS Modernization	
2				
3	Section 8 -- Project Complexity Area			
4	#	Criteria	Values	Answer
5	8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
6			More complex	
7			Similar complexity	
8			Less complex	
9	8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
10			3 sites or fewer	
11			More than 3 sites	
12	8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
13			3 sites or fewer	
14			More than 3 sites	
15	8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
16			1 to 3 external organizations	
17			More than 3 external organizations	
18	8.05	What is the expected project team size?	Greater than 15	Greater than 15
19			9 to 15	
20			5 to 8	
21			Less than 5	
22	8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	More than 4
23			2 to 4	
24			1	
25			None	
26	8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Statewide or multiple agency business process change
27			Agency-wide business process change	
28			Statewide or multiple agency business process change	
29	8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	No
30			No	
31	8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
32			Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
33			Business Process Reengineering	
34			Combination of the above	
35	8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Lesser size and complexity
36			Lesser size and complexity	
37			Similar size and complexity	
38			Greater size and complexity	
39	8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Similar size and complexity
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

B. Project Charter

The following document is the OBIS Modernization Project Charter.

FLORIDA DEPARTMENT OF CORRECTIONS
Office of Information Technology
Project Management Office



OBIS MODERNIZATION
PROJECT CHARTER
8/1/2021



CONTACTS

Agency Project Manager:		Agency Project Sponsor:	
<i>Danny Johnson</i>		Ricky Dixon, Deputy Secretary	
Phone:	850-717-9746	Phone:	850-488-7480
Email:	Danny.Johnson@fdc.myflorida.com	Email:	Ricky.Dixon@fdc.myflorida.com



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1.0 EXECUTIVE SUMMARY

Pursuant to Chapter 945, Florida Statutes (F.S.), the Florida Department of Corrections (Department or FDC) is entrusted with the care and custody of inmates in Florida prisons. The FDC is the third largest state prison system in the country with an annual budget of \$2.9 billion, approximately 80,000 inmates incarcerated, and nearly 140,000 offenders under community supervision. As such, the Department's operations are critical to the safety and security of the public as well as our staff.

Currently, the Department relies primarily on manual, paper-based processes that are later entered into a home-grown mainframe application known as the Offender Based Information System, or OBIS. Advancements in technology long surpassed the original technologies of OBIS, which no longer align with the agility and needs of an already complex core business. As a result, the Department struggles to adapt to challenges such as:

- Fluctuations in inmate/offender populations – limits accuracy of Criminal Justice Estimating Conference (CJEC) projections, intake and release, and corresponding staffing needs
- Changing business process needs for operational efficiencies – dependency on manual paper-based processes, redundant data entry, and unnecessary shipping of paper forms/files
- Data transparency for data-driven operational decision-making and legislative mandates – lack of real-time access to data and analytics, and Criminal Justice Data Transparency Initiative
- Technical support staff and subject matter expert retirement / attrition

The Department has taken initial action to address questions and identify next steps on how best to mitigate the risk of a rigid, 40-year-old, costly mainframe system that continues to grow complexity with each year that passes. In 2008 and 2016, the Department engaged an outside vendor to conduct analysis and produce a business case for replacing OBIS. In addition, the Department has been in regular consultation with expertise from Gartner Research Engagement Services, Inc. regarding our revised technical approach, while also researching other states and issuing a Request for Information (RFI) to obtain relevant market information.

With all of these considerations, the Department intends to re-engineer all offender management business processes with particular emphasis on automating workflows and data interoperability to better support the overall mission and increase public safety. The Department proposes a multi-year, staggered workstream approach for OBIS Modernization, with priority given to core functionality.



Breaking down and prioritizing the core functional areas allows the Department to ensure appropriate support, distribute the dependence on subject matter experts, and lowers overall project risk with a phased implementation focused on the following:

1. Provide a sustainable and scalable architecture that supports dynamic process modification resulting from legislative mandates and changes
2. Provide a system that can leverage and integrate external and internal data sources in real-time.
3. Provide customized data views for interfaces supporting one-version-of-truth and data analytics to inform security and safety mandates and to measure systemic performance across the full corrections spectrum.
4. Provide a system with a workload management component to manage agency business processes effectively and efficiently.
5. Provide an interoperable and fully functional offender management system to access accurate and complete information that ensures public safety and meets the demands of a dynamic, data intensive correctional environment.
6. Provide a system that leverages modern technologies to attract and retain skilled technologists and support staff.
7. Provide a phased implementation plan identifying the functional, budget, resource, and procurement requirements to ensure a cost effective and realistic acquisition process.

2.0 BUSINESS NEED AND OBJECTIVES

2.1 Business Need and Justification

Since 1978, the Department has used OBIS to record data, generate reports, and support its critical decision-making process. OBIS is used in institutions for inmate management, classification, work assignments, health grades, disciplinary information, and custody status. Due to its extensive use, OBIS is indispensable to the mission and operational performance of the Department. The major areas of functional support within OBIS include:

- Inmate Custody Tracking
- Inmate Classification Tracking
- Inmate Banking with Interface to Canteen (operated by Contractor)
- Inmate Housing Assignment Tracking
- Facility Population Tracking
- Transportation Scheduling
- Inmate Movement Tracking
- Release Date Computation
- Probation and Parole Supervision
- Court Ordered Payments (COPS)
- Field Investigation Tracking
- Collection and Reporting of Health Services Statistics



OBIS is more than 40 years old and has had continual updates and revisions over the past four decades. The system is a mainframe-based application maintained locally by Department full-time employees (FTEs) and contracted staff. The options for enhancement are limited and the pool of skilled resources needed to continue supporting the system are shrinking. As a result, OBIS requires modernization to better serve the increasing informational needs of internal and external stakeholders.

2.2 Business Objectives

- Provide a mobile enabled web-based system that comports with current technology platforms, improving usability for the Department.
- Provide a sustainable and scalable architecture that supports dynamic process modification resulting from legislative mandates and changes
- Provide a system that can leverage and integrate external and internal data sources in real-time. Provide customized data views for interfaces supporting one-version-of-truth and data analytics to inform security and safety mandates and to measure systemic performance across the full corrections spectrum.
- Provide a system with a workload management component to manage agency business processes effectively and efficiently.
- Provide an interoperable and fully functional offender management system to access accurate and complete information that ensures public safety and meets the demands of a dynamic, data intensive correctional environment.
- Provide a system that leverages modern technologies to attract and retain skilled technologists and support staff.
- Provide a phased implementation plan identifying the functional, budget, resource, and procurement requirements to ensure a cost effective and realistic acquisition process.

3.0 PROJECT SUMMARY

3.1 Project Description

The purpose of the project is to select a vendor to serve as the system integrator in developing a modernized OBIS solution, re-engineering business processes, and leveraging technologies with the scalability and flexibility of integrating applications in a modular, service-oriented architecture over a five-year period. The tangible benefits include reduced operational costs, reduced dependency on data processes, reduced data entry and erroneous data, increased system accessibility, and reduced storage costs for records retention for FDC, specifically within Institutions and Community Corrections. The intangible benefits of the project include increased quality assurance, increased data sharing within the Department and program areas outside of FDC, decreased IT HelpDesk Support calls, and workload savings achieved by streamlining redundant processes and implementing system standards.



3.2 Scope

The scope of this project is to procure a system integrator (SI) to manage and lead the re-engineering of all business processes, and design, develop, test, and implement a modernized OBIS solution in an estimated 5-year time period, at an estimated total cost of \$118 million. The SI will address the following FDC functional and technical areas, each with 3 workstreams, aligned in support of the Department’s priorities:

Pre-DDI Activity in OBIS modernization			
Year-0: FY 2021-20 Q1	Year-0: FY 2021-20 Q2	Year-0: FY 2021-20 Q3	Year-0: FY 2021-20 Q4
RFI	Procurement Strategy & Support		
	Establish Project Management Office, procedures		
	Organizational Change Management & Workforce Transition Planning		
	Business Process Re-engineering planning & Use Case Development		

Five Year Implementation of OBIS modernization				
Year-1: FY 2022-23	Year-2: FY 2023-24	Year-3: FY 2024-25	Year-4: FY 2025-26	Year-5: FY 2026-27
Procurement & Vendor Selection	Functional Group-1 Work Stream-1	Functional Group-1 Work Stream-3		
	Functional Group-1 Work Stream-2			
	Functional Group-2 Work Stream-1	Functional Group-2 Work Stream-2	Functional Group-2 Work Stream-3	
	Functional Group-3 Work Stream-1	Functional Group-3 Work Stream-2	Functional Group-3 Work Stream-3	
		Functional Group-4 Work Stream-1	Functional Group-4 Work Stream-2	Functional Group-4 Work Stream-3

Legend:

- Functional Group-X: Functions grouped according to priority for modernization
- WorkStream-1: Modernize Interfaces & user experience
- WorkStream-2: Reduce Mainframe Footprint
- WorkStream-3: Refactor/Rewrite functionality



Application Functionality Grouping for Sequencing Modernization

Group-1	Group-2	Group-3	Group-4
<p><u>Community Corrections</u> Offender intake management, Offender release, Offender risk and needs assessment</p> <p><u>Information Technology:</u> Bridge Technology, Enterprise Reporting, Infrastructure / Replatform</p> <p><u>Institutions</u> Disciplinary Report (DR), Emergency Operations, Inmate Classification Assessment, Inmate Reception, Risk and Needs Assessments, Sentence Structure, Release Day calculation, Support Release & Management</p> <p><u>Integration</u> Support Internal & integrations, Support Internal & interfaces,</p>	<p><u>Community Corrections</u> Offender Supervision</p> <p><u>Core OBIS Functionality</u> Case / Records management, Court Order Payments, Data analytics, Financial Management, Scheduling, Workflow Management</p> <p><u>Information Technology</u> Database, Data Warehouse and DataMarts, Support Tools & Maintenance</p> <p><u>Institutions</u> Identification Badges, Livescan, RapidID, Inmate Custody Assessment, Security Threat group, Support Emergency Management, Support Sex & Offenders, Vocational Training</p> <p><u>Integration</u> Support External & interfaces</p>	<p><u>Community Corrections</u> Community Supervision, Community Corrections, Incident Management</p> <p><u>Core OBIS Functionality</u> Pre-sentencing investigations</p> <p><u>Institutions</u> Facility Population Tracking, Inmate Education, Inmate Housing Assessment, Inmate Movement Tracking, Inmate Release, Inmate Trust Fund, PREA, Support Grievances, Transportation Scheduling</p>	<p><u>Community Corrections</u> Investigations Offender absconder management Offender transfer</p> <p><u>Core OBIS Functionality</u> Audits Document Management Victim Information</p> <p><u>Institutions</u> Drug Testing Interstate Compact Property Management Support Facility & Supervision Support Job & Assignment Visitation management</p>

Also included in the project scope:

- Establishment of the Project Management Team
- 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 OBIS Modernization 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.
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.

3.3 Assumptions and Constraints

OBIS Modernization is dependent upon a wide range of assumptions and constraints. Assumptions refer to things which are, based on functional, technical, statutory, and/or best practices, believed to have potential impact on the overall goals of the project. Constraints are defined as things that are known to prevail today or will be required in the future, which limit or influence subsequent functionality, the technical environment, budgets, implementation planning, project execution, and operations and maintenance activities.

From a fundamental perspective, the most important aspect of OBIS Modernization is an understanding that the functions of the Department to meet its mission cannot be interrupted.

3.3.1 Assumptions

- Total project costs will increase with longer project timelines due to the need to maintain and operate the current OBIS solution over a longer period of time.
- Funding to maintain and operate the current OBIS will continue until the new system is implemented.
- The proposed vendor solution will be either a Commercial of the Shelf (COTS) product, Cloud-based Software as a Service (SaaS) solution, or Cloud-based Customer Relationship Management and Enterprise Resource Management (CRM/ERP) Platform as a Service (PaaS) with correctional verticals. Vendors can propose a combination of one or more of the above and integrate them all to provide least Total Cost of Ownership (TCO) over 10 years.
- In addition, the vendor will propose service-oriented architecture, a range of appropriate technologies and tools like data integration, business rule-engines, with low-code/no-code frameworks with real-time interoperability and interfaces using application programming interfaces (APIs) and web services.



- The proposed vendor solution will be hosted in a Cloud environment that complies at a minimum with the FBI Criminal Justice Information Services (CJIS) Security Policy.
- The proposed vendor solution will be compliant with the National Institute of Standards and Technology (NIST), the FBI CJIS Security Policy, the Health Insurance Portability and Accountability Act of 1996 (HIPAA), and standards for protecting Personally Identifiable Information (PII).
- The proposed vendor solution will be compliant with Chapter 60GG-2, F.A.C., Florida Cybersecurity Standards, and Chapter 60GG-3, F.A.C., Data Center Operations.
- Vendors can implement the proposed solution in the designated timeframe, in the sequence prescribed, and in alignment with budgetary allocations/restrictions.
- The proposed vendor solution will increase operational efficiencies and effectiveness and eliminate manual processes which rely upon the use of ad-hoc tools.
- The cost avoidance from operational efficiencies and resource gains resulting from OBIS Modernization will be allocated to activities which directly support the Department's mission.
- The proposed vendor solution will use an architecture model that facilitates rapid and scalable deployment of the technical and functional requirements.
- The proposed vendor solution includes building interfaces with the current OBIS applications as functionality is modernized in phases.
- The current OBIS applications will remain the system of record for agency data until all functionality is tested and migrated to the modernized OBIS.
- The Department will employ the Organizational Change Management (OCM) activities required to successfully implement the recommended solution.
- The project team, both the Department and the vendor, will be staffed appropriately to complete the deliverables, achieve milestones, implement infrastructure changes, manage user involvement, and ensure proper testing.
- The proposed vendor solution will include automated data interfaces with other external agencies to preclude the storage of duplicate data.
- As a part of the business process re-engineering, the current interfaces will be analyzed if providing real-time access to data to reduce batch load and data exchange traffic.
- The Department's executive leadership and key project stakeholders will remain invested in the success of the project throughout the multi-year phased implementation.
- The end user computers and network connectivity is sufficient to support the use of a web-based user interface.
- The computers and mobile devices used to enter data without using paper will not negatively affect the safety of officers, staff, or inmates.
- The proposed vendor solution will provide offline data capture workflows with connected synchronization for data collection when connectivity is unavailable, which will be critical to reduce the need for paper-based data collection and manual workflows.
- The proposed vendor solution can be implemented in phases over a 5-year period.
- Implementation of the proposed vendor solutions will comply with Chapter 60GG-1, F.A.C., Florida Information Technology Project Management and Oversight Standards.
- The proposed vendor solution will consider public safety as an overarching goal of the Department.
- OBIS Modernization will not negatively affect operational continuity.



3.3.2 Constraints

- Potential vendors may prefer to implement OBIS Modernization in fewer phases over a shorter period, which may not match the approved funding model.
- Project activities, schedules, and milestones depend on the appropriate funding.
- State statutory changes, changes in administrative rules, and Department policy changes could affect the project.
- Specific software tools supporting desired capabilities will be determined based on the solution options proposed by the system integration vendor.
- There is a limit to the workload that Department staff can dedicate to OBIS Modernization each year.
- The current OBIS applications contain cross dependencies that will require ongoing operation of the legacy system during OBIS Modernization.
- During OBIS Modernization a temporary bridging interface is needed to maintain operational continuity and data integrity.
- There is a high level of risk associated with a phased implementation, which necessitates an emphasis on modernization strategies.



3.4 Milestones

Milestone	Deliverable(s) to Complete
Legislative Approval	Updated Schedule IV-B
Procurement (IV&V)	Solicitation Document and Contract
Procurement (Support resources and software)	Solicitation Document and Contract
Procurement (System Integrator)	Solicitation Document and Contract
Procurement (Organizational Change Management)	Solicitation Document and Contract
Project Kick-Off	Project Charter
Project Management Documents Completed	Various (See deliverable list)
Business Process Analysis Completed	As-Is Business Process Flows To-Be Business Process Flows
Acceptance of Functional and Technical Requirements	System Requirements Document Offender Management System Requirements Document
Acceptance of Validated Requirements	Validated Functional Requirements Document
Acceptance of User Interface Prototypes	User Interface Prototypes
Acceptance of Functional and Technical Design Specifications	Functional and Technical Design Specification documents
User Acceptance Testing Complete	NA
End User Training Complete	On-site training sessions Training materials
System Deployment	Functional system released into production
Project Close-out	Lessons Learned Knowledge Transfer Contract Compliance Checklist Project Close-out Checklist



3.5 Deliverables

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 project.
Meeting Minutes	Record of decisions, action items, issues, and risks identified during formal stakeholder meetings.
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.
Project Management Plan	<p>Includes the following documents as required by the FDC 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 OBIS 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 the Florida Offender Management System business processes, as reengineered by the vendor in conjunction with FDC subject matter experts. The process flows are developed using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.



Name	Deliverable Description
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"> • Environment/Platform/Tools used • Specifications for each functional module covering inputs, sources, processing, logic, outputs, and targets • Interactions/data exchanges with external systems • Interface API/Web-service specifications • Data Model/ERD • Data Dictionary • Technical Architecture (to include a hardware usage plan)
Design Demonstration	<p>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.</p>
Data Conversion Plan	<p>Plan for converting data from existing systems to meet the specifications of the new database design; to include detailed data conversion mapping.</p>
Organizational Change Management (OCM) Plan	<p>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. This includes Workforce Transition as roles may change with the implementation of new solution.</p>
OCM Status Reports	<p>Weekly status reports to project management team.</p>
Stakeholder Analysis	<p>Identifies the groups impacted by the change, the type and degree of impact, group attitude toward the change and related change management needs.</p>
Training Plan	<p>Defines the objectives, scope, and approach for training all stakeholders who require education about the new organizational structures, processes, policies, and system functionality.</p>
Change Readiness Assessment	<p>Surveys the readiness of the impacted stakeholders to "go live" with the project and identifies action plans to remedy any lack of readiness.</p>
IV&V Project Charter	<p>A document issued by the Project Sponsor that formalizes the scope, objectives, and deliverables of the IV&V effort.</p>
IV&V Status Reports	<p>Quarterly reports to the Executive Management Team.</p>



Name	Deliverable Description
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.
Training Plan	<ul style="list-style-type: none"> • Train the trainer • Train the user • Training manuals
System documentation	All the documentation required to enable FDC staff to trouble shoot, maintain and enhance the newer system.



4.0 INITIAL PROJECT PLAN

4.1 Estimated Budget

The total project cost is estimated to be \$118,364,500 over five years. This amount includes an additional four staff augmentation contractors and no additional FTE positions. The majority of the workload for OBIS Modernization will be performed by a contracted vendor procured pursuant to section 287.057, F.S.

Cost Component	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27	5-Year Total
Bandwidth Upgrade	\$20,000	\$40,000	\$40,000	\$40,000	\$40,000	\$180,000
Cloud Hosting	\$280,000	\$515,000	\$490,000	\$490,000	\$490,000	\$2,265,000
IV&V	\$2,000,000	\$2,000,000	\$2,000,000	\$2,000,000	\$2,000,000	\$10,000,000
Professional Services	\$8,520,500	\$12,368,500	\$25,136,000	\$20,462,000	\$17,500,000	\$83,987,000
Software	\$1,130,000	\$1,280,000	\$1,300,000	\$1,340,000	\$1,340,000	\$6,390,000
Staff Augmentation	\$1,040,000	\$1,040,000	\$1,040,000	\$1,040,000	\$1,040,000	\$5,200,000
Vendor Business Analysis	\$1,120,000	\$1,120,000	\$1,120,000	\$1,120,000	\$1,120,000	\$5,600,000
Vendor Project Management	\$982,500	\$992,500	\$917,500	\$927,500	\$922,500	\$4,742,500
Grand Total	\$15,093,000	\$19,356,000	\$32,043,500	\$27,419,500	\$24,452,500	<u>\$118,364,500</u>

4.2 Funding Source(s)

Funding for OBIS Modernization is dependent on approval of the Department’s FY 2022-23 Legislative Budget Request (LBR). Without funding approval, the project will not move forward.

4.3 Procurement Strategy

The recommended implementation strategy is a central component of managing the overall project risk. Before any software development can begin, an important amount of pre-implementation work must occur. Specific tasks in the pre-design, development, and implementation (Pre-DDI) stage include the establishment of a project management plan and governance structure, business process re-engineering activities, and organizational change management.

These Pre-DDI tasks are the catalyst and foundation for the success of the project. This also includes tasks which support the initiation of the program as well as tasks for on-going control, monitoring, and support of the overall project. The following tasks are part of this Pre-DDI work.



Pre-DDI Activity in OBIS modernization			
Year-0: FY 2021-20 Q1	Year-0: FY 2021-20 Q2	Year-0: FY 2021-20 Q3	Year-0: FY 2021-20 Q4
RFI	Procurement Strategy & Support		
	Establish Project Management Office, procedures		
	Organizational Change Management & Workforce Transition Planning		
	Business Process Re-engineering planning & Use Case Development		

- **Request for Information RFI** – Soliciting information on best practices and solution approaches being considered for comparative evaluation.
- **Procurement Strategy & Support** – Execute procurement and contract management strategy and activities to identify, evaluate and select the best value solution and service provider to achieve the desired outcomes.
- **Establish Project Management Structure** – Establish the overall project and data governance framework, structure and activities for the lifecycle of the project. Begin performing on-going monitoring, controlling, and issue resolution and escalation activities for the project.
- **Organizational Change Management and Workforce Transition** – Develop a change management strategy for the entire lifecycle of the project. Map the current workflows, both functional and technical, into the future operating model which includes the future business processes and technology solutions. This includes the mapping of roles and the required skill set needed.
- **Business Process Re-Engineering (BPR)** – Develop the future business process models and use cases that inform and validate functional requirements. Specific use cases would be used during the procurement effort to allow vendors to demonstrate functionality prior to vendor award.

With inclusion of the Pre-DDI tasks the Department considered various timelines appropriate for implementing the complete OBIS Modernization and determined that a 5-year timeline is appropriate for this approach. A shorter timeline would overburden Department staff and a longer timeline would increase the project costs; however, the vendor responses to a solicitation may affect the proposed timeline.

4.4 Project Schedule Estimate

The graphics below depict the high-level timeline for major activities or workstreams for the project.



Five Year Implementation of OBIS modernization				
Year-1: FY 2022-23	Year-2: FY 2023-24	Year-3: FY 2024-25	Year-4: FY 2025-26	Year-5: FY 2026-27
Procurement & Vendor Selection	Functional Group-1 Work Stream-1	Functional Group-1 Work Stream-3		
	Functional Group-1 Work Stream-2			
	Functional Group-2 Work Stream-1	Functional Group-2 Work Stream-2	Functional Group-2 Work Stream-3	
	Functional Group-3 Work Stream-1	Functional Group-3 Work Stream-2	Functional Group-3 Work Stream-3	
		Functional Group-4 Work Stream-1	Functional Group-4 Work Stream-2	Functional Group-4 Work Stream-3

Legend:

- Functional Group-X: Functions grouped according to priority for modernization
- WorkStream-1: Modernize Interfaces & user experience
- WorkStream-2: Reduce Mainframe Footprint
- WorkStream-3: Refactor/Rewrite functionality

5.0 PROJECT AUTHORITY

5.1 Project Sponsor(s) and Leadership Team

The project sponsor is responsible for championing the project and providing authority to the project manager to execute the project. The project sponsor governs the project through direction of the Project Leadership Team. The OBIS Modernization project sponsor is Deputy Secretary Ricky Dixon.

The project leadership team is made up of key stakeholders representing the different organizational areas involved with the project. These roles and responsibilities of the project leadership team is identified in Section 5.3.

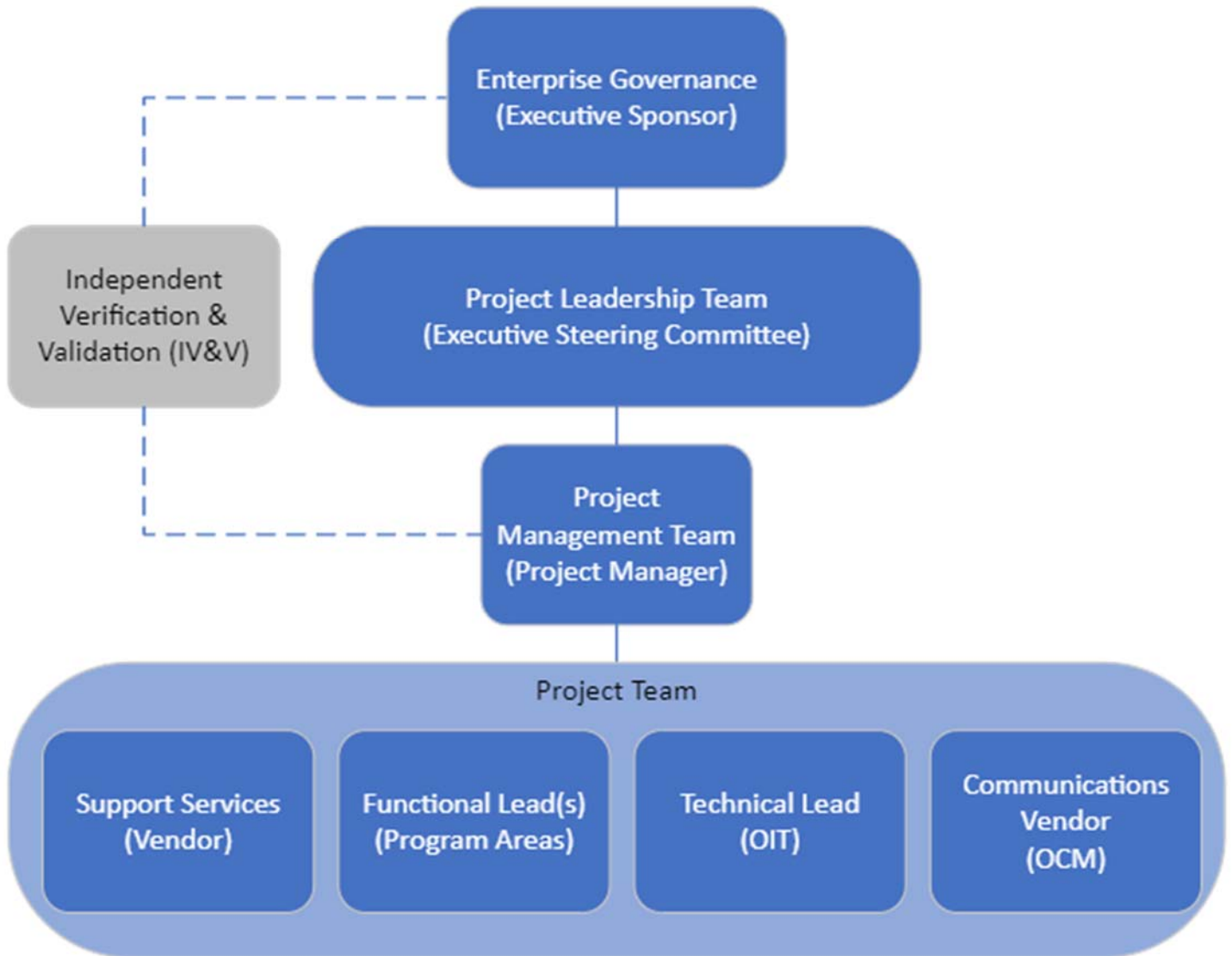
5.2 Project Manager

The project manager is responsible for managing the project and keeping the project leadership team and stakeholders informed. The OBIS Modernization project manager for the duration of pre-DDI activities is Danny Johnson.

5.3 Project Organizational and Governance Structure

The FDC Project Management Team will be headed by the FDC Project Manager 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 Services (FL[DS]) to ensure sufficient external project oversight is established and maintained.

For a project of this size and duration, the Department will implement a Project Management Team to monitor project issues and risks and provide general support to the Project Manager throughout the project. This team will be staffed with multiple Certified Project Management Professionals.



Role Name	Description	Assigned To
Executive Sponsor	<ul style="list-style-type: none"> Provides executive oversight to the project Acts as final escalation for decisions if these issues cannot be resolved by any of the three governance levels Directs governance 	FDC Deputy Secretary or Designee – Ricky Dixon



Role Name	Description	Assigned To
Project Leadership Team (Executive Steering Committee)	<ul style="list-style-type: none"> • Ensure the project meets overall objectives • Provide management direction and support to the Project Management Team • Assess the project's alignment with the strategic goals of the department • Review and approve or disapprove high-priority changes to the project's scope, schedule and costs. • Review, approve or disapprove and determine whether to proceed with any major project deliverables; and • Recommend suspension or termination of the project to the Governor, the President of the Senate, and the Speaker of the House of Representatives if determined that the primary objectives cannot be achieved. 	FDC Deputy Secretary or Designee, FDC Chief Information Officer, FDC Chief Financial Officer, FDC Chief Technology Officer, FDC Deputy Secretaries
IV&V vendor	<ul style="list-style-type: none"> • Verifies that the system is developed following 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 Sponsor(s) on IV&V activities 	Awardee from competitive procurement
Project Manager	<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 Team for the project • Liaison with Project Leadership Team for internal and budget resources 	FDC Designee
Project Management Team	<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 Executive Steering Committee for resources • Works with System Integrator Project Manager to ensure stakeholder needs are met • Has daily decision-making authority • Oversees and manages project plan • 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 	Whether outsourced or staffed internally, this role will report to and be managed within the structure and guidelines of the FDC PMO.



Role Name	Description	Assigned To
Systems Integrator (SI) Project Manager	<ul style="list-style-type: none">• Reports to the Project Manager• Works with the Project Management Team 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 FDC standards• Facilitate project related meetings as required	SI vendor

6.0 PROJECT RISKS

6.1 Risk and Complexity Category

The Florida Information Technology Project Management and Oversight Standards, Rule 60GG-1, F.A.C, requires agencies to complete a risk and complexity assessment for all IT projects to determine the minimum level of project management required for each IT-related project. This project is scored as a Category 4, representing High Risk and High Complexity projects, according to Florida Digital Services (FLDS) Risk and Complexity Assessment Tool (Rule 60GG-1, F.A.C.). The project will be managed accordingly using FLDS and Project Management Institute (PMI) standards and practices and include oversight from FLDS.

6.2 Initial Project Risks

The overall risk assessment of the project is rated as “High” based on the Schedule IV-B risk assessment tool. This rating reflects assessment ratings of “Medium” in three of the eight assessment areas and “High” in five areas of eight areas. As would be expected at this early stage, the project carries some risk. It is expected that overall project risk will diminish significantly by the conclusion of the first year when the project structure is fully in place and the foundational process and technology elements have been implemented.

The categories assessed as high risk and the primary causes for that assessment level include:

- Technology Exposure Assessment – because the technology approach has been conceptually identified and the resources needed will be external to the Department throughout implementation. There will be a learning curve for current staff for future sustainability and support.





- Organizational Change Management – because the new system will enable cross organization integration capabilities, the change related to the system is considered extensive. Extensive change can be a significant risk because staff is not adept at dealing with changes of this size.
- Communication Assessment – because the new systems have many external stakeholders the communication required is extensive.
- Fiscal Assessment – the size and 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.
- Project Organization – the duration of the project and less than full time commitment of some of the project team members are a significant risk.
- Project Complexity - because the proposed project is larger than any other project performed by the Department and involves more than 3 stakeholders, this assessment area was also rated as High. For a project of this type this risk level is expected.





7.0 PROJECT APPROVALS

The undersigned acknowledge they have reviewed the **OBIS Modernization Project Charter** and agree with the information contained herein. The undersigned hereby give the project manager the authority to apply the approved level of organizational resources to project activities.

Signature:  Date: 9/14/21
 Print Name: Ricky Dixon
 Title: Deputy Secretary
 Agency: Florida Department of Corrections
 Role: Project Sponsor

Signature:  Date: 9/13/21
 Print Name: Mark Tallent
 Title: Chief Financial Officer
 Agency: Florida Department of Corrections
 Role: _____

Signature:  Date: 9/13/21
 Print Name: Tim Fitzgerald
 Title: Chief of Staff
 Agency: Florida Department of Corrections
 Role: _____

Signature:  Date: 7/13/21
 Print Name: Wendy Ling
 Title: Chief Information Officer
 Agency: Florida Department of Corrections
 Role: _____

C. Draft Project Management Plan

The following document is the draft OBIS Modernization Project Management Plan.

FLORIDA DEPARTMENT OF CORRECTIONS

Office of Information Technology



OBIS MODERNIZATION PROJECT

PROJECT MANAGEMENT PLAN

VERSION 1.0



CONTACTS

Agency Project Manager:		Agency Project Sponsor:	
<i>Danny Johnson, PMP</i>		Deputy Secretary Ricky Dixon	
Phone:	850-717-9746	Phone:	850-717-3030
Email:	Danny.Johnson@fdc.myflorida.com	Email:	Ricky.Dixon@fdc.myflorida.com

DRAFT



SIGNATURE AND ACCEPTANCE PAGE

I have reviewed this Project Management Plan (PMP) and agree that the content of the document is accurate and clearly describes the project management methodology for the project.

Signature: _____ Date: _____
 Print Name: **Ricky Dixon**
 Title: **Deputy Secretary**
 Agency: **Florida Department of Corrections**
 Role: **Project Sponsor**

Signature: _____ Date: _____
 Print Name: **Mark Tallent**
 Title: **Chief Financial Officer**
 Agency: **Florida Department of Corrections**
 Role: _____

Signature: _____ Date: _____
 Print Name: **Tim Fitzgerald**
 Title: **Chief of Staff**
 Agency: **Florida Department of Corrections**
 Role: _____

Signature: _____ Date: _____
 Print Name: **Wendy Ling**
 Title: **Chief Information Officer**
 Agency: **Florida Department of Corrections**
 Role: _____

Signature: _____ Date: _____
 Print Name: **Danny Johnson**
 Title: **Project Manager**
 Agency: **Florida Department of Corrections**
 Role: _____



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1 EXECUTIVE SUMMARY

This Project Management Plan (PMP) provides methodology, plans, and processes for effective execution and management of the OBIS Modernization project. This plan identifies the project's:

- Scope
- Approach
- Organizational and Governance Structure
- Resource Plan
- Work Breakdown Structure
- Schedule Management Plan
- Cost Management Plan
- Procurement Management Plan
- Communications Management Plan
- Change Management Plan
- Organizational Change Management Plan
- Quality Management Plan
- Risk and Issue Management Plans
- System Security Plan

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

2 PROJECT SCOPE

2.1 Project Summary

The purpose of the project is to select a vendor to serve as the system integrator in developing a modernized OBIS solution, re-engineering business processes, and leveraging technologies with the scalability and flexibility of integrating applications in a modular, service-oriented architecture over a five-year period. The tangible benefits include reduced operational costs, reduced dependency on data processes, reduced data entry and erroneous data, increased system accessibility, and reduced storage costs for records retention for FDC, specifically within Institutions and Community Corrections. The intangible benefits of the project include increased quality assurance, increased data sharing within the Department and program areas outside of FDC, decreased IT HelpDesk Support calls, and workload savings achieved by streamlining redundant processes and implementing system standards.

2.2 In Scope

The scope of this project is to procure a system integrator (SI) to manage and lead the re-engineering of all business processes, and design, develop, test, and implement a modernized OBIS solution in an estimated 5-year time period, at an estimated total cost of \$118 million. The SI will address the following FDC functional and technical areas, each with 3 workstreams, aligned in support of the Department's priorities:



Pre-DDI Activity in OBIS modernization			
Year-0: FY 2021-20 Q1	Year-0: FY 2021-20 Q2	Year-0: FY 2021-20 Q3	Year-0: FY 2021-20 Q4
RFI	Procurement Strategy & Support		
	Establish Project Management Office, procedures		
	Organizational Change Management & Workforce Transition Planning		
	Business Process Re-engineering planning & Use Case Development		

Five Year Implementation of OBIS modernization					
	Year-1: FY 2022-23	Year-2: FY 2023-24	Year-3: FY 2024-25	Year-4: FY 2025-26	Year-5: FY 2026-27
Procurement & Vendor Selection	Functional Group-1 Work Stream-1	Functional Group-1 Work Stream-3			
	Functional Group-1 Work Stream-2				
	Functional Group-2 Work Stream-1	Functional Group-2 Work Stream-2	Functional Group-2 Work Stream-3		
		Functional Group-3 Work Stream-1	Functional Group-3 Work Stream-2	Functional Group-3 Work Stream-3	
			Functional Group-4 Work Stream-1	Functional Group-4 Work Stream-2	Functional Group-4 Work Stream-3

Legend:

- Functional Group-X: Functions grouped according to priority for modernization
- WorkStream-1: Modernize Interfaces & user experience
- WorkStream-2: Reduce Mainframe Footprint
- WorkStream-3: Refactor/Rewrite functionality

Application Functionality Grouping for Sequencing Modernization			
Group-1	Group-2	Group-3	Group-4
<u>Community Corrections</u> Offender intake management, Offender release, Offender risk and needs assessment <u>Information Technology:</u> Bridge Technology, Enterprise Reporting, Infrastructure / Replatform <u>Institutions</u> Disciplinary Report (DR), Emergency Operations, Inmate Classification Assessment, Inmate Reception, Risk and Needs Assessments, Sentence Structure, Release Day calculation, Support Release & Management <u>Integration</u> Support Internal & integrations, Support Internal & interfaces,	<u>Community Corrections</u> Offender Supervision <u>Core OBIS Functionality</u> Case / Records management, Court Order Payments, Data analytics, Financial Management, Scheduling, Workflow Management <u>Information Technology</u> Database, Data Warehouse and DataMarts, Support Tools & Maintenance <u>Institutions</u> Identification Badges, Livescan, RapidID, Inmate Custody Assessment, Security Threat group, Support Emergency Management, Support Sex & Offenders, Vocational Training <u>Integration</u> Support External & interfaces	<u>Community Corrections</u> Community Supervision, Community Corrections, Incident Management <u>Core OBIS Functionality</u> Pre-sentencing investigations <u>Institutions</u> Facility Population Tracking, Inmate Education, Inmate Housing Assessment, Inmate Movement Tracking, Inmate Release, Inmate Trust Fund, PREA, Support Grievances, Transportation Scheduling	<u>Community Corrections</u> Investigations Offender absconder management Offender transfer <u>Core OBIS Functionality</u> Audits Document Management Victim Information <u>Institutions</u> Drug Testing Interstate Compact Property Management Support Facility & Supervision Support Job & Assignment Visitation management



Also Included in the project scope:

- Establishment of a Project Management Team
- 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 OBIS Enhancement/Replacement 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.
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.

2.3 Out of Scope

Due to the broad scope of a system replacement project, anything not stated as in-scope, is considered out of scope for this project.



2.4 Project Objectives

This project will meet the following objectives:

Objectives	Priority
Provide a mobile enabled web-based system that comports with current technology platforms, improving usability for the Department.	1
Provide a sustainable and scalable architecture that supports dynamic process modification resulting from legal mandates and changes	2
Provide a system that can leverage and integrate external and internal data sources in real-time. Provide customized data views for interfaces supporting one-version-of-truth and data analytics to inform security and safety mandates and to measure systemic performance across the full corrections spectrum.	3
Provide a system with a workload management component to manage agency business processes effectively and efficiently.	4
Provide an interoperable and fully functional offender management system to access accurate and complete information that ensures public safety and meets the demands of a dynamic, data intensive correctional environment.	5
Provide a system that leverages modern technologies to attract and retain skilled technologists and support staff.	6
Provide a phased implementation plan identifying the functional, budget, resource, and procurement requirements to ensure a cost effective and realistic acquisition process.	7

2.5 Assumptions and Constraints

OBIS Modernization is dependent upon a wide range of assumptions and constraints. Assumptions refer to things which are, based on functional, technical, statutory, and/or best practices, believed to have potential impact on the overall goals of the project. Constraints are defined as things that are known to prevail today or will be required in the future, which limit or influence subsequent functionality, the technical environment, budgets, implementation planning, project execution, and operations and maintenance activities.

From a fundamental perspective, the most important aspect of OBIS Modernization is an understanding that the functions of the Department to meet its mission cannot be interrupted.

2.5.1 Assumptions

- Total project costs will increase with longer project timelines due to the need to maintain and operate the current OBIS solution over a longer period of time.
- Funding to maintain and operate the current OBIS will continue until the new system is implemented.
- The proposed vendor solution will be either a Commercial of the Shelf (COTS) product, Cloud-based Software as a Service (SaaS) solution, or Cloud-based Customer Relationship Management and Enterprise Resource Management (CRM/ERP) Platform as a Service (PaaS) with correctional verticals. Vendors can propose a combination of one or more of the above and integrate them all to provide least Total Cost of Ownership (TCO) over 10 years.
- In addition, the vendor will propose service-oriented architecture, a range of appropriate technologies and tools like data integration, business rule-engines, with low-code/no-code frameworks with real-time interoperability and interfaces using application programming interfaces (APIs) and web services.



- The proposed vendor solution will be hosted in a Cloud environment that complies at a minimum with the FBI Criminal Justice Information Services (CJIS) Security Policy.
- The proposed vendor solution will be compliant with the National Institute of Standards and Technology (NIST), the FBI CJIS Security Policy, the Health Insurance Portability and Accountability Act of 1996 (HIPAA), and standards for protecting Personally Identifiable Information (PII).
- The proposed vendor solution will be compliant with Chapter 60GG-2, F.A.C., Florida Cybersecurity Standards, and Chapter 60GG-3, F.A.C., Data Center Operations.
- Vendors can implement the proposed solution in the designated timeframe, in the sequence prescribed, and in alignment with budgetary allocations/restrictions.
- The proposed vendor solution will increase operational efficiencies and effectiveness and eliminate manual processes which rely upon the use of ad-hoc tools.
- The cost avoidance from operational efficiencies and resource gains resulting from OBIS Modernization will be allocated to activities which directly support the Department's mission.
- The proposed vendor solution will use an architecture model that facilitates rapid and scalable deployment of the technical and functional requirements.
- The proposed vendor solution includes building interfaces with the current OBIS applications as functionality is modernized in phases.
- The current OBIS applications will remain the system of record for agency data until all functionality is tested and migrated to the modernized OBIS.
- The Department will employ the Organizational Change Management (OCM) activities required to successfully implement the recommended solution.
- The project team, both the Department and the vendor, will be staffed appropriately to complete the deliverables, achieve milestones, implement infrastructure changes, manage user involvement, and ensure proper testing.
- The proposed vendor solution will include automated data interfaces with other external agencies to preclude the storage of duplicate data.
- As a part of the business process re-engineering, the current interfaces will be analyzed if providing real-time access to data to reduce batch load and data exchange traffic.
- The Department's executive leadership and key project stakeholders will remain invested in the success of the project throughout the multi-year phased implementation.
- The end user computers and network connectivity is sufficient to support the use of a web-based user interface.
- The computers and mobile devices used to enter data without using paper will not negatively affect the safety of officers, staff, or inmates.
- The proposed vendor solution will provide offline data capture workflows with connected synchronization for data collection when connectivity is unavailable, which will be critical to reduce the need for paper-based data collection and manual workflows.
- The proposed vendor solution can be implemented in phases over a 5-year period.
- Implementation of the proposed vendor solutions will comply with Chapter 60GG-1, F.A.C., Florida Information Technology Project Management and Oversight Standards.
- The proposed vendor solution will consider public safety as an overarching goal of the Department.
- OBIS Modernization will not negatively affect operational continuity.



2.5.2 Constraints

- Potential vendors may prefer to implement OBIS Modernization in fewer phases over a shorter period, which may not match the approved funding model.
- Project activities, schedules, and milestones depend on the appropriate funding.
- State statutory changes, changes in administrative rules, and Department policy changes could affect the project.
- Specific software tools supporting desired capabilities will be determined based on the solution options proposed by the system integration vendor.
- There is a limit to the workload that Department staff can dedicate to OBIS Modernization each year.
- The current OBIS applications contain cross dependencies that will require ongoing operation of the legacy system during OBIS Modernization.
- During OBIS Modernization a temporary bridging interface is needed to maintain operational continuity and data integrity.
- There is a high level of risk associated with a phased implementation, which necessitates an emphasis on modernization strategies.

2.6 Milestones

Milestone	Deliverable(s) to Complete
Legislative Approval	Updated Schedule IV-B
Procurement (IV&V)	Solicitation Document and Contract
Procurement (Support resources and software)	Solicitation Document and Contract
Procurement (System Integrator)	Solicitation Document and Contract
Procurement (Organizational Change Management)	Solicitation Document and Contract
Project Kick-Off	Project Charter
Project Management Documents Completed	Various (See deliverable list)
Business Process Analysis Completed	As-Is Business Process Flows To-Be Business Process Flows
Acceptance of Functional and Technical Requirements	System Requirements Document Offender Management System Requirements Document
Acceptance of Validated Requirements	Validated Functional Requirements Document
Acceptance of User Interface Prototypes	User Interface Prototypes
Acceptance of Functional and Technical Design Specifications	Functional and Technical Design Specification documents
User Acceptance Testing Complete	NA
End User Training Complete	On-site training sessions Training materials
System Deployment	Functional system released into production
Project Close-out	Lessons Learned Knowledge Transfer Contract Compliance Checklist Project Close-out Checklist



2.7 Deliverables

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 project.
Meeting Minutes	Record of decisions, action items, issues, and risks identified during formal stakeholder meetings.
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.
Project Management Plan	<p>Includes the following documents as required by the FDC 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 OBIS 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 the Florida Offender Management System business processes, as reengineered by the vendor in conjunction with FDC 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"> • Environment/Platform/Tools used • Specifications for each functional module covering inputs, sources, processing, logic, outputs, and targets • Interactions/data exchanges with external systems • Interface API/Web-service specifications • 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.



Name	Deliverable Description
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.
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. This includes Workforce Transition as roles may change with the implementation of new solution.
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.
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> <p>Schedule Review Summary</p> <ul style="list-style-type: none"> • 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.



Name	Deliverable Description
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.
Training Plan	<ul style="list-style-type: none"> • Train the trainer • Train the user • Training manuals
System documentation	All the documentation required to enable FDC staff to trouble shoot, maintain and enhance the newer system.

2.8 Requirements Traceability

Requirements Traceability is the ability to trace from business requirements to the various design, build, and test components throughout all phases of the project. Requirements tracing is a practice that greatly increases the quality and reliability of a project’s final output while minimizing costly rework resulting from requirements errors. The project will use a Requirements Traceability Matrix (RTM) to confirm traceability across phases of the project.

Bidirectional traceability means that requirements can be traced both forwards and backwards ideally through each step of the project. Bidirectional traceability helps determine that the solution addresses the source requirements and that all requirements and deliverables can be traced to a baselined RTM.

The business and technical requirements that are documented as part of the Schedule IV-B shall be further refined and validated. Once the requirements are complete for each workstream they will be baselined. The baseline provides the inventory of confirmed requirements against which changes can be monitored and measured.

Beyond the baseline of these requirements, the following shall apply to support overall system quality:

1. Requirements altered or added as part of the requirements confirmation sessions will be recorded as part of the project’s Change Management Plan.
2. During the design phases of the Project, the first portion of the requirements traceability will be initiated whereby the design that supports a particular requirement will be noted.
3. During the User Acceptance testing phases, the second portion of the requirements traceability task would commence. During this task, the test scenario used to validate a particular requirement would be noted.
4. The requirements, at the conclusion of testing, would be evaluated prior to deployment to ensure the business requirements have been addressed.

3 PROJECT APPROACH

The OBIS Modernization Project will utilize the Software Development Lifecycle (SDLC) to complete program activities. The project utilizes **both waterfall and agile methodologies** for specific activities within the program.



3.1 Waterfall Methodology

A waterfall approach will be taken to manage certain activities and deliverables that have a natural progression and interdependency on each other. Examples include the development and documentation of the project charter, project management plan, resource on-boarding, project kick-off, etc. As the Project progresses, the waterfall methodology will be used to formalize the outcomes of the legacy system as-is reviews, gap analysis work, database design activities and development preparation. These deliverables will be constructed by gathering or creating documents, evaluating the legacy system programs as well as various discussions surrounding the existing database synchronization structure and challenges. These tasks are laid out in a traditional waterfall approach, having a natural order with predecessors and successors clearly defined within the program schedule. The overarching SDLC has a

multitude of stage containment activities. There is an evaluation of the Program’s progress at various points to ensure work has been completed and stakeholder approval has been achieved in order to proceed to the next stage of activities.

3.2 Agile Methodology

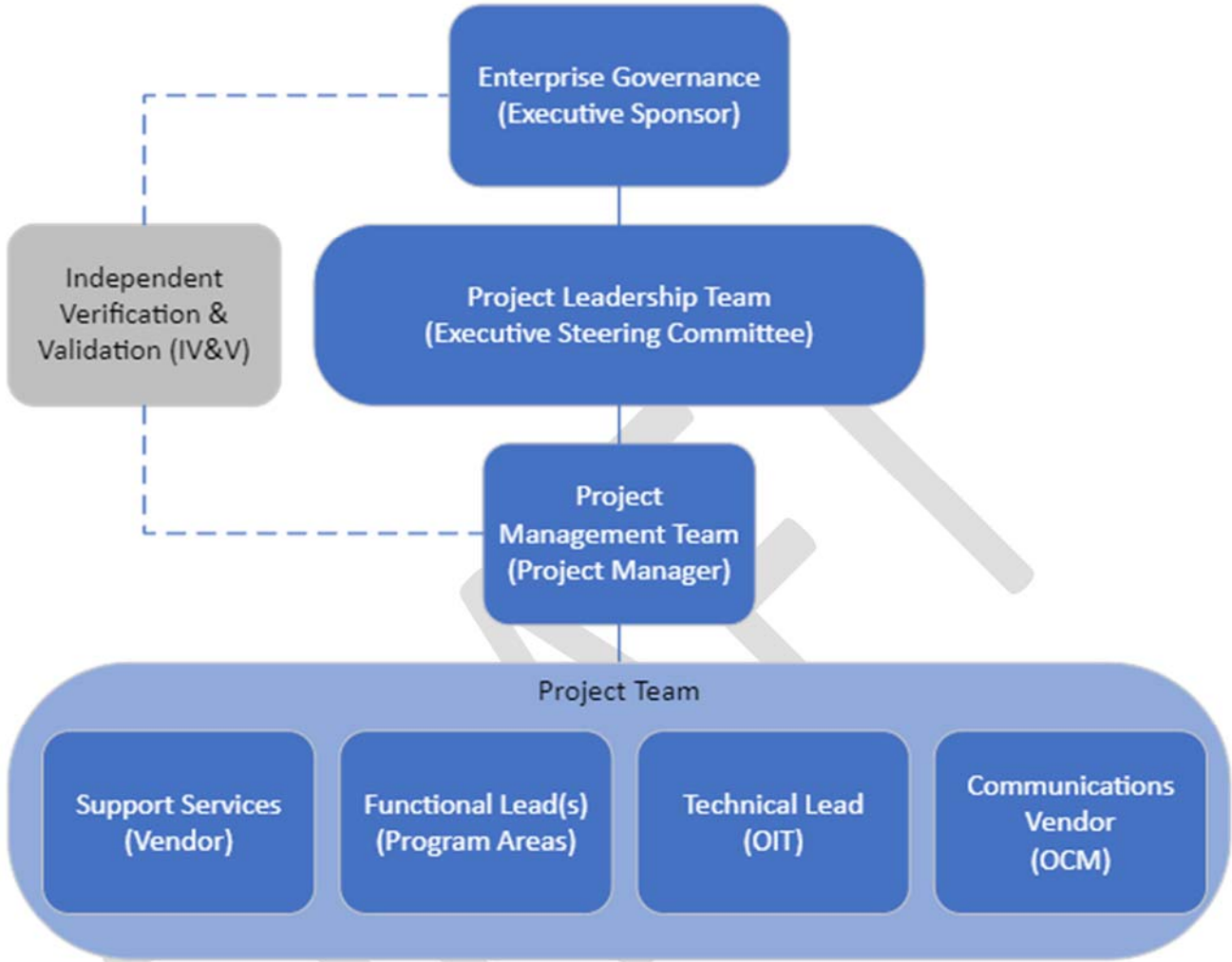
The OBIS Modernization Project leverages the agile methodology in recognition that the business rules and requirements for all projects will continue to be refined in an iterative manner leading up to development. With a multitude of stakeholder groups, the agile approach allows representatives to prioritize their requirements and business needs, formulate user stories, document epics and do so on a planned, incremental basis. With the agile methodology, a group of project members forms a “Scrum Team”. This will be a collection comprised of internal stakeholders, customers (or their representatives), a product owner, the development and testing teams and a Scrum Master. As requests are gathered from the stakeholders, a “Backlog” is formed and inventoried. Sprints are then planned to take focused requests from the backlog and develop a reviewable work product.

4 PROJECT ORGANIZATIONAL AND GOVERNANCE STRUCTURE

Effective Governance provides strategic direction to a project, helps remove barriers for the project team, and authorizes human, financial, or material resources to be allocated based on expected performance and benefits. For issues that are beyond the control of the project manager or team, the Project Steering Committee and Agency Management serve as an escalation path.



4.1 Project Organizational & Governance Chart



4.2 Identify Stakeholders

Key stakeholders will be confirmed during the planning phase of the project (FY21-22). The stakeholders will be captured in the project stakeholder registry, a table identifying all stakeholders and project participants to include their level of involvement or how they are impacted by this project.

An initial list of key stakeholders is developed and available in the accompanying Schedule IV-B.

4.3 Identify Project Team

The Project Team will be identified and confirmed during the planning phase of the project (FY21-22). Team membership will be updated throughout the lifecycle of the project as additional resources are identified and/or procured. All project team members will be logged and maintained in the project stakeholder registry.



4.4 Project Governance Process

The Project’s Governance Process consists of three levels of governance: the Project Leadership Team, the Project Management Team, and the Project Team. The roles and responsibilities for each level are defined within the decision escalation matrix in section 4.5. The individuals that make up each governance level will be identified during the planning phase of the project (FY20-21). Governance will take place during reoccurring status meetings, tentatively scheduled monthly. In the result a critical change or decision is needed, emergency meetings of any of the governing bodies may be scheduled at the Project Manager’s discretion.

4.5 Escalation Process

	Schedule	Scope	Budget	Risks / Issues	Resources
Governance Body	<i>Decisions involving the creation and management of the project’s Integrated Master Schedule (IMS). Includes any cross-project dependency identification and management.</i>	<i>Decisions involving the development and management of the project’s scope. Includes management of both product and project scope.</i>	<i>Decisions involving the creation and management of the project’s budget</i>	<i>Decisions involving potential impacts (risks) and issues that may jeopardize fulfillment of project objectives.</i>	<i>Decisions involving the acquisition and management of project resources.</i>
High Priority Items					
Project Leadership Team <i>Ensure the project meets overall objectives and:</i> <ul style="list-style-type: none"> - Provide management direction and support to the Project Management Team; - Assess the project’s alignment with the strategic goals of the Department; - Review and approve or disapprove high-priority changes to the project’s scope, schedule and costs. - Review, approve or disapprove and determine whether to proceed with any major project deliverables; and - Recommend suspension or termination of the project to the Governor, the President of the Senate, and the Speaker of the House of Representatives if determined that the primary objectives cannot be achieved. 	<ul style="list-style-type: none"> - Missed phase gate. - Schedule variances that will impact the IMS baseline (warranting re-baseline). - Significant schedule slippage that may include missing key deliverables or milestone dates. - Schedule variances that will case a delay in work along the critical path. - SPI trending < 0.90 (± 10%). 	<ul style="list-style-type: none"> - Changes in scope that impact the overall project definition and direction. - Legislative and/or policy directives. - Unstable project scope. - Deferral of functionality with impact to business objectives. - Go/No-Go decision points. 	<ul style="list-style-type: none"> - Spending over/under budget for an established reporting period (± 10%) - Changes to the overall project budget (allocation, distribution, etc.). - CPI trending < 0.95 variance across three (3) or more months. 	<ul style="list-style-type: none"> - Escalating or new risks that will most likely impact the success of the project. - Escalating or new issues that are impacting the success of the project. 	<ul style="list-style-type: none"> - Enterprise (cross-department) staffing and resource management (allocations).



	Schedule	Scope	Budget	Risks / Issues	Resources
Governance Body	<i>Decisions involving the creation and management of the project's Integrated Master Schedule (IMS). Includes any cross-project dependency identification and management.</i>	<i>Decisions involving the development and management of the project's scope. Includes management of both product and project scope.</i>	<i>Decisions involving the creation and management of the project's budget</i>	<i>Decisions involving potential impacts (risks) and issues that may jeopardize fulfillment of project objectives.</i>	<i>Decisions involving the acquisition and management of project resources.</i>
Medium Priority Items					
Project Management Team (Led by Project Manager) <i>Provide daily planning, management, and oversight of the project.</i>	<ul style="list-style-type: none"> - Isolated schedule slippage. Impact >5 working days to 10 working days and can be managed within the working team (unless on the critical path). - Schedule variances that will not cause a delay in work along the critical path. - Schedule variances that will not significantly impact the IMS baseline (not warranting re-baseline). - Decisions that affect a dependency external to the project 	<ul style="list-style-type: none"> - Minor changes to project scope (or requirement delays) that can be managed within the working team. Workaround exists. 	<ul style="list-style-type: none"> - Spending over/under budget for an established reporting period (\pm 5%). - Impact can be managed within the project budget. 	<ul style="list-style-type: none"> - New risks and issues that do not pose a significant threat to project success and can be managed within the working team. 	<ul style="list-style-type: none"> - Resource management (allocations) within the project.
Low Priority Items					
Project Team Lead(s) In consultation with the Project Manager <i>Provide daily planning, management, and oversight of the project's workstreams</i>	<ul style="list-style-type: none"> - Impact 5 business days or less and can be managed within the workstream (unless on the critical path). - Schedule variances that will not cause a delay in work along the critical path. - Schedule variances that will not significantly impact the project schedule baseline (not warranting re-baseline). - Decisions that affect a dependency internal to the project. 	<ul style="list-style-type: none"> - Minor changes to workstream scope (or requirement delays) that can be managed within the working team. Workaround exists. 	<ul style="list-style-type: none"> - Impact can be managed within the workstream. 	<ul style="list-style-type: none"> - New risks and issues that do not pose a significant threat to workstream success and can be managed within the working team. 	<ul style="list-style-type: none"> - workstream resource management (allocations).



5 RESOURCE PLAN

5.1 Human Resources

Human resource management is the process developed to effectively identify, acquire, and manage the resources needed to meet the project objectives. This includes defining what resources are needed, assessing appropriate skill sets, and determining when and how long resources are needed for the project. As such, the procedures within the resource management plan focus on assessing resource needs, escalating the need to project leadership, and managing the need through work re-assignment, training or on-boarding of additional personnel. Please refer to the OBIS Modernization Program Resource Plan that will be developed as part of the project initiation activities. The resource plan includes, for each anticipated person: the role on the project, the anticipated start date, the duration the resource will be needed and their assigned supervisor. The most current version of the resource plan shall be kept as part of the Project Control Book. Project resource planning does not account for resources contracted through the Support Services vendor.

5.2 Equipment/Materials Resources

All equipment, materials, and otherwise non-human resources will be identified and managed as deliverables within the project. Resources will be acquired via state procurement processes.

6 WORK BREAKDOWN STRUCTURE

The project schedule is currently under development as part of the detailed planning occurring for the remainder of this fiscal year (FY 2021-22). The project management plan is a living document and will be updated throughout the life of the project.



7 PROJECT SCHEDULE MANAGEMENT PLAN

7.1 Project Schedule

The project schedule is currently under development as part of the detailed planning occurring for the remainder of this fiscal year (FY 2021-22). The project management plan is a living document and will be updated throughout the life of the project. A high-level schedule has been developed and is detailed below.

Pre-DDI Activity in OBIS modernization				
Year-0: FY 2021-20 Q1		Year-0: FY 2021-20 Q2		Year-0: FY 2021-20 Q3
RFI		Procurement Strategy & Support		
		Establish Project Management Office, procedures		
		Organizational Change Management & Workforce Transition Planning		
		Business Process Re-engineering planning & Use Case Development		

Five Year Implementation of OBIS modernization					
Year-1: FY 2022-23		Year-2: FY 2023-24		Year-3: FY 2024-25	
Procurement & Vendor Selection	Functional Group-1 Work Stream-1	Functional Group-1 Work Stream-3		Legend: <ul style="list-style-type: none"> Functional Group-X: Functions grouped according to priority for modernization <u>WorkStream-1</u>: Modernize Interfaces & user experience <u>WorkStream-2</u>: Reduce Mainframe Footprint <u>WorkStream-3</u>: Refactor/Rewrite functionality 	
	Functional Group-1 Work Stream-2				
	Functional Group-2 Work Stream-1	Functional Group-2 Work Stream-2	Functional Group-2 Work Stream-3		
	Functional Group-3 Work Stream-1		Functional Group-3 Work Stream-2		Functional Group-3 Work Stream-3
			Functional Group-4 Work Stream-1		Functional Group-4 Work Stream-2
		Functional Group-4 Work Stream-3			

7.2 Schedule Management

Schedule management refers to the processes required to ensure timely completion of the program objectives. The Program Manager is responsible for establishing the baseline and updating the IMS weekly with input from the respective project managers and teams.

- The IMS will be resource leveled. Resource leveling is the project management function of resolving resource over-allocation. Over-allocation means that a resource has been assigned more work than can be accomplished in available time as dictated by the resource's calendar definition.
- Tasks will be completed according to the program schedule and within the established timeframes. In the event of a slipping task, the process described in the section below will be followed.



The IMS will be updated on a routine basis with input from the individual team leads and respective teams. The initial baseline will be set in Microsoft Project as “Baseline 0.” The Project Manager will be responsible for tracking and managing individual project tasks and reporting any slippage.

- The Project Manager will co-manage updates to the IMS with the Team Leads on a weekly basis. Information will be collected via weekly team meetings, analyzed, and reviewed collectively prior to incorporation. The updated IMS will be made available to all team members, reported in weekly status reports / meetings, and communicated to all governing bodies.
- The Project Manager will oversee the development of specific project tasks and manage resources to ensure that individual project objectives are met within the established timeframes.
- Weekly updates shall focus on recording the percent complete for tasks in 10% increments.

Schedule changes will be managed according to the Decision Escalation Matrix referenced in Section 4.5. Changes will follow the Change Management Process documented in Section 11. Schedule changes approved by the appropriate governing body will be documented in a separate spreadsheet that tracks the detailed description of the change, the person making the change, the version number of the schedule altered, and the rationale behind the requested change. Changes may not require an entirely new baseline and thus the baseline will also be tracked to document specific line item changes.

In accordance with IV&V and the Florida Digital Services (FLDS) project management expectations, the IMS will be tracked and monitored using the Schedule Performance Index (SPI) noting any standard deviations above or below 10% from the planned and actual start/finish dates, and the Cost Performance Index (CPI) noting changes to the overall program budget (allocation, distribution, etc.).

8 COST MANAMGENT PLAN

8.1 Project Estimated Budget

The Legislative Budget Request (LBR) submitted for FY 2022-23, estimates total project costs at \$118.4 million over five fiscal years. The budget for this project will be co-managed by the Project Manager and Contract and Budget Staff internal to the department. For detailed budget information, please refer to the Schedule IV-B Cost Benefit Analysis (CBA).

8.2 Project Spending Plan

The Contract and Budget Staff will develop an overall Project Spend Plan for each fiscal year that estimates the anticipated budget by month. The same budget information will be recorded in the PPM tool each month for monitoring and tracking by stakeholders.

The Contract and Budget Staff will review the budget information for all workstreams within the program once a month with the Program Manager and update the spend plan monthly to reflect actual expenditures to date for reporting to IV&V, FLDS, and the ESC.



8.3 Cost Management

Once a month, the Contract and Budget Staff and Project Manager will jointly review the planned budget and actual expenditures tracked in the Spend Plan to determine if the program is efficiently spending the resources. As specified in Section 13.4, Quality Assurance Assessments – Internal and External, the Contract and Budget Staff will review the Budget to Date as well as the overall Budget and report any variance.

All Team Leads will notify the Project Manager (and Contract and Budget Staff) in writing as to any anticipated budget revisions, the cause, and the impact to the project. In addition, the notification shall indicate when a decision is needed. This information shall be what is then used to initiate the Issue Management and Resolution process or the Change Control process, as agreed to by the Project Manager. For specific information on how budget issues will be handled, please refer to the Decision Escalation Matrix referenced in Section 4.5.

9 PROCUREMENT MANAGEMENT PLAN

9.1 Procurement Management Procedure

Any procurement of resources or services for the project will be conducted using State and Department policies and procedures. Specific procurement plans and approaches will be defined during the planning phase (FY 2021-22) of this project.

9.2 Contracts Management Procedure

Any contracts initiated for the project will be developed using State and Department policies and procedures. Specific contract management plans and approaches will be defined during the planning phase (FY 2021-22) of this project.

10 COMMUNICATIONS MANAGEMENT PLAN

Effective communication is one of the most important factors contributing to the success of the OBIS Modernization project.

Three clear communication channels will be established during the project organization and include:

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

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

The Project Manager will meet weekly with the Project Management Team. Monthly meetings will be held with the Executive Steering Committee (ESC). Any decisions made by the ESC or recommendations made by the Project Management Team will be documented and included in the project artifacts. For clarification of governance roles and escalation practices, please refer to the Decision Escalation Matrix referenced in Section 4.5.



Additionally, the Project’s Communication Consultant will be responsible for communications conducted as a part of Organizational Change Management (referenced in Section 12).

The following table details the project communications and meetings used to manage the project at this time. Additional details to the communications plan will be developed during the planning phase (FY 2021-22) of the project.

Project Communications				
Description	Target Audience	Delivery Method	Delivery Frequency	Owner
Project Control Book (includes risks, issues, action items, decisions, change control log, etc.)	Project Team, Project Management Team	Microsoft Teams	Weekly	Project Manager
Project Management Plan Document	Project Team, Sponsors, and Governing Bodies	Microsoft Teams	Within 30 days of approval	Project Manager
Status Reports	Project Team, Sponsors, and Governing Bodies	Microsoft Teams, Email	Monthly	Project Manager
Integrated Master Schedule (IMS)	Project Team, Sponsors, and Governing Bodies	Microsoft Teams, Email	Weekly	Project Manager
Support Services Vendor Deliverables	Project Team, Sponsors, and Governing Bodies	Microsoft Teams	Per Contractual Agreement	Vendor Project Manager
Periodic Demos and Presentations	Specific functional areas/groups, Sponsors, Governing Bodies	Presentation	As needed	Dependent on material
Meetings				
Description	Target Audience	Delivery Method	Delivery Frequency	Owner
Project Management Team Meeting	Project Management Team, Project Team	Meeting	Weekly	Project Manager
Executive Steering Committee	Sponsors, Executive Steering Committee Members	Meeting	Monthly	Project Manager

10.1 Updates to the Communications Plan

The Project’s Communications Plan will be updated by the Communications Consultant quarterly and distributed via e-mail.



10.2 Documentation Standards

The following Document Management Guidelines are in place to support the project:

- Version history is tracked for all documents within the PCB
- Document feedback and approvals are logged in the PCB
- Drafts and Final Submission Deliverables are clearly distinguished
- Approved Documents are stored in a separate folder in the PCB
- Document control information is captured for all official deliverables

10.2.1 Document Naming Conventions

Deliverable Expectation Document (DED)

The Deliverable Expectation Document (DED) naming standard (one DED for every deliverable) is as follows:

DED Del # - <Deliverable Name> v #.

Versions will be 1.0 for initial submission and increment by whole numbers for each formal submission. Incremental updates will utilize the minor version increments (e.g., 1.1, 1.2, and 1.3). All versions will be recorded in the document control section at the beginning of the document.

Deliverables

The Deliverable naming standard is as follows:

Del # - <Deliverable Name> v #.

Versions will be 1.0 for initial submission and increment by whole numbers for each formal submission. Incremental updates will utilize the minor version increments (e.g., 1.1, 1.2, and 1.3). All versions will be recorded in the document control section at the beginning of the document.

Deliverable Consolidated Comments

The Deliverable Consolidated Comments naming standard is as follows:

Del # - <Deliverable Name>Consolidated Comments v #.

Versions will be 1.0 for initial submission and increment by whole numbers for each formal submission. Incremental updates will utilize the minor version increments (e.g., 1.1, 1.2, and 1.3). All versions will be recorded in the document control section at the beginning of the document.



10.3 Centralized Document Repository

The Project Manager will establish a Project Control Book for the OBIS Modernization Project within the Department's Microsoft Teams application. The Project Control Book contains artifacts specific to the project management aspects of the project as well as memorandums and meeting minutes. The Project Manager or their designee shall be responsible for publishing artifacts to this repository. Once available, a link to the specific 'Team' within Microsoft Teams will be added in this section.

11 CHANGE MANAGEMENT PLAN

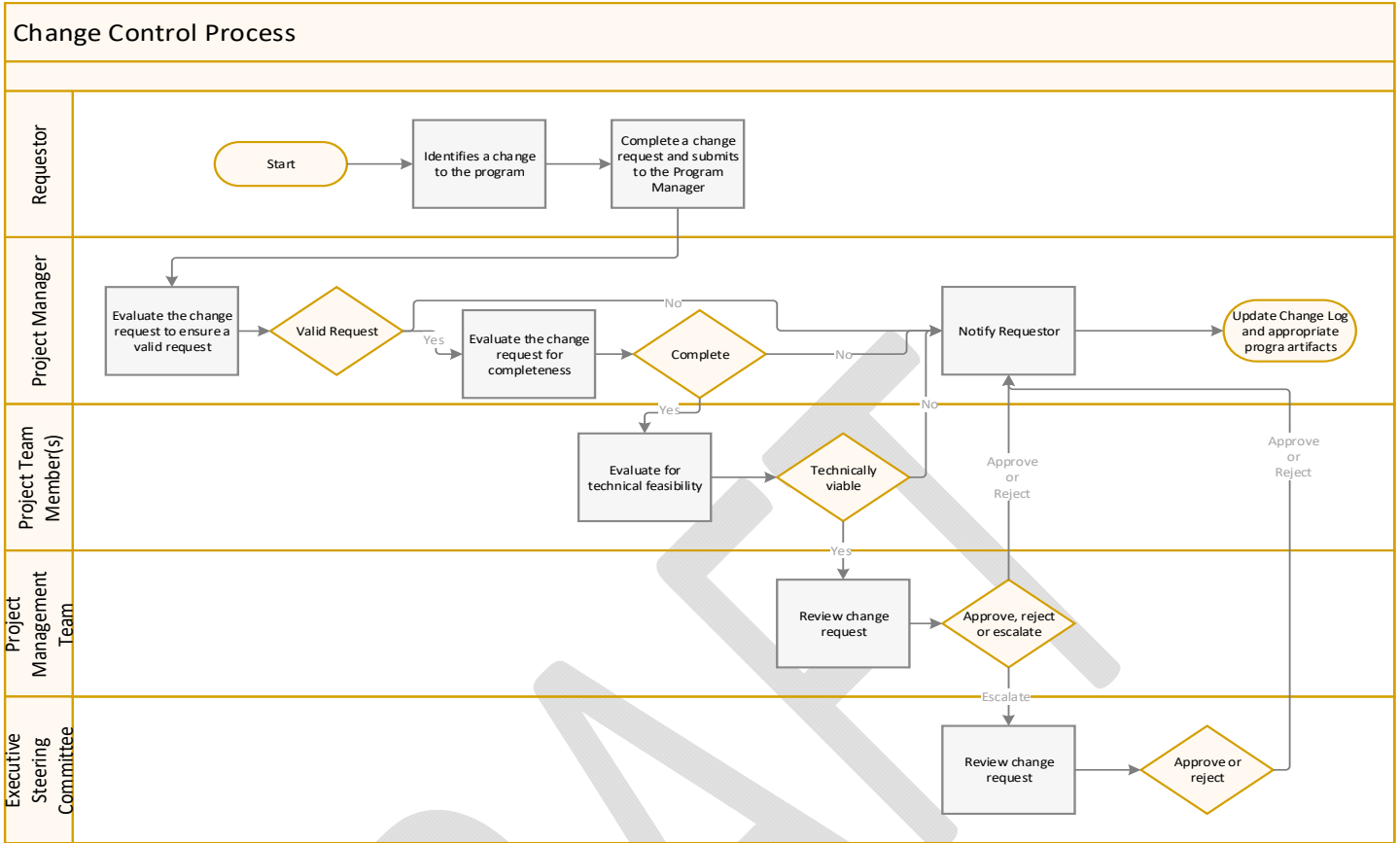
Changes should be expected during the project. These changes can result from the realization of risks, externally imposed requirements, estimation errors, leadership decisions, or adoption of new approaches to gain efficiency. Regardless the source, it is important that changes be managed to minimize adverse impacts to the project. Any change affecting scope, schedule, or cost initiates the change management process. Change management activities are subject to the governance and escalation processes described in the Organizational and Governance Plan.

11.1 Change Control Process

Below is a brief description of the change control process.

- A change to the project is identified.
- A change request is submitted to the Project Manager.
- The Project Manager will ensure the change is within the project's scope, identify impacts to the project's cost, schedule, and resources, and obtain specific requirements to implement the change.
- Change request is then evaluated for technical feasibility.
- Results of the change request evaluation are provided to the Project Management Team (PMT).
- PMT may approve, reject, or escalate to the Executive Steering Committee.
- If escalated, Governance team members will review the request and vote to either approve or reject the request.
- Requestor is notified of decision.

Please refer to the Change Management Process depicted on the following page:



11.2 Track Project Changes

All change requests will be tracked and managed via the change control log. The previously defined governance processes will be used to control changes.

12 ORGANIZATIONAL CHANGE MANAGEMENT PLAN

The goal of change is to improve the organization by altering what and/or how work is done. The re-engineering of the OBIS technology environment will affect business processes, skill sets, roles, and responsibilities. Change management activities are integral to the success of the project. Organizational change management (OCM) activities are facilitated by the project’s Communications Consultant. OCM outlines the activities necessary to ensure staff participation in process development and improvement, skill set changes, and technology acceptance. Examples of these activities are the communication of project goals and benefits, documentation and communication of solution vendor/Department roles/responsibilities, development and communication of new process maps/roles, development and communication of a skills gap analysis, and the development and communication of a training plan.



Organizational change management (OCM) planning documents will be developed by the Department for OBIS Modernization. These include the following artifacts:

- **Communications Strategy and Plan:** Helps to manage expectations about the OBIS Modernization project and provides consistent messages among project team members, eventual end-users of the solution and other impacted stakeholders. Included as a component of this document is a tactical Communication Plan that charts out recurring and one-time communication events. This living document will be updated on a quarterly basis.
- **Organizational Analysis:** Details key aspects of the various end-user groups (internal and external, as applicable) for consideration into the to-be business processes and technology. It is intended to provide a gap-analysis of the end-user groups’ current and future work environments, tasks and activities, and knowledge, skills and abilities.
- **Training and Performance Support Strategy:** Details the overarching training needs and objectives for the project, per the Organizational Analysis. It also describes the various training methods (ex: Instructor-led, Web-based, Videos, Online Tip-sheets) that will be used; lays out a general training curriculum per user group; and describes any point-of-deployment and/or ongoing performance support mechanisms that will be used, such as help desks / user support sites.

The Support Services Vendor will have a series of OCM focused deliverables and activities as part of the contracted services. The vendor will work closely with the Communications Consultant as well as other members of the Project Team to conduct the activities and gather information to construct these OCM deliverables as outlined in the contract. The Communications Consultant will facilitate execution of the OCM plans and conduct periodic OCM readiness assessments throughout the project’s life cycle to measure progress of closing gaps identified in the Organizational Analysis. Please refer to the program’s PCB for additional information on OCM (once established).

13 QUALITY MANAGEMENT PLAN

The Quality Management Plan describes how quality will be managed throughout the lifecycle of the project. As part of the reporting and monitoring performed by Florida Digital Services (FLDS) as well as IV&V, the project will implement quality metrics to support transparency, traceability, and accountability against business objectives and benefits realization. The following tools will be used to manage quality of the project.

Tool	Description
Earned Value Management (EVM)	The Integrated Master Schedule (IMS) will be analyzed for earned value (EV) against the approved baseline.
Budget Variance	The IMS and Spend Plan will be analyzed for cost performance against the approved baseline.
Schedule Performance Index (SPI)	The IMS will be analyzed for schedule performance against the approved baseline.
Cost Performance Index (CPI)	The IMS will be analyzed for schedule performance against the approved baseline.



Tool	Description
<p>Status Reports</p>	<p>The Project Manager will produce a weekly status report to keep stakeholders apprised, monitor the quality of the current project activities, and assess the likelihood of achieving key milestones. These status reports will also help monitor lessons learned and identify improvements for future phases and workstreams of the project.</p> <p>The weekly status report currently includes information to derive the following quality indicators:</p> <ul style="list-style-type: none"> • Progress against the baseline plan’s key milestones • Deliverables Progress – timeliness of submission, reviews, and approvals are key quality aspects for deliverables • Issues – Number of open priority issues and aging of issues • Risks – Total number of open Medium and High Risks • Action Items – Number and aging of open action items <p>Team members accountable for each workstream will provide the project manager with the data to support the Status Reports.</p> <p>Any Support Services vendor will produce:</p> <ul style="list-style-type: none"> • Weekly status reports for stakeholders • Monthly summary status reports for stakeholders
<p>Deliverable Expectations Document (DED)</p>	<p>The Project Team will work with the Vendor to document acceptance criteria for each deliverable, identify appropriate reviewers, and streamline the deliverable review process.</p>

The purpose of the Quality Management Plan is to outline the processes to instill quality in the deliverables produced and services provided. The plan outlines both quality assurance activities as well as quality management metrics.

The objectives of the Quality Management Activities are to:

- Identify and correct defects early in the process
- Evaluate a deliverable against project standards and deliverable expectations
- Reduce the number of errors as the work effort progresses
- Reduce time and costs resulting from rework
- Monitor adherence to agreed-upon project processes

For purposes of this document, quality is defined as the degree to which a system, deliverable, or process meets specified requirements. The Quality Management Plan is made up of quality activities that fit into three main categories:

- Deliverable Quality
- Process Quality
- System Quality



The following subsections outline the key activities within the deliverable quality assurance, process quality management, and system quality categories.

13.1 Deliverable Quality

Deliverable Quality is used to evaluate whether project deliverables comply with the standards and objectives of the stakeholders. A key step in formulating a quality deliverable is to establish a shared set of expectations of what should be contained within the deliverable, who should contribute to the deliverable, and ultimately who will be involved in the review and approval of the work product.

These tenets of the formal Project deliverables will be documented and agreed to as part of the OBIS Modernization Project's Deliverable Review Process.

13.2 Deliverable Review Process

Prior to starting the work to gather input and construct a deliverable, the Project manager and deliverable author will confirm those individuals that will be responsible for contributing to and/or reviewing a deliverable. The Project Manager or deliverable owner will draft a Deliverable Expectation Document (DED) for the deliverable. The DED provides the author(s) guidance and direction on the deliverable format, level of detail. Identifies individuals that will contribute to the deliverable, confirms the deliverable reviewers, and reiterates the deliverable's deadlines.

The DED is an important project artifact in aligning expectations for the deliverable, defining specific roles for the deliverable, and is used in the quality assurance peer reviews for each submission. For each deliverable (regardless of phase or deliverable review cycle), the peer review step relies on two documents to the quality assurance review: the approved DED and the consolidated comments from all reviewers noted in the approved DED as well as IV&V. Prior to the initial deliverable submission, the peer reviewer will make sure all sections in the DED are represented and address the content and format expectations outlined. For subsequent submissions, the peer reviewer will still evaluate the deliverable against the DED as well as evaluating the work product updates (or comment response) that were made for each comment received from the reviewers.

Outstanding points identified from the peer review are returned to the author(s). When another draft of the deliverable is available, the peer review process repeats. The Deliverable Review Process will be depicted visually and included here for reference upon approval of the Project and Organizational Governance Structures outlined within this document.



13.3 Deliverable Quality Metrics

The metrics for Deliverable quality are outlined in the following table. These metrics will be compiled and provided to the Project Manager and Project Director monthly.

Metric	Description	Target / Measurement
Number of Late Submitted deliverables	Count of deliverables originally planned for first submission in the prior month but whose delivery date was delayed.	Green: 0 Yellow: 1 to 2 Red: 3 or more
Mean duration of Deliverable Review Period	Mean calculation of the number of business days from the first period of the review until the deliverable is approved.	Green: 12 or fewer Yellow: 13 to 18 Red: 19 or more
Percent of planned approved deliverables not yet approved	Percentage of deliverables, since project start, that were planned to be approved but have yet to be approved	Green: ≤ 10% Yellow: 10% < to ≤ 25% Red: 25% >

13.4 Quality Assurance Assessments – Internal and External

The Department will contract with an Independent Verification and Validation (IV&V) vendor for the duration of the project to provide a baseline assessment of the overall quality of the project, monthly progress monitoring, quality checkpoints, recommended improvements, and validation of realized project objectives.

The FLDS will also perform monthly reports on the overall status of the project. The Project Manager will be responsible for providing the appropriate documents such as an updated IMS, Spend Plan, and any other requested documentation to support status updates which will be provided to legislative staff pursuant to Rule 60GG-1 of the Florida Administrative Code.

The project will use existing Department tools to assist in performing internal reviews for EVM, SPI, CPI, and probability of achieving key milestones. Monthly reporting to the Department’s Tier I Governance will include an assessment of the overall health of the project (red-yellow-green status) based on the following metrics for the reporting period:

Metric	Measurement	Target / Measurement	Reporting Period
Scope	Did the project experience a scope change that impacted the project’s costs, schedule or quality?	Green – No change in scope and scope is being managed Yellow – Scope change pending approval and impacts one of the three attributes Red – Scope change pending approval and impacts at least two of the three attributes	Weekly
Schedule	Are the Milestones and Deliverables on schedule?	Green: ≤ 5 business days Yellow: 6 < to ≤ 10 business days Red: 10 > business days	Weekly



Metric	Measurement	Target / Measurement	Reporting Period
Budget (to date)	Is the project within budget for this reporting period? Spend Plan (30-day period) are completed as of the last day of the previous month.	Green: Variance is $\pm 10\%$ Yellow: Variance is $\pm 11\%$ -20% Red: Variance is $\pm 21\%$ or greater	Monthly
Budget (overall)	Is the project within budget overall? Spend Plan (total project budget) are completed as of the last day of the previous month	Green: Variance is $\pm 10\%$ Yellow: Variance is $\pm 11\%$ -20% Red: Variance is $\pm 21\%$ or greater	Monthly
Issue	Is the number and/or severity of issues increasing and/or is the issue overdue for resolution?	Green – No new issue was reported and/or the previously reported issue is being managed and on-target for resolution by the completion date Yellow – A new issue was reported and/or the previously reported issue is not being managed and/or not on-target for resolution by the completion date Red – Two or more new issues were reported and/or the previously reported issue is not being managed and/or on-target for resolution by the completion date * Managed is defined as PM is providing actionable updates to the status report indicating that the issue is being worked	Weekly
Risk	Is the number and/or severity of risks stable or decreasing	Green – Risks are stable or decreasing Yellow – A new risk was added to the project Red – Multiple risks were added and/or a previously reported risk increased in probability	Weekly

13.5 System Quality

System Quality is used to evaluate whether the system development and configuration complies with the requirements and business processes identified in the planning phases of each workstream of the project. System Quality Activities include requirements traceability, testing and defect management, and stage containment activities.

13.5.1 Requirements Traceability

See [section 2.8](#)



13.5.2 Testing and Defect Management

Testing activities are one of the primary mechanisms for confirming system quality. The project will evaluate quality as it pertains to testing and defect management using the following metrics.

- Defect Creation Count by Program Area and Defect Severity (System and Integration Testing, Performance Testing, and User Acceptance Testing phases) – this quality metric will measure the number of defects that were created within distinct phases of the testing process categorized by Program Area (e.g., Security in Operations, Community Corrections, etc.) and severity
- Defect Root Cause Disposition by Program Area and Defect Severity (All testing phases) – this quality metric will provide a count by program area and severity based on the disposition of a defect: disposition groupings and types will be defined during the planning phase.
- Change Requests by Program Area (All testing phases) – this quality metric will provide the number of new requests that are escalated to the Change Management process
- Defect Resolution Aging Report (UAT phase only) – this quality metric will provide the median calculation as to duration of how long a defect takes to resolve and provide back to the user for validation
- Defect by Program Area Closure Report (UAT Phase only) – this quality metric will provide the median calculation, by program area, of how long it takes a business area to test and close defects that have been returned to them for validation

14 RISK AND ISSUE MANAGEMENT

Project risk and issue management focuses on identifying and prioritizing risks based on impact and probability. A risk is not necessarily a problem – it is a recognition that a problem or opportunity may impact the project. Conversely an issue *is* a current problem that unless resolved will negatively impact the project. In accordance with Florida Digital Services oversight and project management rule 60GG-1, the Department will identify a Risk Manager for the project. The Department plans to solicit the vendor community for a Risk Manager Consultant.

14.1 Defining a Risk

The risk and issue management plans are critical procedures for the OBIS Modernization project. A risk can be defined as an uncertain event or condition that, if it occurs, has a positive or negative impact on project’s objectives. Risks and issues will be managed at the project level as detailed in this plan.

The Risk Manager will monitor all project risks on an ongoing basis and maintain the risk register in the Project Control Book which includes the following information:

Risk Details	Description
Risk ID	The numeric ID assigned upon entry into the Project Control Book
Risk Name	The short risk name.



Risk Details	Description
Risk Status	<p>Field noting the status of the mitigation plan:</p> <p>New: Default value. Leave until initial risk review has occurred.</p> <p>Mitigation Plan Defined: Status of all risks actively accepted or being mitigated.</p> <p>Risk Became Issue: Status of risks escalated as an issue. Record the associated Issue Number in the Resolution field.</p> <p>Closed: Status of resolved risks that were not escalated to issues.</p>
Assigned To	The person assigned for overall risk responsibility.
Risk Description	<p>A detailed description of the risk.</p> <p>Risks should be documented using an “If...then...” framework to clearly capture the potential risk and impact in the statement.</p>
Impacted Areas	Ares the risk could impact – check all that apply – budget, hardware, management, physical, schedule, scope, staffing.
Date Logged	The date and time stamp the risk is entered into the Project Control Book.
Probability of Occurrence	<p>Ranking the potential for risk occurrence:</p> <p>Low: <10% chance of risk realization.</p> <p>Medium: 10%-60% chance of realization</p> <p>High: >60% chance of risk realization</p>
Mitigation Approach	<p>The risk response:</p> <p>Accept: This approach reflects a risk that is acknowledged as valid but cannot be avoided or mitigated.</p> <p>Avoid: This approach reflects a risk where steps are taken to disengage any activities associated with the inherent risk.</p> <p>Transfer: This approach reflects a risk that is transferred to another entity not associated with the OBIS Modernization project.</p> <p>Mitigate: This approach reflects a risk that has one to many identified actions that can be taken to reduce the probability and/or impact should the risk be realized.</p>



Risk Details	Description
Impact	<p>The probable impact on the project the risk would have if it is realized. Some risks could have a high probability, but the impact could be low and vice versa.</p> <p>Low: Variance to impacted area is anticipated to be < 10%.</p> <p>Medium: Variance to impacted area between 10% - 25%.</p> <p>High: Variance to impacted area is anticipated to be > 25%.</p>
Mitigation Description	Detailed risk response.
Anticipated Resolution Date	The latest date in the mitigation plan’s anticipated action completion. If there is no mitigation plan yet documented OR the risk is “accepted”, record the date two weeks out from the current date.
Actual Resolution Date	The actual resolution date when the risk is either closed, transferred, or escalated to an issue.
Resolution	A chronological history of the activities taken to manage this risk. Latest entry should be listed at the top. Each entry should begin with the date (MM-DD-YYYY) and the name (first initial, last name) of the author of the update
Logged By	The name of the person entering the risk into the Project Control Book.

14.2 Risk Management Plan

Risk Identification Process

Risks for the project may be identified by any stakeholder, end user, management personnel or external source. A newly identified risk must be documented in written format (via e-mail, memo, or documented in meeting minutes) and provided to the Risk Manager, who will then add the item to the risk register in the Project Control Book. All risks (new and existing) are reviewed weekly and presented at the weekly Project Management Team meeting. The Risk Manager will review the risk register and discuss identified risks with the Executive Steering Committee as needed. All risks will be managed according to the Decision Escalation Matrix referenced in Section 4.5.

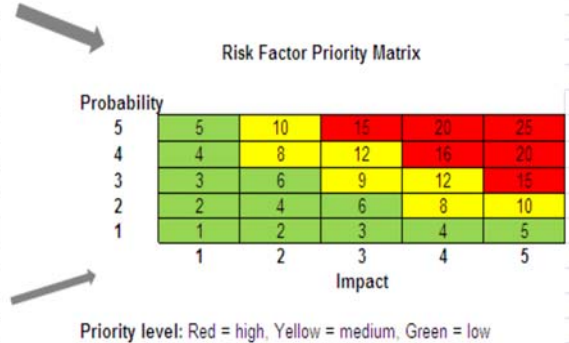
Risk Evaluation and Scoring

Risk probability is a measure of the likelihood that a certain risk will occur. The probability of occurrence for the risk can be defined on a level from 1-5. Risk impact is a measure of the expected degree of impact that the risk, if it occurs, will have on the program. The degree of impact for the risk can be defined on a level from 1-5. The Risk Manager will calculate the risk score as the product of the risk probability score and impact score when both are multiplied. Each risk shall be scored and included in the weekly review and presentation at the weekly status meeting for progress monitoring and tracking. The illustration below depicts the priority matrix once the probability and impact for each individual risk has been assessed.



Probability		
What is the probability the Precursor Condition to the Risk will happen?		
Level	Approach and Processes	
1	Not Likely	0-20% Probability of Occurrence
2	Low Likelihood	20-40% Probability of Occurrence
3	Likely	40-60% Probability of Occurrence
4	Highly Likely	60-80% Probability of Occurrence
5	Near Certainty	80-100% Probability of Occurrence

Impact			
Given the Risk realized, what would be the magnitude of the impact?			
Level	Quality/Scope	Schedule/Time	Budget/Cost
1	Minimal or no impact	Minimal or no impact	Minimal: < 5%
2	Minor	Slight delay < 1 month	Minor: > 6% - 10%
3	Moderate	Minor schedule slip (1 to 3 months)	Moderate: 11% -15%
4	Major	Major schedule slip (3 to 6 months)	Major 16% - 20%
5	Unacceptable	Unacceptable schedule delay (> 6 months)	Significant >20%



For high risks, mitigation plans will be developed to eliminate the risk or the potential impacts to the program. All high-level risks will be documented and communicated to the Executive Steering Committee for review and evaluation.

Risk Plan Maintenance

The Risk Manager meets weekly with the Project Management Team to discuss any new risks or issues and review ongoing risk mitigation plans. Subsequent to the meeting, the Risk Manager will update the risk details in the Project Control Book as necessary and include in weekly reporting to Leadership.

14.3 Issue Management and Resolution

All issues will have a plan for management and resolution which will be developed to eliminate potential impacts to the project. In general issue resolution will follow the decision escalation matrix depicted in Section 4.5. The Project Manager will monitor all program issues on an ongoing basis and maintain the issue log in the Project Control Book which includes the following information:

Issue Details	Description
Topic	The short description of the issue. If this issue is a risk that is being escalated, use "Risk Name" in this field.
Description	A detailed description of the issue. If escalated from a risk, please note that and the date it became an issue.
Start Date	Date the issue was escalated from a risk OR date Project Team became aware of the issue.
Deadline	Date by which the issue needs to be resolved or, if applicable, escalated.



Issue Details	Description
Priority	Ranking the issue priority: Low: Minimal impact to the project. Medium: Progress disrupted with manageable extensions to short-term schedule and cost. High: Significant disruption to project schedule (i.e., greater than 2 weeks for key milestones), cost (i.e., greater than 5% increase in baselined costs), or quality. Threatens the success of the project.
Budget Impact	Numeric field to record the proposed budget impact.
% Complete	Numeric field to record the percent complete status for the issue and proposed resolution strategy: 0%: Issue has not been assigned and/or no activity has been initiated to resolve the issue. 50%: Issue resolution is in progress and there is no concern about the resolution being achieved by the deadline date. 100%: Issue has been resolved.
Assignee(s)	The person(s) assigned to the issue.

15 SYSTEM SECURITY PLAN

FDC adheres to State of Florida Administrative Code 60GG-2, which outlines security controls that should be implemented within each agency. Rule 60GG-2 provides a crosswalk to federal national Institute of Standards and Technology (NIST) security guidelines (i.e. NIST 800-53). Likewise, the State’s primary datacenter has security policy specific to their environment and must adhere to 60GG-2, Florida Administrative Code. FDC’s standard operating procedure number 206.007, USER SECURITY FOR INFORMATION SYSTEMS outlines the processes for Department employees, contractors and subcontractors to follow to ensure the security of Departmental data and other information resources and the measures to follow in the event of a security incident. This project will follow procedure 206.007.

D. Business Process Documents

The Department's previously collected process documentation for Institutions and Community Corrections from the FY 2016-17 vendor produced business case are included here.



State of Florida
Department of Corrections
Office of Information Technology

Community Corrections Core Business Process Analysis

Core Process I: Release Offender Process

Author:	North Highland
Vendor:	The North Highland Company
Version:	4.0
Creation Date:	January 23, 2008
Last Accessed:	9/14/2021 12:50 PM
File Name:	Community Corrections - Business Process Analysis - Release Process - v4.0



Document Control

Change Record

Date	Author	Version	Change Reference
1/23/2008	North Highland	0.01 (Draft)	Created
4/7/2008	North Highland	2.0	Revised from Jenny Nimer feedback
10/30/2016	North Highland	3.0 (Draft)	Updated documents reflecting any business process changes from the 2008 study
11/18/2016	North Highland	4.0	Updated documents reflecting feedback from FDC on draft document

Review

Name	Role	Date
Chuck Beckett	NH Quality Control Review	10/28/2016
FDC	Client Review	11/10/2016
Tad McDonald	NH Quality Control Review	11/17/2016



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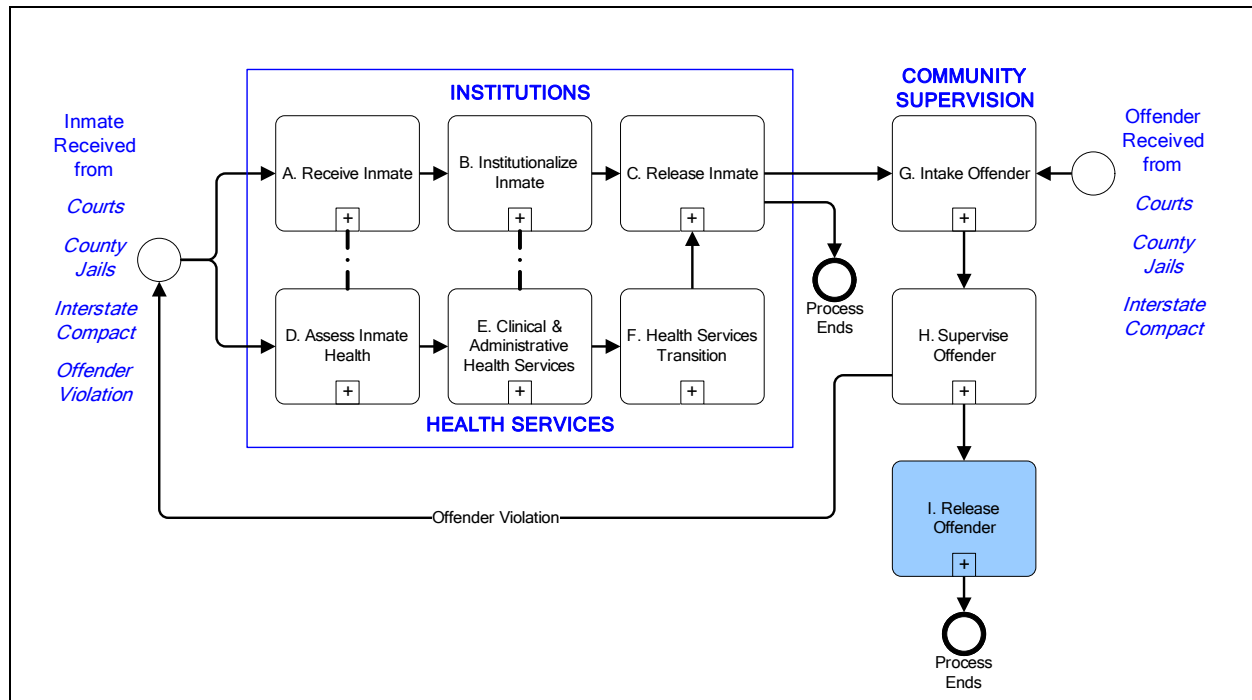
1 DC CORE BUSINESS PROCESSES

1.1 THE PURPOSE AND SUBJECT OF THIS ANALYSIS

The Department of Corrections (Department, DC) is carrying out an analysis of its major business processes. The primary intent of this activity is to establish the foundation for the development of a new business system, which will replace the Offender-Based Information System (OBIS); the Computer Assisted Reception Process (CARP) system was subsumed by OBIS after the completion of the 2008 analysis. This analysis will also result in a set of functional and technical requirements for the new business system.

The figure below shows the entire DC set of nine core business process examined during this project; identified by the letters A through I, and the general sequence in which they are carried out. The box highlighted in blue indicates the core business process presented in this document.

Figure 1.1-1 Department of Corrections Core Business Processes





Florida Department of Corrections

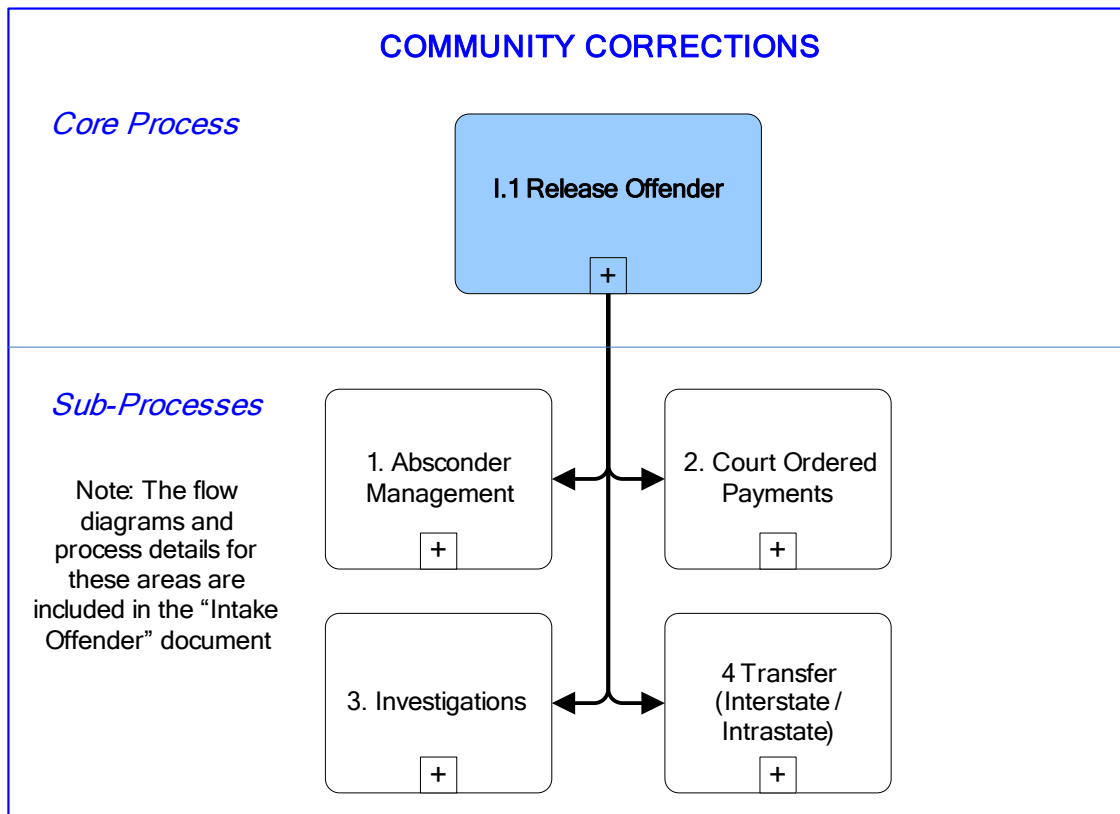
Community Corrections Business Process Analysis



For clarity and convenience, the Community Corrections Release Offender process has been divided into four numbered sub-processes. Since these sub-processes; Absconder Management, Court Order Payments, Investigations and Transfer could occur in any of the three core processes; Intake, Supervise or Release, each of the numbered sub-processes is described in detail in the Intake process document.

The figure below identifies the Release Offender core process and four sub-processes name and numbered four sub-processes.

Figure 1.1-2 Release Offender Core Business Processes





2 RELEASE OFFENDER

2.1 OVERVIEW

This document was first created in 2008 and has been modified in 2016 by members of the Community Corrections staff to ensure it comports with current (2016) business practices.

The Community Corrections process of releasing (Release Offender) offenders into supervision follows a set process order of activities and is conducted in the same manner for each offender. These activities are detailed on a flow diagram and corresponding tables in the following section.

Table 2.1-1 Release Offender Activities

Community Supervision Releases from July 1, 2014 to June 30, 2015											
Supervision Type	Revoked New Felony	Revoked New Misdemeanor	Revoked Technical Violation	Pardon	Death	Normal Term	Early Term	Court Action	Return Other State Case	Total	Percent
Original Sentence											
Probation Total	6,538	2,232	10,151	0	706	14,492	10,644	6,864	1,386	53,013	61.6%
Felony Probation	6,173	2,049	9,004	0	624	12,352	9,610	6,058	1,359	47,229	54.9%
Misdemeanor Probation	238	147	839	0	24	1,351	694	540	17	3,850	4.5%
Administrative Probation	47	14	18	0	17	519	188	189	0	992	1.2%
Sex Offender Probation	80	22	290	0	41	270	152	77	10	942	1.0%
Drug Offender Probation Total	1,679	643	3,736	0	138	1,757	2,381	1,075	10	11,419	13.3%
Community Control Total	778	283	2,924	0	53	362	278	366	2	5,046	5.9%
Community Control	772	280	2,896	0	52	360	276	364	2	5,002	5.8%
Community Control - Sex Offender	6	3	28	0	1	2	2	2	0	44	0.1%
Pretrial Intervention Total	123	114	1,587	0	27	1,261	4,655	2,719	0	10,486	12.2%
Pretrial Intervention (PTI)	90	92	1,153	0	19	1,199	3,617	1,381	0	7,551	8.8%
PTI - Drug Court	33	22	434	0	8	62	1,038	1,338	0	2,935	3.4%
Original Sentence Total	9,118	3,272	18,398	0	924	17,872	17,958	11,024	1,398	79,964	92.9%
Post-Prison Release											
Parole Total	3	7	1	0	25	202	40	26	429	733	0.9%
Florida Parole	3	7	1	0	8	5	8	20	2	54	0.1%



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Other State Parole	0	0	0	0	17	197	32	6	427	679	0.8%
Conditional Release Total	224	152	713	1	27	2,768	1	447	0	4,333	5.0%
Control Release Total	0	1	2	0	2	1	0	2	0	8	0%
Control Release	0	1	2	0	2	1	0	1	0	7	0.0%
Administrative Control Release	0	0	0	0	0	0	0	1	0	1	0.0%
Addiction Recovery Total	11	8	72		3	876	2	68	0	1,040	1.2%
Other Post-Prison Release Total	0	0	4		9	7	0	1	0	21	0.0%
Post-Prison Release Total	238	168	792	1	66	3,854	43	544	429	6,135	7.1%
Grand Total	9,356	3,440	19,190	1	990	21,726	18,001	11,568	1,827		

2.1.1 Purpose and Objectives of this process

The purpose of the Community Corrections – Release Offender core process is to perform activities associated with the end of supervision for an offender that has successfully completing the conditions of supervision and is ready to transition back into the community. The community supervision release population consists of all offenders permanently removed from the Florida Department of Corrections from a specific term of supervision due to satisfaction of the sentence, a pardon, return to another State, death, revocation, or other court termination action.

The objectives of this process are:

- Prepare offenders for a smooth transition back into the community
- Provide termination of supervision instructions to offenders
- Create release documentation to the various agencies and/or individuals
- Document offender release in OBIS and in hardcopy file

2.1.2 Beginning and Ending Points

Beginning Point:

- Generate offender release documents

Ending Point:

- Update offender data and remove from caseload



2.2 ACTIVITIES & WORKFLOW DIAGRAMS

Table 2.2-1 lists the activities that make up the Release Offender Core Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

The following is a description and definition of each of the columns in tables presented in this section.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 2.2-1 Release Offender Activities

Core Process I – Release Offender Activities			
Index Number	Activity Label	Activity Description	Actors
1.	Generate Offender Release Documents	<p>There are two reviews completed before an offender’s release. A 90 day review and approximately 30 days before an offender is scheduled to be released from supervision the assigned Field Officer performs certain activities to validate the offender is adhering to the terms of supervision. Several items are verified to be current such as COPS – Court Ordered Payments, completion of conditions to include community service, drug treatment completed (verification letter requested), record checks for any new arrests. The offender is notified of any outstanding items that must be completed before they are released from supervision. The Field Officer may not always be able to resolve all issues in COPS before processing an offender’s termination of supervision.</p> <p>The Field Officer provides the Supervisor with release documents for the Supervisor’s final review and approval of the release.</p> <p>An offender may be released from supervision also to prison, jail, sentencing authority action, or death.</p>	<p>Field Office</p> <p>(If required: Interstate Compact personnel)</p> <p>Victim/Victim’s family (if applicable)</p>



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Core Process I – Release Offender Activities			
Index Number	Activity Label	Activity Description	Actors
2.	Release Offender from Supervision	<p>The Field Officer runs a records check to insure there are no outstanding warrants or unreported new law offenses. The Field Officer reviews the terms of the release with the offender and includes any other required instructions for special conditions e.g., sex offender, career offender, referrals for treatment programs, support services etc. The termination letter is provided to the offender at a later date. A copy of the termination letter is sent to the Clerk of the Court (if required) or to the Florida Commission on Offender Review's records administrator. Other state cases supervised in Florida under the Interstate Compact are not provided a termination letter from a Florida Field Officer.</p>	<p>Field Office (Officer / Supervisor) Offender</p>



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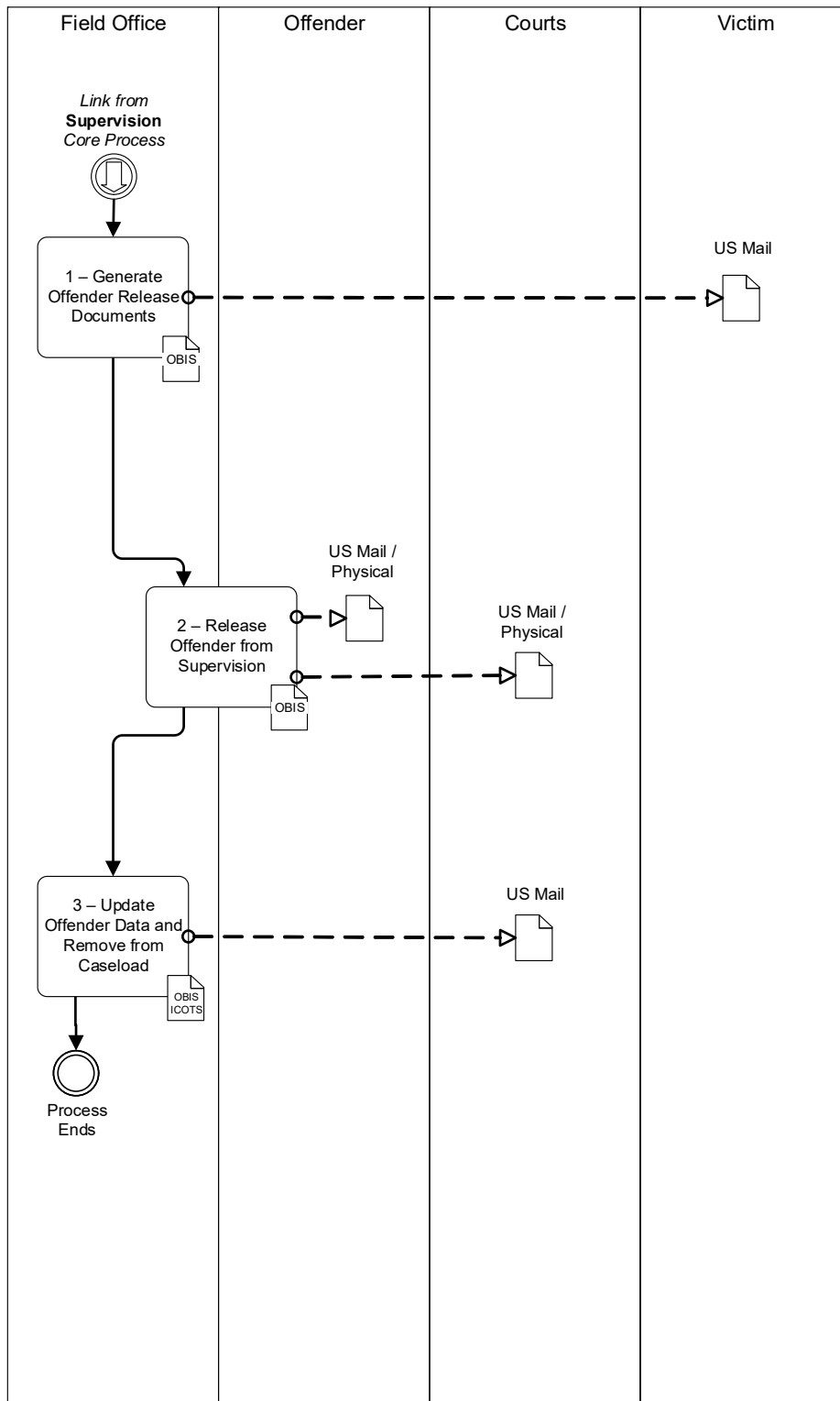
Core Process I – Release Offender Activities			
Index Number	Activity Label	Activity Description	Actors
3.	Update Offender Data and Remove from Caseload	<p>The Field Officer prepares a transaction register entry in order to record the removal (loss) of the offender from the supervision caseload. For other state cases supervised in Florida, the Field Officer will also complete a Case Closure Notice in ICOTS and submit the Case Closure Notice through ICOTS. For Florida cases supervised in another state the Field Officer will complete a Case Closure Notice Reply in ICOTS and submit it through ICOTS to validate the Case Closure Notice received from the other state. Additionally, the Field Officer generates a termination of supervision letter stating such. The victim or the victim’s family is notified of the offender’s release date from supervision in written form by mailing the “Notification of Offender Status” letter (if VINE letter not previously sent).</p> <p>An OBIS entry is made to document the offender’s loss status and to remove the offender from the Field Officer’s case load.</p> <p>The Field Officer prepares the offender’s file for closure using a “File Closure Check-Off” form insuring that appropriate coding was entered into OBIS, appropriate actions were taken to secure offender health records, and any other required documentation has been included in the file. An OBIS entry is made to a status of ‘inactive’ in OBIS. The file is imaged in accordance with policy and available for view until removed from the database. If the released offender has had no further offenses after three years the electronic file is destroyed.</p>	<p>Field Office (Officer/ Supervisor/CJIT)</p> <p>Courts (Clerk’s Office, Florida Commission on Offender Review)</p>

Figure 2.2-1 Release Offender As-Is Workflow



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2.3 ELAPSED TIME

This section describes the time limits or goals required to complete the activities that make up the Release Offender core process.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Limit or Goal Time	Any time limits or goals, from any source – internal or external – pertaining to this activity.
Limit or Goal Source	The source of the limit or goal listed above (Florida Statutes, DC policy, etc.)
Speed Bumps	Specific, recurring difficulties that slow the progress of this activity.

Table 2.3-1 Elapsed Time

Core Process I – Release Offender				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
1.	Generate Offender Release Documents	30 days prior to release	Procedures 302.325, 302.003	N/A
1.	Generate Offender Release Documents	Within 30 days after term	Procedures 302.325, 302.004	N/A
2.	Release Offender from Supervision	30 days prior to release	Procedures 302.325, 302.003	N/A
3.	Update Offender Data and Remove from Caseload	Immediate	Procedures 302.325; 302.004	N/A
3.	Update Offender Data and Remove from Caseload	Within 60 days of release	Procedures 302.325; 302.004	N/A



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Core Process I – Release Offender				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
3.	Update Offender Data and Remove from Caseload	Loss Code is Entered Within 2 days of release Case Closure Notice submitted through ICOTS Case Closure Notice Reply submitted through ICOTS	Procedure 302.325 301.001	N/A
3.	Update Offender Data and Remove from Caseload	Close File and Image Within 90 days of release	Procedures 302.325, 302.004	N/A



2.4 PAPER DOCUMENTATION

This section describes the paper documents required to complete the activities that make up the Release Offender core process. The reference column refers to the originator and title of policy, procedure, or instruction that contains the form or specifies the content of the document, if any. More than one document may be required to carry out a single activity, so each is listed. The following is a description and definition of each of the columns in this table.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Document Title	Short title, form number or other designation for the document.
Document Description	General description of the document contents and purpose.
Reference or Source	Title of the source instruction or policy.

Table 2.4-1 Paper Documentation

Core Process I – Release Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
1.	Generate Offender Release Documents	Pre-Termination Review (DC3-243)	Activities validate the offender is adhering to the terms of supervision	Procedure 302.325, 302.003
1.	Generate Offender Release Documents	Transaction Register (DC3-212)	Transaction register with loss entered	Procedure 302.325
1.	Generate Offender Release Documents	Notice of Privacy Practices (DC3-2006)	Describes how offender medical information may be used and disclosed	Procedure 302.325, 302.004
1.	Generate Offender Release Documents	Termination of Supervision Letter (OCC)	Letter to the offender notifying them of the release from supervision details	Procedure 302.325



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Core Process I – Release Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
1.	Generate Offender Release Documents	<p>Dependent on the releasing authority, one of the documents may also be used:</p> <p>Order of Revocation of Probation (DC3-259)</p> <p>Order Terminating Probation (DC3-257)</p> <p>Court Order Terminating Probation (DC3-258)</p> <p>Florida Commission on Offender Review Discharge Letter</p>	Forms documenting reason for terminating supervision	Procedure 302.325
1.	Generate Offender Release Documents	Notification of Offender Status (OCC)	Notifies victim (if applicable) of offender being released from supervision	Procedure 302.325
2.	Release Offender from Supervision	Notice of Privacy Practices (DC3-2006)	Describes how offender medical information may be used and disclosed (offender signature required)	Procedures 302.325, 302.004



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Core Process I – Release Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
2.	Release Offender from Supervision	Dependent on the releasing authority, one of the documents may also be used: Order of Revocation of Probation (DC3-259) Order Terminating Probation (DC3-257) Court Order Terminating Probation (DC3-258) Florida Commission on Offender Review Discharge Letter	Forms documenting reason for terminating supervision (copy)	Procedure 302.325
2.	Release Offender from Supervision	Notice of Responsibilities as Required by Statute for Offenders Being Discharged from the Care, Custody and/or Control Without Supervision (DC3-203B)	Provides sex offenders instruction and responsibilities of supervision	Procedure 302.325



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Core Process I – Release Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
2.	Release Offender from Supervision	Career Offender Notice of Offender Responsibilities as Required by Statute For Offenders Being Discharged From Supervision (DC3-2001B)	Provides career offenders instruction and responsibilities of supervision	Procedure 302.325
3.	Update Offender Data and Remove from Caseload	Pre-Termination Review (DC3-243)	Activities validate the offender is adhering to the terms of supervision	Procedures 302.325, 302.003
3.	Update Offender Data and Remove from Caseload	Transaction Register (DC3-212)	Transaction register with loss entered	Procedure 302.325
3.	Update Offender Data and Remove from Caseload	Notice of Privacy Practices (DC3-2006)	Describes how offender medical information may be used and disclosed	Procedure 302.325
3.	Update Offender Data and Remove from Caseload	Termination of Supervision Letter (OCC)	Formal letter mailed to the offender notifying him/her of release from supervision	Procedure 302.325



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Core Process I – Release Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
3.	Update Offender Data and Remove from Caseload	<p>Dependent on the releasing authority, one of the documents may also be used:</p> <p>Order of Revocation of Probation (DC3-259)</p> <p>Order Terminating Probation (DC3-257)</p> <p>Court Order Terminating Probation (DC3-258)</p> <p>Florida Commission on Offender Review Discharge Letter</p>	Forms documenting reason for terminating supervision	Procedure 302.325
3.	Update Offender Data and Remove from Caseload	Notification of Offender Status (OCC)	Notifies victim (if applicable) of offender being released from supervision	Procedure 302.325
N/A	General form that may be utilized throughout the process	Recommendation to Early Terminate Probation (DC3-272)	Requests early termination from supervision	Procedure 302.325



2.5 BUSINESS SYSTEM DATA ENTRY & DATA TRANSFER

This section describes the business systems that are employed directly (touched) or indirectly (data transfer) in the course of the Release Offender core process.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Business System	The name or designation of the system touched (if any).
Purpose or Intent	The business objective accomplished by using the system or systems.
Mode	Choose one: "Input" for data entry by the user, "Query" for data retrieved by the user, and "TXFR" for electronic data transfer from one system to another.

Table 2.5-1 Business System Data Entry & Data Transfer

Core Process I – Release Offender				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
1.	Generate Offender Release Documents	OBIS	The Officer prepares a Transaction Register in OBIS in order to record the offender "loss" under the terms of supervision	Input/Query
1.	Generate Offender Release Documents	OBIS	The Officer conducts a final inquiry to the COPS screens in OBIS to insure all financial obligations have been addressed	Input/Query
1.	Generate Offender Release Documents	OBIS	The Officer conducts a final inquiry to the Investigation screens in OBIS to insure all current investigations have been addressed	Input/Query
2.	Release Offender from Supervision	E-Agent	The Officer conducts a final search of E-Agent (newly instituted application through FDLE) in order to confirm that there are not any open warrants on the offender A E-Agent search queries NCIC, FCIC, and DAVID systems	Input/Query



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Core Process I – Release Offender				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
3.	Update Offender Data and Remove from Caseload	OBIS ICOTS	Case notes are updated and the offender is “lost” from both the Field Office and the Field Officer’s case load in OBIS Case Closure Notice is submitted to the Sending state for validation of closure of other state cases supervised in Florida. Case Closure Notice Reply is submitted to the Receiving state to validate closure of Florida cases supervised in another state.	Input/Query



2.6 MESSAGES

This section the messages, such as the US mail, emails, phone calls and any other correspondence, regularly used in the normal course of the Release Offender core process. Messages are sent to convey required documentation, inform recipients about the status of an activity, to trigger the start or end of other activities, to grant or withdraw authorization, etc. This section only concerns messages sent during normal (as intended) operations. Trouble calls and other messages associated with recurring abnormal operations are listed in Section 2.7 – Process Issues & Recommendations. There may be more than one message associated with an activity.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Message Type	US mail, email, phone call, etc.
Message Purpose	The intended purpose for sending the message.
Message Recipient	The organization and role of the intended recipient.

Table 2.6-1 Messages

Core Process I – Release Offender				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
1.	Generate Offender Release Documents	US Mail/Email	If required, a letter (Notification of Offender Status) is mailed to the victim or victim’s family that the offender has completed terms and is being released from supervision.	Victim
2.	Release Offender from Supervision	US Mail / Physical/ Email	The termination letter notifies the offender they have completed the terms and conditions of supervision and options regarding restoration of civil rights.	Offender
2.	Release Offender from Supervision	US Mail / Physical/ Email	A copy of the termination letter is sent to the Clerk of the Court (if required) or to the Florida Commission on Offender Review’s records administrator.	Courts
3.	Update Offender Data and Remove from Caseload	Inter office Mail	Notice of Privacy Practices (Pre-Signed by offender) and any other HIPPA related documents sent to the circuit office.	Circuit office



2.7 PROCESS ISSUES & RECOMMENDATIONS

This section lists the issues that have arisen while analyzing the Release Offender core process. These are the difficulties that result in an activity losing its effectiveness, degrading its efficiency and hindering its adaptability. Each activity can have more than one issue associated with it.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Issue	Short description of the issue.
Impact	Impacts or consequences of the issue (e.g., confusion, delay, error, incident).
Recommendation	Recommendation for addressing the issue or reducing its impact (if any).

Table 2.7-1 Process Issues & Recommendations

Core Process I – Release Offender				
Index Number	Activity Label	Issue	Impact	Recommendation
1.	Generate Offender Release Documents	The release documents are manually created from MS Word documents that are retrieved from DC Web.	Errors, Eligible, Misfiling	Auto populate release documents with already existing data stored in OBIS
1.	Generate Offender Release Documents	Appropriate individuals are not electronically notified of offender release dates. Manual exceptions reports are researched on OBIS to determine appropriate actions and adherence to supervision.	Errors, Delay	Generate electronic calendar reminders of upcoming offender release dates specific to the Field Officers caseload This concern has improved with time and the use of the ASI4 0 PPS 31 report



**State of Florida
Department of Corrections
Office of Information Technology**

**Community Corrections Core Business Process
Analysis**

Core Process G: Intake Offender Process

Author:	North Highland
Vendor:	The North Highland Company
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Document Control

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1/23/2008	North Highland	0.01 (Draft)	Created
04/07/2008	North Highland	2.0	Revised based on Jenny Nimer feedback.
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11/18/2016	North Highland	4.0	Updated documents reflecting FDC feedback on draft

Review

Name	Role	Date
Chuck Beckett	NH Quality Control Review	10/28/2016
FDC	Client review of draft document	11/10/2016
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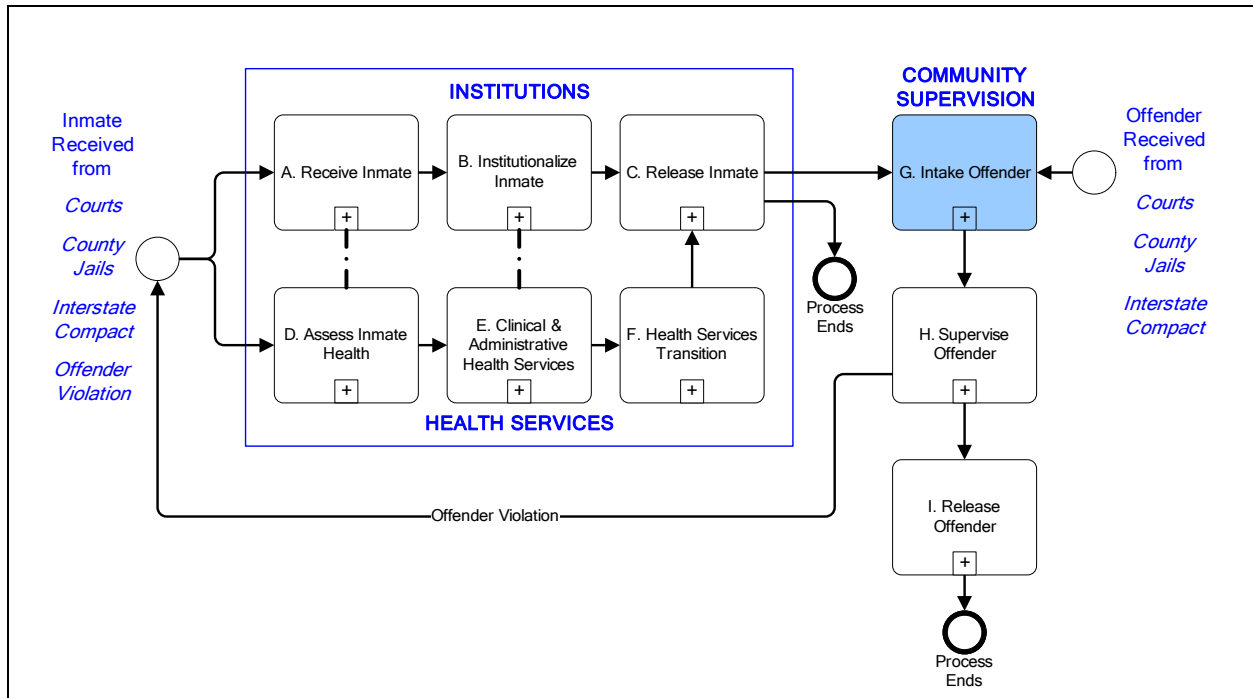
1 DC CORE BUSINESS PROCESSES

1.1 THE PURPOSE AND SUBJECT OF THIS ANALYSIS

The Department of Corrections (Department, DC) is carrying out an analysis of its major business processes. The primary intent of this activity is to establish the foundation for the development of a new business system, which will replace the Offender-Based Information System (OBIS); the Computer Assisted Reception Process (CARP) system was subsumed by OBIS after the completion of the 2008 analysis. This analysis will also result in a set of functional and technical requirements for the new business system.

The figure below shows the entire DC set of nine core business processes examined during this project; identified by the letters A through I, and the general sequence in which they are carried out. The box highlighted in blue indicates the core business process presented in this document.

Figure 1.1-1 Department of Corrections Core Business Processes





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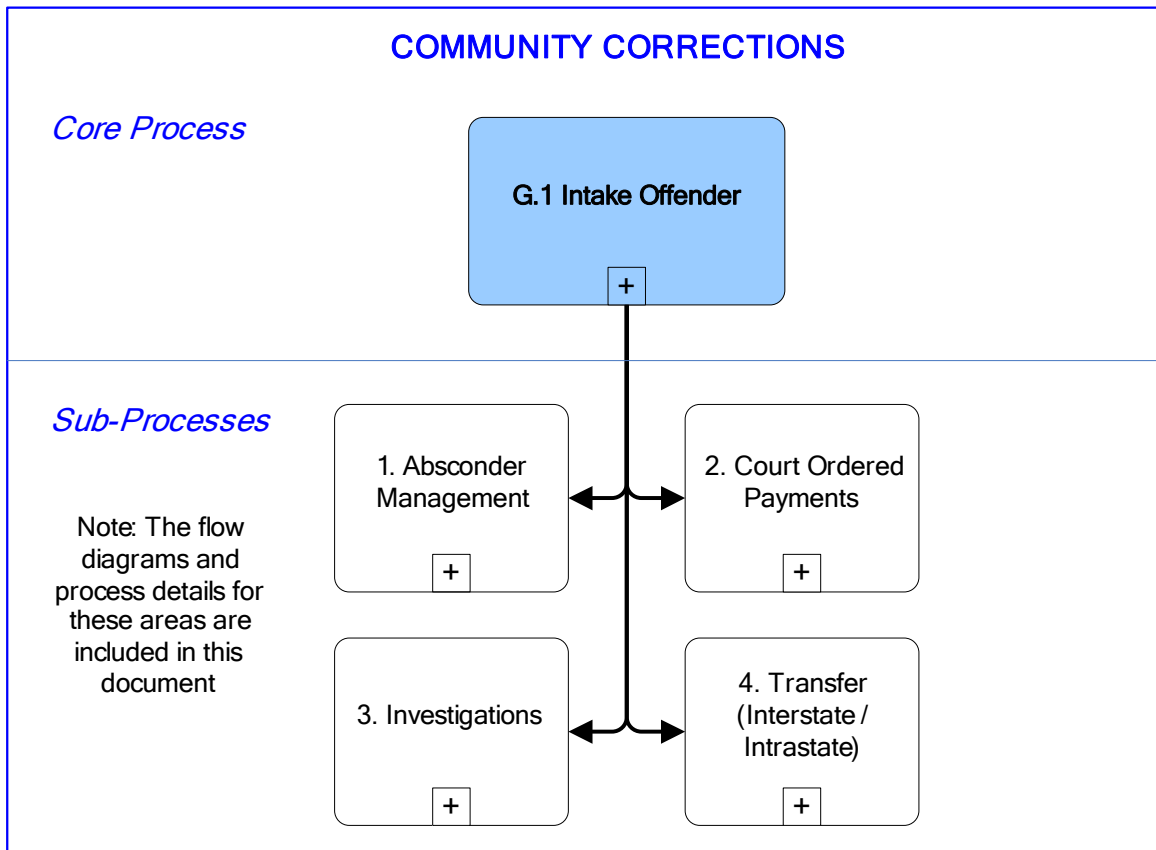
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For clarity and convenience, the Community Corrections Intake process has been divided into four numbered sub-processes. Since these sub-processes, Absconder Management, Court Order Payments, Investigations and Transfer could occur in any of the three core processes; Intake, Supervise or Release, each of the numbered sub-processes is described in detail in the Intake process document.

The figure below identifies the Intake Offender core process and four sub-processes name and numbered four sub-processes.

Figure 1.1-2 Intake Offender Core Business Processes





2 INTAKE OFFENDER

This document was first created in 2008 and has been modified in 2016 by members of the Community Corrections staff to ensure it comports with current (2016) business practices. Where changes have been made, they have been accepted to this document and a notation has been entered to indicate a modification has been made. Refer to project artifacts to see the original documents from 2008.

2.1 OVERVIEW

The Community Corrections process of admitting (Intake Offender) offenders into supervision follows a set process order of activities and is conducted in the same manner for each offender. These activities are detailed on a flow diagram and corresponding tables in the following section.

More than Half of those on Community Supervision (60.9%) Admitted for Felony Probation

- Only 8.4% of FY Community Supervision admissions came directly from prison; the rest are serving original sentences.
- The majority of offenders serving an original sentence were admitted to community supervision in FY 2014-15 for probation (50,593 or 60.9%), pretrial intervention (10,169 or 12.2%), or drug offender probation (9,095 or 10.9%), community control (6,221 or 7.5%).
- Conditional release accounted for most (5,043 or 72.2%) of the post release supervision admissions, followed by addiction recovery supervision (1,129 or 16.2%) and parole (793 or 11.4%).

http://www.dc.state.fl.us/pub/annual/1415/stats/csa_month.html

Table 2.1-1 Offenders Admissions by Quarter

Admissions by Quarter						
	1st Quarter (Jul - Sep 14)	2nd Quarter (Oct - Dec 14)	3rd Quarter (Jan - Mar 15)	4th Quarter (Apr - Jun 15)	Total	Percent
Original Sentence						
Probation Total	13,236	12,448	12,580	12,329	50,593	60.9%
Felony Probation	11,814	11,143	11,191	10,976	45,124	54.3%
Misdemeanor Probation	1,034	961	1,029	1,013	4,037	4.9%
Administrative Probation	138	96	97	105	436	0.5%
Sex Offender Probation	250	248	263	235	996	1.2%
Drug Offender Probation Total	2,337	2,229	2,218	2,311	9,095	10.9%
Community Control Total	1,599	1,587	1,571	1,464	6,221	7.5%
Community Control	1,566	1,562	1,551	1,442	6,121	7.4%
Community Control - Sex Offender	33	25	20	22	100	0.1%
Pretrial Intervention Total	2,559	2,383	2,629	2,598	10,169	12.2%
Pretrial Intervention	1,906	1,789	1,979	1,871	7,545	9.1%
Pretrial Intervention - Drug Court	653	594	650	727	2,624	3.2%



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Original Sentence Total	19,731	18,647	18,998	18,702	76,078	91.6%
Post-Prison Release						
Parole Total	201	220	187	185	793	1.0%
Florida Parole	2	0	6	1	9	0.0%
Other State Parole	199	220	181	179	779	0.9%
Unknown Parole	0	0	0	5	5	0.0%
Conditional Release Total	1,250	1,286	1,294	1,213	5,043	6.1%
Addiction Recovery Total	278	246	297	308	1,129	1.3%
Other Post-Prison Release Total	4	1	8	8	21	0.0%
Post-Prison Release Total	1,733	1,753	1,786	1,714	6,986	8.4%
Grand Total	21,464	20,400	20,784	20,416	83,064	100.0%



2.1.1 Purpose and Objectives of this Process

The purpose of the core process Community Corrections – Intake Offender is to conduct identification and assignment of offenders placed on supervision.

The objectives of this process are to:

- Receive/gain offenders coming directly from court or being released from an Institution onto conditional release or court ordered supervision.
- Manage the various referral sources including deferred prosecutions, sentencing by the court or the releasing authority, interstate compact, other State entities as well as institutions, prosecutors, and the Florida Commission on Offender Review. Offenders may be sentenced to supervision types as described in Florida Statutes 944, 947, 948, 949.
- Initiate the completion of the various forms included with the case file.
- Input appropriate data in OBIS screens and case notes across all supervision activities.

2.1.2 Beginning and Ending Points

Beginning Point:

- Inmate Released from Prison or Court Orders Offender to Supervision (Referral Received for Processing)

Ending Point:

- Assign offender to Field Office



2.2 ACTIVITIES & WORKFLOW DIAGRAMS

Table 2.2-1 lists the activities that make up the Intake Offender Core Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Diagrams with a plus sign (+) signify a sub-process. A sub-process will have its own activity diagram and contains two numbers separated by a period. The first number corresponds to the original activity number and the second number, after the period, is the sequence order in which that sub-process' activity is performed.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in tables presented in this section.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 2.2-1 Intake Offender Activities



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Core Process G – Intake Offender Activities			
Index Number	Activity Label	Activity Description	Actors
1.	Inmate Released from Prison	<p>An Inmate is released to supervision by an Institution. Prior to release, for certain inmates/offenders an investigation is conducted to determine where the offender will reside and to which Field Office the inmate will report. At the time of release from incarceration, paperwork will detail the type of supervision the offender is required to complete once released.</p> <p>The Inmate Release Investigation Report is completed prior to the inmates release and contains the reporting location and the sentencing details.</p> <p>Upon release, the inmate (now classified as an offender) reports to the appropriate Field Office or Intake Office for intake processing and is instructed to bring their Record of Inmate Discharge.</p> <p>The Intake Office maintains knowledge of all inmates that are to report to the Field Office for processing by either reviewing OBIS reports or investigations of releases. Any inmate “No Shows” will be investigated.</p>	<p>Institutions</p> <p>Intake Operations Staff</p>
2.	Court Orders Offender to Supervision	<p>The courts can order an offender to undergo supervision in one or two ways. Offenders convicted of a crime can be sentenced to supervision directly from court and ordered to appear at an Intake Office for supervision or supervision can be ordered upon an offender’s release from the local jail.</p> <p>In some courts, a Court Officer (representative of the Field Office for the area) may be present at the time of supervision sentencing in order to expedite and instruct offenders that have been ordered to supervision from court.</p> <p>The Intake Office maintains knowledge of all offenders that are to report to the office for processing by reviewing court data sheets or court calendars. Any offender “No Shows” will be investigated.</p> <p>The “Probation Order” is the official document that must be generated and signed by the offender and judge. However depending on the court procedures, this document may arrive at the Field Office at any time during the three core processes (Intake, Supervision, and Release).</p>	<p>Court / Jail</p> <p style="padding-left: 20px;">(Judge, Clerk or Court Officer)</p> <p>Intake Operations Staff</p> <p>Field Office</p> <p style="padding-left: 20px;">(Field Officer /Supervisor)</p>



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Core Process G – Intake Offender Activities			
Index Number	Activity Label	Activity Description	Actors
3.	Receive Referral for Processing	<p>The Court Data Sheet and the Court Calendar are tools used by the Court Officer to instruct the offender and to direct the offender to the appropriate office for intake possessing.</p> <p>Additionally, some Field Offices across the state have access to the court’s data management system. Once the order is received at the Field Office the offender will sign and then the original document is sent back to the court for filing with the Clerks’ Office and a copy is placed in the offender’s file.</p> <p>If the offender is sentenced to supervision in a court that has an attached Intake Office, steps 3-7 are completed in that Intake Office in the court house and the offender is instructed to report directly to their assigned Field Office.</p> <p>Otherwise, the offender is instructed to report to the appropriate Intake Office or Field Office with a Record of Inmate Discharge form from prison, initial reporting instructions and any court paperwork that was given to the offender by the court or institution.</p>	<p>Intake Operations Staff</p> <p>(Intake or Field Office personnel)</p> <p>Field Office</p> <p>(Field Officer /Supervisor)</p> <p>Court / Jail Institutions</p>
4.	Input/Validate Offender Data	<p>Once an offender arrives at an Intake office, an Intake Staff member (or Field Office staff – depending on staffing and size of office) reviews the court documents, and reporting instructions. The offender is provided the Offender Information Sheet and Reporting Instructions to complete.</p> <p>The Intake Staff verifies the identity of the offender, insures the offender is assigned a DC number in OBIS, inputs the sentence structure and verifies the criminal offenses of the offender. Either the Rapid ID or (E-Agent) electronic applications are utilized to verify fingerprints and photo identification. Additionally, OBIS can be accessed to view an offender’s prior criminal history, analyze and interpret sentencing conditions of supervision, and enter new offender information received during the intake process.</p> <p>Sex Offender Residence Review (SORR) is conducted at this time to ensure residence is not located in a prohibited location and the data is updated in GIS/SORR.</p>	<p>Intake Operations Staff</p> <p>(Intake or Field Office personnel)</p> <p>Field Office</p> <p>(Field Officer /Supervisor)</p>



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Core Process G – Intake Offender Activities			
Index Number	Activity Label	Activity Description	Actors
5.	Conduct Warrant Check	<p>The Intake Staff search local and national databases to identify whether the offender has any present warrants utilizing either (E-Agent) or Rapid ID systems.</p> <p>If a warrant does exist, the Field Officer or Supervisor immediately notifies the appropriate law enforcement authorities to apprehend the offender.</p>	<p>Intake Operations Staff</p> <p>(Intake or Field Office personnel)</p> <p>Law Enforcement</p> <p>Field Office</p> <p>(Field Officer /Supervisor)</p>
6.	Instruct Offender	<p>The Intake Office instructs the offender by reminding them to register at the local law enforcement office and where to report to their assigned Field Officer. The Intake Staff will also review the Offender Information Sheet and Reporting Instructions. Any new information gained in the review or instruction of the offender will be entered into OBIS;</p> <p>The offender is “gained” in OBIS to the appropriate Field Office Supervisor.</p>	<p>Intake Operations Staff</p> <p>(Intake or Field Office personnel)</p> <p>Field Office</p> <p>(Field Officer /Supervisor)</p> <p>Law Enforcement</p>
7.	Assign Offender to Field Officer	<p>The Supervisor of the Field Office is alerted of a new offender being assigned to their Field Office requiring assignment to a specific Field Officer.</p> <p>The Supervisor assigns the offender to a specific Field Officer based on caseload ratios for caseload type established by statute and the offender is “gained” in OBIS to that specific Field Officer. Depending on the procedures of the office, the Intake staff, Criminal Justice Information Technician (CJIT), Parole Probation Specialist, or Supervisor (or other support personnel) enter the actual OBIS entry to assign (gain) the offender to a Field Officer.</p> <p>The offender reports to the Field Officer to receive detailed instructions on the supervision terms and conditions.</p>	<p>Intake Operations Staff</p> <p>(Intake or Field Office personnel)</p> <p>Field Office</p> <p>(Field Officer /Supervisor)</p>

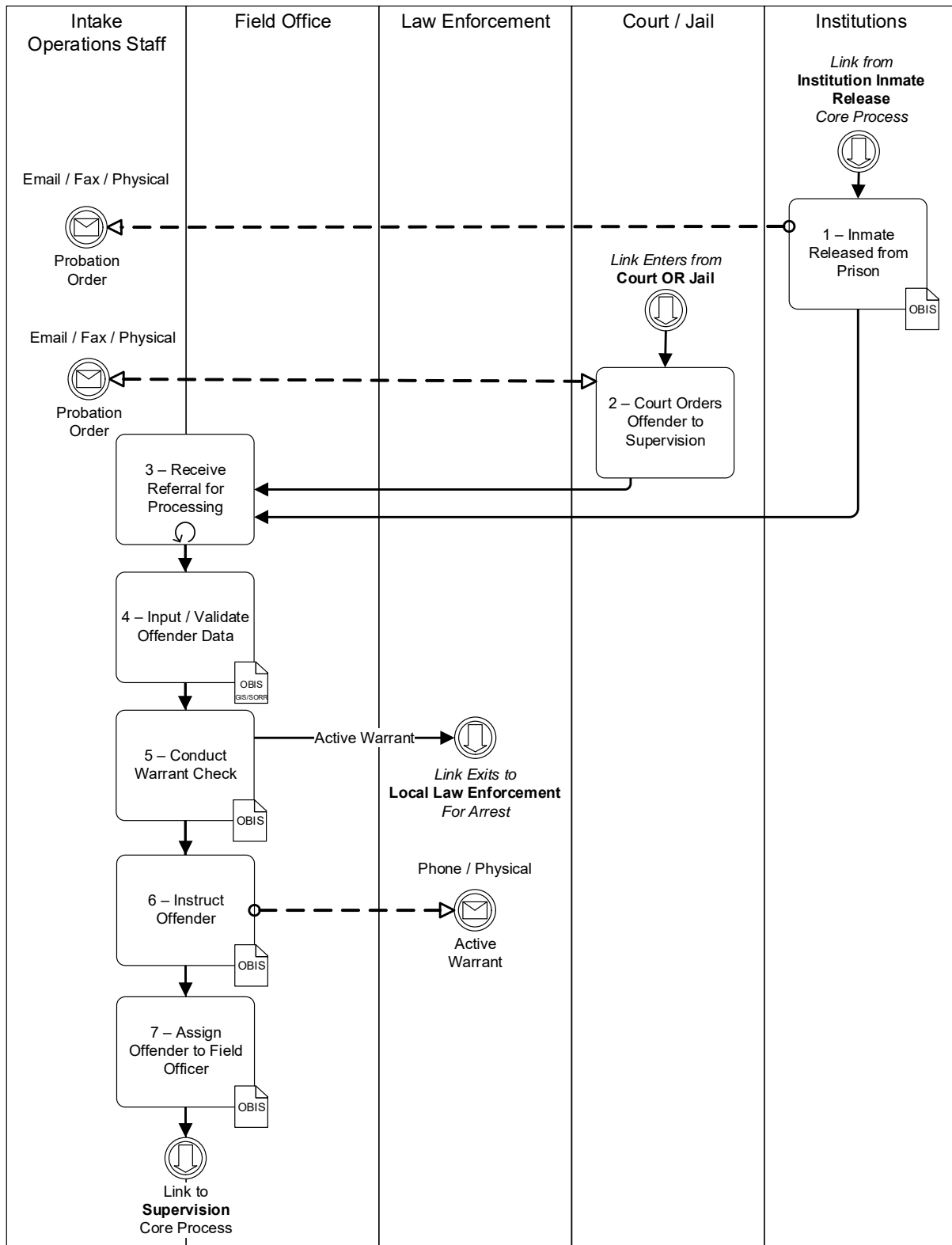


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Figure 2.2-1 Intake Offender Core Process As-Is Workflow





3 ABSCONDER MANAGEMENT SUB-PROCESS

3.1 OVERVIEW

3.1.1 Purpose and Objectives of this Sub-Process

The purpose of the sub-process Community Corrections – Absconder Management Sub-Process is to record, track and locate offenders who have absconded. The term “Absconder” refers to a person who ceases to make himself available for supervision, after attempts to locate and make contact with the offender have been unsuccessful.

The objectives of this Sub-Process are:

- Classify the offender as an absconder
- Identify, investigate, track and coordinate the apprehension of absconders
- Work in conjunction with state and local law enforcement, Field officers in the field, other Absconder Units and Task Forces, throughout the country in locating and apprehending absconders.
- Post absconder information to the Department’s public and internal web sites
- Conduct investigations
- Reduce the number of absconders statewide

3.1.2 Beginning and Ending Points

Beginning Point:

- Offender absconds (Field Officer cannot locate)

Ending Point:

- Absconder located and local authorities notified (if necessary)
- Search for absconder is halted on the basis: No further information or jurisdiction, extradition issues, incarceration or death, etc.



3.2 ACTIVITIES & WORKFLOW DIAGRAMS

Table 3.2-1 lists the activities that make up the Absconder Management Sub-Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Sub-process activities are referenced by index number. The first number (before the period) indicates the sub-process number and the second number (after the period) indicates the sequence number of the activity.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 3.2-1 Absconder Management Sub-Process Activities

Sub-Process 1 – Absconder Management			
Index Number	Activity Label	Activity Description	Actors
1.1	Offender Absconds	<p>After an investigation to locate the offender by the Field Officer has been completed and the offender cannot be located, the offender is believed to have absconded.</p> <p>If this offender’s risk level is high (type that requires immediate attention e.g., sex or career offenders etc., the Field Officer may issue a “Be On the Look Out” (BOLO) via an FCIC administrative message request submitted to law enforcement.</p>	<p>Field Office</p> <p>Absconder Unit</p>



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Sub-Process 1 – Absconder Management			
Index Number	Activity Label	Activity Description	Actors
1.2	Provide Tips	<p>Tips may be received in the form of a phone call or email sent to the Absconder Unit. Other Field Offices may send investigations and Cold Case investigations.</p> <p>Both the Field Officer and the Absconder Unit receive tips and may investigate the information provided. There are a variety of tip sources and information utilized to gain information about the location of the absconder; such as acquaintances, family members, government agencies, etc.</p>	<p>External Providers of Information</p> <p>Absconder Unit</p> <p>Field Office</p>
1.3	Open Investigation	<p>As a result of a tip received by the Absconder Unit or a Cold Case investigation, the tip is entered on the Absconder Tracking Screen by the Absconder Unit. When the tip is entered in OBIS, an investigation is automatically opened on the Investigations for offender screen. At the same time an entry is automatically inserted in the offender's case notes in OBIS, providing details of the tip and the investigation. The investigation will remain assigned to the Absconder Unit member who entered it into OBIS or may be reassigned by the Absconder Unit Supervisor to another member of the Absconder Unit.</p> <p>Note: The Absconder Unit's investigations are tracked in ITS but are entered on IT05 which is only for the Absconder Unit. The Field Officer may elect to open their own investigation in ITS, however it is not done on IT05 (Absconder Tracking Screens).</p>	<p>Field Office</p> <p>Absconder Unit</p> <p>External Providers of Information</p>



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Sub-Process 1 – Absconder Management			
Index Number	Activity Label	Activity Description	Actors
1.4	Create Violation Documents	<p>The Field Officer creates the Violation documents (e.g., affidavit, warrant, and violation report) that are sent to court for a judge’s signature. If an offender has an existing open violation from another violation, then the documents is amended to include absconding.</p> <p>Not every violation becomes an automatic violation notification; some are at the discretion of the parole officer, etc.</p>	Field Office Courts
1.5	Judge Signs Warrant	The judge signs the warrant to allow immediate arrest of the offender once they are located.	Courts Field Office
1.6	Investigation to Locate Absconder	<p>The Absconder Unit utilizes additional resources for absconder investigations that are not available to the Field Officer. These additional resources may include; data received from other agencies, various research tools, and data exchange relationships. (e.g., JusticeXchange, Department of Children and Families)</p> <p>All research information is entered on the Absconder investigation in OBIS.</p>	Absconder Unit



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Sub-Process 1 – Absconder Management			
Index Number	Activity Label	Activity Description	Actors
1.7	Change Offender Status	<p>Once the warrant is signed by the judge, the offender’s status is changed in OBIS to “Absconder”, which is a loss status. Once the offender has been located, including incarceration or found to be deceased, a gain from absconding is completed and the offender is placed in the appropriate non supervised status (e.g., jail pending court action, deceased, etc.). The Absconder Unit posts information regarding the offender to the Absconder portion of the public website.</p> <p>When changing the offender status from absconder to another status, an automatic email is sent to the Absconder Unit. If an Absconder Investigation is still opened, the Absconder Unit reviews the case notes and indicates whether the offender has been captured or cleared in the Absconder Investigation. Then the Absconder Investigation is closed.</p> <p>In rare cases the Absconder Unit may change the offender status in OBIS instead of the Field Office; e.g., non-extraditable offender.</p>	<p>Field Officer</p> <p>Absconder Unit</p>



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Sub-Process 1 – Absconder Management

Index Number	Activity Label	Activity Description	Actors
1.8	Close / Extend / Suspend Investigation	<p>At this juncture, the Absconder Unit makes the decision to either move forward, close, extend or suspend the investigation. If the investigation has not been closed within 30 days, the absconder's investigation appears on a report for the Absconder Unit to take action to either close, extend, or suspend the investigation.</p> <p>If a tip is still being investigated then the Investigation may remain open.</p> <p>A search for an absconder is halted on the basis that there is no further information or jurisdiction, infeasible due to extradition issues, incarceration or death validated etc. If there is no probability of any further information then the Absconder Investigation is closed.</p>	Absconder Unit

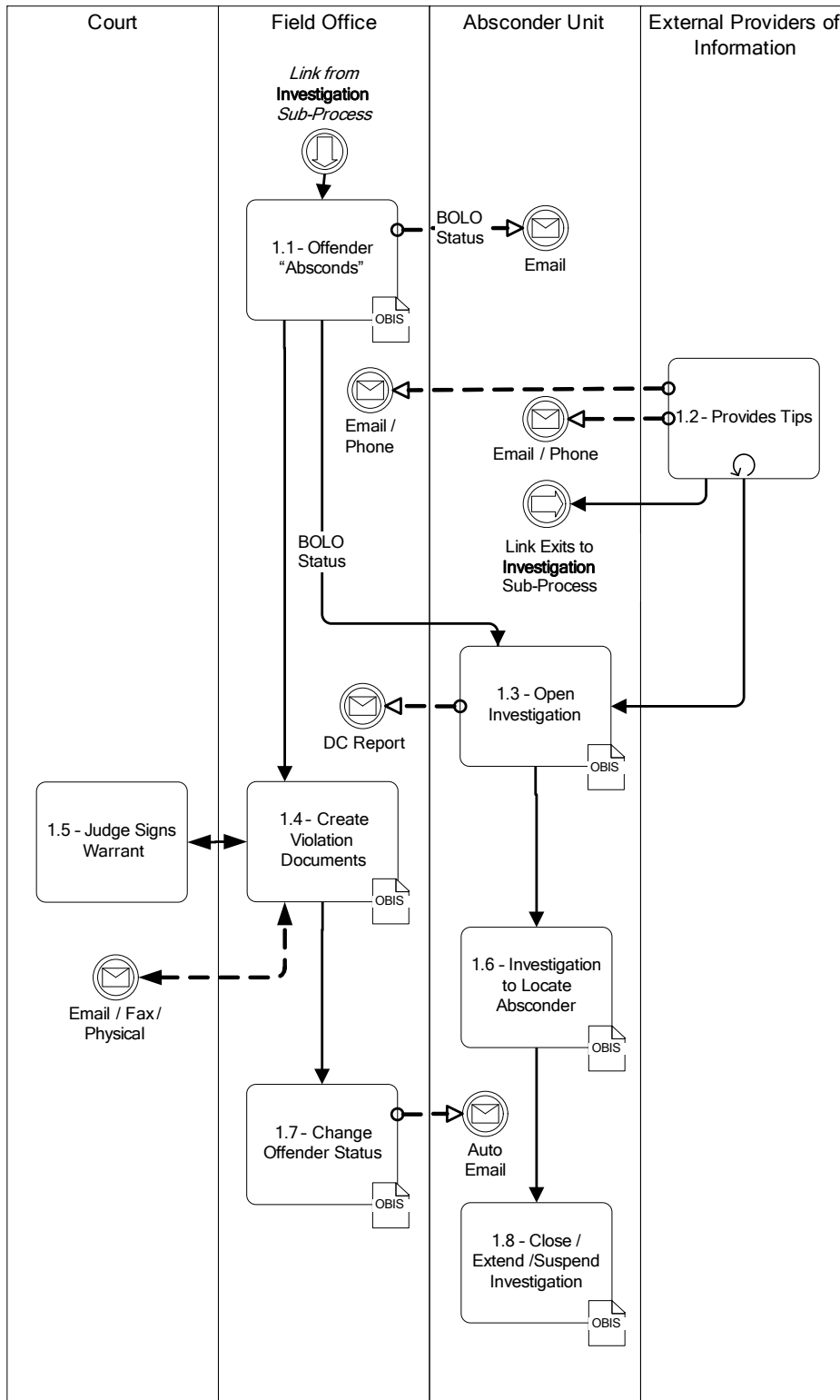


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Figure 3.2-1 Absconder Management Sub-Process As-Is Workflow





4 COURT ORDERED PAYMENTS

4.1 OVERVIEW

4.1.1 Purpose and Objectives of this sub-process

The purpose of the Community Corrections – Court Ordered Payment System or “COPS” sub-process is to manage payments ordered by the courts for victim restitution, court costs, cost of supervision, etc.

The objectives of this process are:

- Process payments for court ordered financial obligations and refunds for offenders
- Process disbursement checks to assigned individuals and/or businesses
- Track offender financial obligations

4.1.2 Beginning and Ending Points

Beginning Point:

- Submit payment

Ending Point:

- Financial obligations cleared



4.2 ACTIVITIES & WORKFLOW DIAGRAMS

Table 4.2-1 lists the activities that make up the Court Ordered Payments sub-process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Sub-process activities are referenced by index number. The first number (before the period) indicates the sub-process number and the second number (after the period) indicates the sequence number of the activity.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 4.2-1 Court Ordered Payments Activities

Sub-Process 2 – Court Ordered Payments Activities			
Index Number	Activity Label	Activity Description	Actors
2.1	Submit Payment	The offender is ordered by a sentencing authority or releasing authority to pay financial obligations for a variety of items; e.g., victim restitution, court costs, fines, cost of supervision, drug testing etc. The offender is discouraged in making any payments directly to the Field Office and is encouraged to submit payment through JPay. Payments can be submitted in four ways through the vendor JPay: electronically, phone, mail order, or pay at a participating money wire facility (i.e. Walmart). Personal checks are accepted only if so ordered by the sentencing authority. COPS can't disburse or handle more than 499 payees in a single transaction.	Offender Field Office COPS Accounting JPAY



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Sub-Process 2 – Court Ordered Payments Activities			
Index Number	Activity Label	Activity Description	Actors
2.2	Payment Received	<p>If the payment is received by the Field Office, it is receipted through OBIS by the Field Office.</p> <p>If the Field Office accepts the payment, the payment is recorded in OBIS, an OBIS receipt is given to the offender. For any payments accepted in the Field Office, the Field Office staff deposit those payments directly into the COPS bank account.</p> <p>If a DC number has not been provided or is not correct, manual research is done to match the name to the DC number in OBIS.</p> <p>If anything is wrong with the payment and it cannot be processed, an email is sent to the assigned Field Officer and if possible the payment is sent back to the offender.</p> <p>Payments submitted by the offender through JPAY are received in payment batch files electronically. These payment batch files are loaded electronically into OBIS nightly and processed during an OBIS nightly batch job seven days a week. Each night OBIS provides an updated list of DC numbers and names to the payment vendor so that the payment vendor can verify the accuracy of the DC numbers before accepting the payments.</p> <p>ItemAge files are loaded through the same nightly OBIS batch job however only five days a week.</p>	<p>Field Office</p> <p>COPS Accounting</p> <p>Bank</p>



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Sub-Process 2 – Court Ordered Payments Activities			
Index Number	Activity Label	Activity Description	Actors
2.3	Payment Accepted	<p>If the payment is accepted and cannot be matched to a DC number, the unidentified funds are posted to a dummy DC number for that region and not disbursed in OBIS. These funds are held for a year. After this time if the funds still cannot be posted to an offender, the funds are moved to the general revenue account or a Crimes Compensation Account, if ordered by the court.</p> <p>If the payment cannot be accepted for any reason an email is sent to the Field Office by COPS Accounting as notification. Once the Field Office Supervisor receives the email, an investigation is opened and assigned to a Field Officer if appropriate.</p>	COPS Accounting Field Office Offender Bank
2.4	Payment Identified	<p>The offender’s DC number is identified and the payment is processed into OBIS.</p> <p>If there was an issue identified with the payment by COPS Accounting and the issue is resolved by the Field Officer, an email is sent back to COPS Accounting with the details and the payment then can be processed to the offender’s account, etc.</p>	COPS Accounting Field Office
2.5	Payment Deposited	<p>Payments received and receipted in OBIS by the Field Office are not mailed to COPS Accounting. The Field Office deposits those payments into the bank.</p>	COPS Accounting Field Office Offender Bank
2.6	Funds Cleared	<p>COPS Accounting pulls the daily banks statement from the bank’s web site. They verify which deposits were processed, amount of all the deposits and the accuracy of the deposits.</p>	Bank COPS Accounting



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Sub-Process 2 – Court Ordered Payments Activities			
Index Number	Activity Label	Activity Description	Actors
2.7	Funds Disbursed	<p>COPS Accounting makes an entry in OBIS to release a payment batch for processing.</p> <p>An OBIS job is processed automatically after hours five days a week that disburses the funds (by offender) to each payee.</p> <p>Payees are previously created with Payee ID's during the Intake process in OBIS. Centralized payee ID's are created by the Community Corrections Central Office when the payee has requested a main account for all payments; e.g., for a private business for restitution or courts for court costs etc.</p> <p>These payee ID's are utilized during COPS entry to link an offender's financial obligation to the payee in OBIS.</p>	<p>COPS Accounting</p> <p>Bank</p> <p>Payee</p>
2.8	Check Received	<p>A batch file is created nightly (5 days a week) by OBIS and is downloaded from OBIS by COPS Accounting for check printing the following morning. This batch file is processed through "EZ PaySuite" third party check printing software.</p> <p>Once the checks are printed an OBIS file is created containing the details of checks issued and voided. The file is electronically submitted to the bank daily five days a week by COPS Accounting.</p> <p>Any refunds due to the offender, greater than \$10.00 are processed daily.</p> <p>Checks are picked up by Novitex Mailing Services as the presorting and mailing services contractor.</p>	<p>COPS Accounting</p> <p>Bank</p> <p>Payee</p>



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Sub-Process 2 – Court Ordered Payments Activities			
Index Number	Activity Label	Activity Description	Actors
2.9	Financial Obligation Cleared	<p>As part of the on-going supervision of the offender, the assigned Field Officer regularly reviews the payments in OBIS and the status with the offender (OFOA report).</p> <p>The court ordered financial obligation is to be paid in full three months (90 days) before an offender is released from supervision. If an obligation is not paid in full, a judge can convert the restitution or any obligation owed to the court over to a civil lien and then the released offender makes payments directly to the court clerk, thereby reducing the obligation to zero in OBIS for the offender.</p>	<p>Payee</p> <p>Offender</p>
2.10	Returned or Non-cashed Checks	<p>Checks are regularly returned to COPS Accounting for address changes or refusals/refunds from payees. COPS Accounting notifies Community Corrections Field Office so that Community Corrections Field Office can make every effort to deliver the funds to the payee.</p> <ol style="list-style-type: none"> 1. If an address change notification is received from the USPS or the payee, the appropriate staff of Community Corrections Field Office will make the address change in OBIS and open the account so funds can continue to disburse. 2. If the offender is still on active supervision or recently terminated (less than a year) and there is no new address for the payee in OBIS, an email is sent to the Field Office for a new address. The check is voided and the payee account is put in deferred status in OBIS. This will prevent checks from being mailed until the address is corrected in OBIS. After the address is changed, the Field Office will reopen the account so that the funds can re-disburse. 3. If the payee refuses to accept payment, money will continue to be allocated until the obligation is paid in full. Funds will be sent to 	<p>COPS Accounting</p> <p>Field Office</p> <p>Payee</p>



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Sub-Process 2 – Court Ordered Payments Activities			
Index Number	Activity Label	Activity Description	Actors
		<p>general revenue when the offender’s supervision is terminated. If the payee refunds an overpayment the Field Officer is notified and will adjust the obligation balance. The funds will be re-disbursed to other available payees. If the offender has paid all obligations the funds may be refunded to the offender.</p> <p>4. If the offender’s supervision has been terminated for longer than a year and the check is returned or is not cashed, the field officer would establish a Crimes Compensation account if ordered by the court or the check is voided and the funds are posted to the general revenue account. If the payee makes an inquiry and provides a new mailing address the funds are re-disbursed to the payee.</p> <p>5. An OBIS report is run by COPS Accounting for any payees that have not cashed their checks within a year. These checks are voided and processed as in 1 through 3 above.</p>	

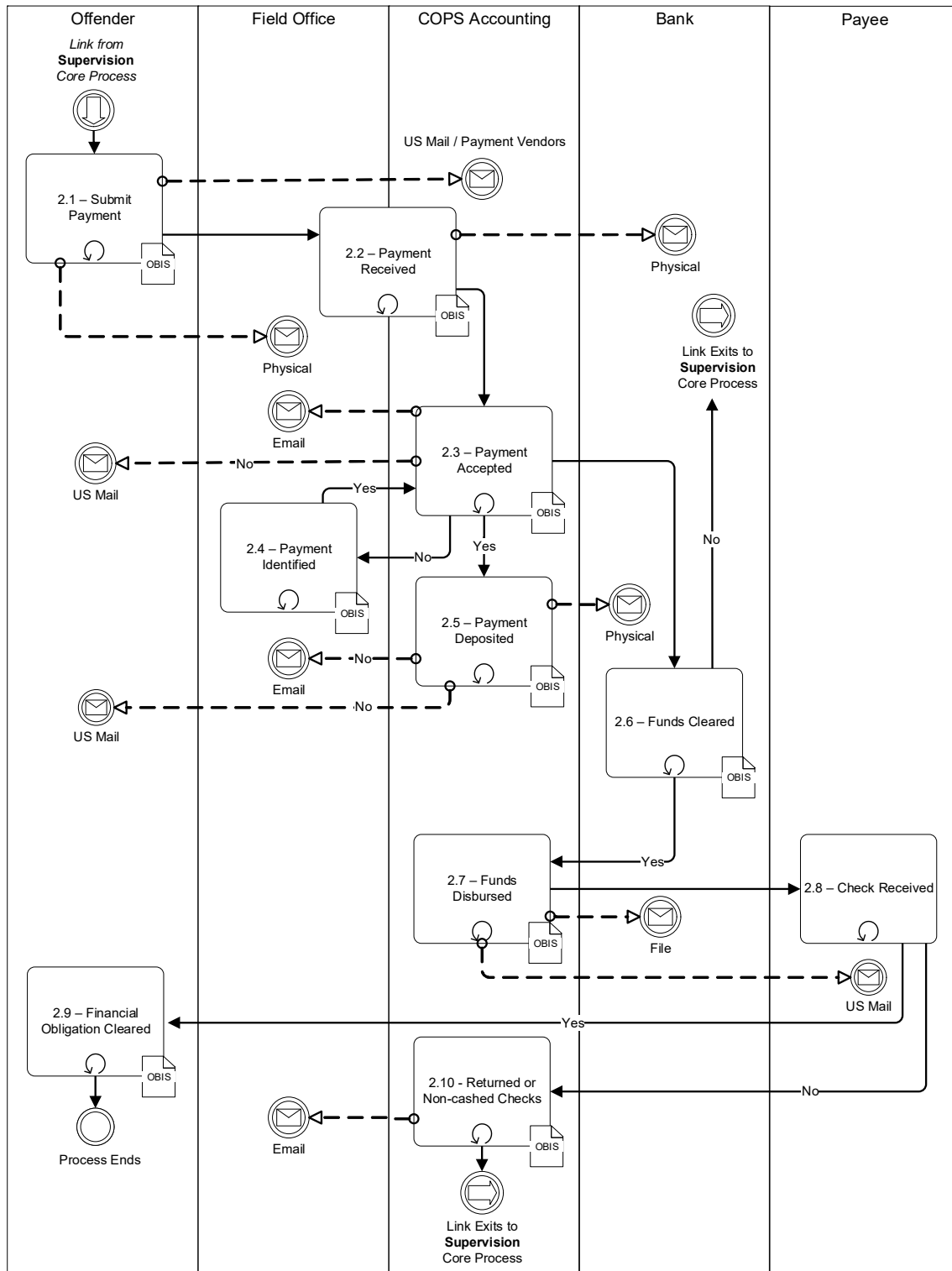


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Figure 4.2-1 Court Ordered Payments Sub-Process As-Is Workflow





5 INVESTIGATIONS SUB-PROCESS

5.1 OVERVIEW

5.1.1 Purpose and Objectives of this process

The purpose of the sub-process Community Corrections – Investigation is to track and complete various types of offender investigations assigned to Field Officers and/or Field Office Supervisors.

The objectives of this process are:

- To provide offender data from requests for information from courts, other agencies, etc. that have been assigned to a Circuit Field Office.
- Respond to investigations in the timeframes outlined in procedures for each type of investigation submitted.

5.1.2 Beginning and Ending Points

Beginning Point:

- An offender investigation is requested

Ending Point:

- Offender investigation is closed



5.2 ACTIVITIES & WORKFLOW DIAGRAMS

Table 5.2-1 lists the activities that make up the Investigation sub-process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Sub-process activities are referenced by index number. The first number (before the period) indicates the sub-process number and the second number (after the period) indicates the sequence number of the activity.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 5.2-1 Investigations Activities

Sub-Process 3 – Investigations Activities			
Index Number	Activity Label	Activity Description	Actors
3.1	Request Investigation	An investigation can be requested from a variety of sources such as courts, state attorney, correctional institutions, other states, and other probation offices/officers, as well as from court dockets, memorandums, phone calls, walk-in offenders, etc. There multiple types of investigations e.g., Presentence, Violation of Probation, Court Ordered Payment (COPS); etc. Each type of investigation may require different procedures on how to handle and what information is required, including specific timeframes on the completion of the investigations; however the process remains the same. An investigation can be requested by email, fax, a phone call or offender’s action.	Investigation Requestor Intake Operations Staff (Intake or Field Office personnel)



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Sub-Process 3 – Investigations Activities			
Index Number	Activity Label	Activity Description	Actors
3.2	Input/Validate Offender Data	The Intake Operations staff is responsible for validating the DC number of the offender or assigning one in OBIS if one is not assigned. Depending on the procedures of the office, the Intake staff, CJIT or Supervisor (or other support personnel) may do the actual OBIS entries or gathering of additional data for the investigation.	Intake Operations Staff (Intake or Field Office personnel) Field Office
3.3	Assign Investigation to Field Office	The Intake Operations staff opens an investigation in OBIS and assigns the investigation to the Field Office for completion in Investigative Tracking System (ITS) (set of OBIS screens). Based on the type of investigation, OBIS generates an automatic completion date.	Intake Operations Staff (Intake or Field Office personnel) Field Office
3.4	Assign Investigation	The Supervisor is responsible for either completing the investigation or assigning the investigation to the appropriate Field Officer. The Field Officer can pull a list of assigned investigations from OBIS for review and tracking.	Field Office (Field Officer / Supervisor)
3.5	Conduct Investigation	A Supervisor or an assigned Field Officer completes the investigation as outlined in the procedures, provide the required information and complete the investigation in the required timeframes. If an investigation requires more time than procedures dictate to complete, the Supervisor has the authority to extend the investigation, and to change the required completion date of the investigation in OBIS. All case notes are updated in OBIS with all details of the investigation. The results of the investigation are sent back to the original investigation requestor via email, fax or phone call.	Field Office (Field Officer / Supervisor)



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Sub-Process 3 – Investigations Activities

Index Number	Activity Label	Activity Description	Actors
3.6	Close Investigation	<p>Once all pertinent investigation information has been gathered and reported back to the requestor, the investigation is closed in OBIS by the Supervisor.</p> <p>The hardcopy document prepared during the investigation is stored in an “Active” offender’s hardcopy file or general pending file.</p>	<p>Field Office (Field Officer / Supervisor)</p> <p>Investigation Requestor</p>

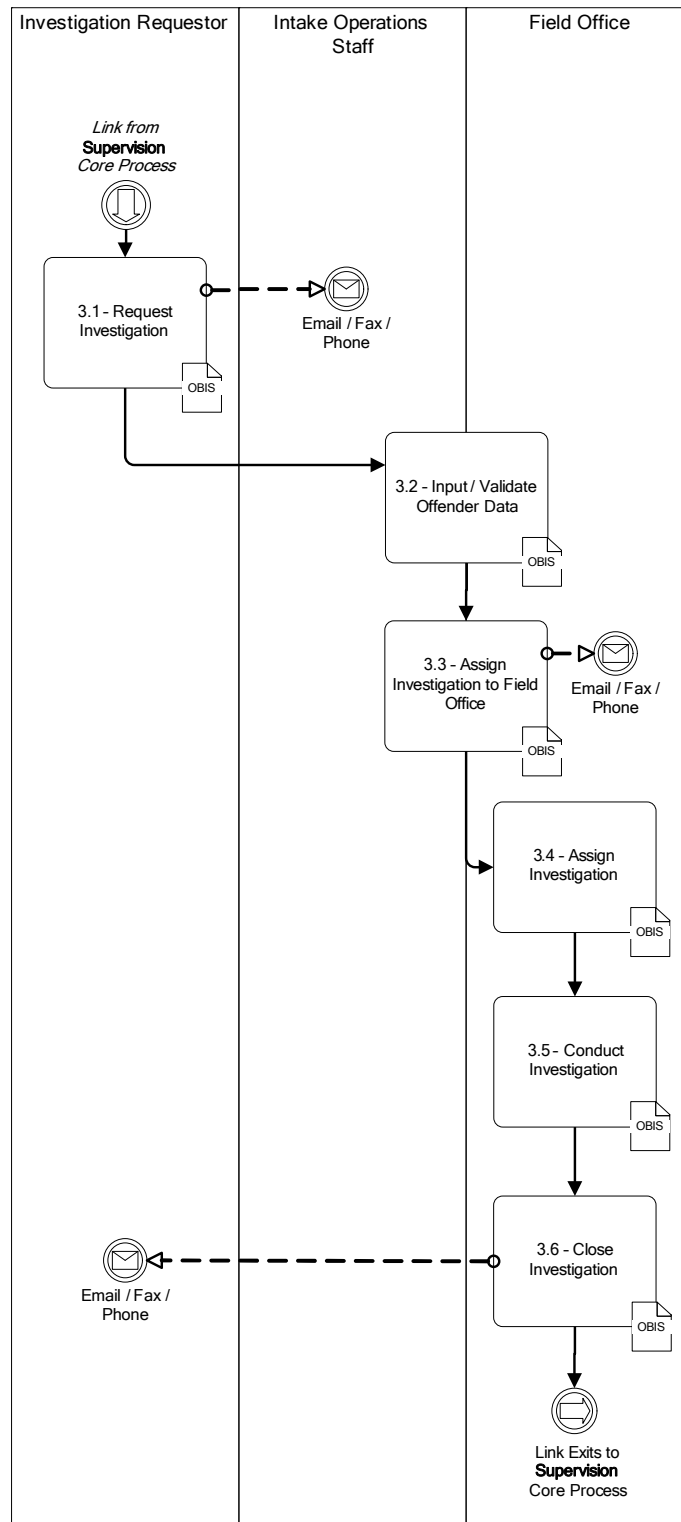


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Figure 5.2-1 Investigation Sub-Process As-Is Workflow





6 TRANSFER (INTERSTATE / INTRASTATE)

6.1 OVERVIEW

6.1.1 Purpose and Objectives of this process

The purpose of the sub-process Community Corrections – Interstate/Intrastate Compact is for the management of the interstate (Offenders transferring out of state or other states offenders transferring into Florida) and intrastate (within Florida) transfers of offenders.

The objectives of this process are:

- Data sharing between agencies both in state and out of state
- Allow for controlled movement and transfer of adult probationers and parolees across state lines, between Field Offices and counties
- Utilize Interstate Compact Offender Tracking System (ICOTS) for Interstate transfer of offenders.
- ICOTS Interstate Compact Offender Tracking System is utilized for up to the date tracking and case management.

6.1.2 Beginning and Ending Points

Beginning Point:

- Offender requests a transfer

Ending Point:

- Offender has been transferred and is under supervision in the new Field Office



6.2 ACTIVITIES & WORKFLOW DIAGRAMS

Table 6.2-1 lists the activities that make up the Transfer (Interstate/Intrastate) process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Sub-process activities are referenced by index number. The first number (before the period) indicates the sub-process number and the second number (after the period) indicates the sequence number of the activity.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 6.2-1 Transfer (Interstate/Intrastate) Activities

Sub-Process 4 – Transfer Activities			
Index Number	Activity Label	Activity Description	Actors
4.1	Offender Requests a Transfer	<p>Offender requests to physically transfer to another location either to another state or to another Florida location. An offender can request a transfer for reasons such as: employment, education, reuniting with family members etc. The actual request must be made through the assigned Field Officer. Any new information obtained on an offender as it relates to information gained on the transfer is recorded in OBIS in case notes.</p> <p>Interstate transfers can be either an offender requesting a transfer out of Florida OR other state offenders requesting transfer to Florida.</p> <p>Intrastate transfers are offenders requesting transfer to another location (e.g., county, circuit) within the state of Florida.</p>	<p>Offender</p> <p>“Sending” Field Office</p> <p>(Field Officer / Supervisor)</p>



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Sub-Process 4 – Transfer Activities

Index Number	Activity Label	Activity Description	Actors
4.2	Evaluate Request / Make Recommendation	<p>The “Sending” Field Officer and Field Officer’s Supervisor evaluates the offender’s transfer request and makes a recommendation (approved or denied) based on the offender’s proposed plan, compliance to the terms and conditions of supervision, residence locations and occupants; etc.</p> <p>The transfer request could be either approved or denied. If the transfer is approved, the process moves to the next activity. If the transfer request is denied, the offender is informed of the reason for the denial and all the denial details are entered into OBIS case notes.</p>	“Sending” Field Office (Field Officer / Supervisor)



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Sub-Process 4 – Transfer Activities			
Index Number	Activity Label	Activity Description	Actors
4.3	Prepare Transfer Documents	<p>On approval, the “Sending” Field Officer prepares the transfer document(s).</p> <p>Interstate: All communication and documentation must be routed through both the “Sending” and “Receiving” Interstate Compact offices and transfer documents/packet will be sent to the “Sending” Interstate Compact Office using the Interstate Compact Offender Tracking System (ICOTS).</p> <p>Intrastate: Communication and documents are sent to the Florida “Receiving” Field Office after a phone call is made for offender reporting instructions. The reporting instructions will be included on the intrastate transfer request. Along with the electronic transfer of the intrastate transfer request, a travel permit will be provided to the offender. A transfer investigation is opened in OBIS (ITS) and case notes are updated in OBIS.</p> <p>Note: If the transfer request is between Field Offices within the same circuit, the offenders file is sent to the “Receiving” Field Office and no other paperwork.</p>	<p>“Sending” Field Office</p> <p style="padding-left: 20px;">(Field Officer / Supervisor)</p> <p>“Sending” Interstate Compact Office</p> <p>“Receiving” Field Office</p> <p style="padding-left: 20px;">(Field Officer / Supervisor)</p>



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Sub-Process 4 – Transfer Activities			
Index Number	Activity Label	Activity Description	Actors
4.4	“Sending” Interstate Compact Evaluates Request / Make Recommendation	<p>The “Sending” state’s Interstate Compact Office validates the request and makes a recommendation. Denial notifications are sent directly back to the Field Officer for them to notify the offender. Approvals and a completed transfer packet are forwarded to the “Receiving” state’s Interstate Compact Office through ICOTS.</p> <p>It is important to note that for both Interstate and Intrastate transfers, the “Sending” state Field Office maintains jurisdiction over that offender even after a transfer has been completed.</p> <p>The “Receiving” Field Office communicates with, and generates annual supervision reports back to the “Receiving” state Interstate Compact Office (Interstate) or “Sending” Field Office (Intrastate).</p> <p>Florida’s Department of Corrections Interstate Compact Office tracks all communications through the Interstate Compact Offender Tracking System (ICOTS) such as; violations, responses to violations, warrants and annual progress reports for all offenders transferred out of Florida and into Florida.</p>	<p>“Sending” Interstate Compact Office</p> <p>“Receiving” Interstate Compact Office</p>
4.5	“Receiving” Interstate Compact Evaluates Request / Make Recommendation	<p>The “Receiving” state’s Interstate Compact Office validates the request and makes a recommendation. Denial notifications are sent back to the “Sending” state’s Interstate Compact Office and then back to the Field Officer for them to notify the offender. For an approved request the transfer packet is sent to the “Receiving” state’s Field Office for investigation.</p>	<p>“Receiving” Interstate Compact Office</p> <p>“Sending” Interstate Compact Office</p> <p>“Sending” Field Office</p> <p>(Field Officer / Supervisor)</p>



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Sub-Process 4 – Transfer Activities			
Index Number	Activity Label	Activity Description	Actors
4.6	Investigate Request / Make Recommendation	<p>Interstate: The “Receiving” Field Officer and Field Officer’s Supervisor evaluate the offender’s transfer request and make a recommendation (approved or denied) based on the offender’s proposed plan, compliance to the terms and conditions of supervision, residence locations and occupants; etc.</p> <p>If the request is approved by the “Receiving” state Field Office, supporting documentation (e.g., reply to transfer with reporting instructions) is returned back through the Interstate Compact Offices using ICOTS.</p> <p>Sometimes an offender is given reporting instructions from another state and arrives at intake or a Field Office before the investigation has been completed and the “Receiving” Field Office has accepted the offender. The offender is gained in OBIS as pending interstate compact. An investigation will be opened and assigned to a Field Officer once the “transfer request” is received from the “Sending” state.</p> <p>The offender is informed that they are allowed to remain in Florida but an investigation still needs to be completed and the offender will be informed of the results of the investigation as soon as it has been completed.</p> <p>Transfer denials are documented and returned back through the “Sending” Interstate Compact Office and then sent to the “Sending” Field Office through ICOTS.</p> <p>The final approved documents are approved in ICOTS by the Interstate</p>	<p>“Receiving” Field Office</p> <p style="text-align: center;">(Field Officer / Supervisor)</p> <p>“Sending” Field Office</p> <p style="text-align: center;">(Field Officer / Supervisor)</p> <p>“Receiving” Interstate Compact Office</p>



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Sub-Process 4 – Transfer Activities			
Index Number	Activity Label	Activity Description	Actors
		<p>Compact Office to the Florida Field Officer assigned the case in ICOTS.</p> <p>Intrastate: The “Receiving” state Field Office completes the investigation by validating the offenders transfer plan, e.g., address etc. A phone call is made to the “Sending” state Field Office with the approval or denial.</p>	
4.7	Notice Received for Approval or Denial	The “Sending” Field Officer receives notification of the approval or denial of the transfer request through ICOTS.	<p>“Receiving” Field Office (Field Officer / Supervisor)</p> <p>“Sending” Field Office (Field Officer / Supervisor)</p> <p>Offender</p>



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Sub-Process 4 – Transfer Activities			
Index Number	Activity Label	Activity Description	Actors
4.8	Generate Offender Travel Documents	<p>Once a transfer request is approved for either an Interstate or Intrastate transfer, the “Sending” Field Officer will generate offender travel documentation that will include a travel permit, any pertinent communication between the sending and receiving Field Offices, and reporting instructions for the offender.</p> <p>Interstate: The travel permit and Notice of Departure documents are prepared by the “Sending” Interstate Compact Office. The offender being transferred will receive a copy of these documents to provide to the “Receiving” Field Office on arrival for Intake processing. These documents are also transmitted to the “Receiving” Field Office through ICOTS.</p> <p>Intrastate: The travel permit is prepared by the “Sending” Field Office, and a copy given to the offender to provide to the “Receiving” Field Office.</p>	<p>“Receiving” Field Office (Field Officer / Supervisor)</p> <p>“Sending” Field Office (Field Officer / Supervisor)</p> <p>“Receiving” Interstate Compact Office</p>
4.9	Offender Notified of Transfer Decision	The offender is notified of the approval or denial of the transfer request by the “Sending” Field Officer.	Offender “Sending” Field Office



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Sub-Process 4 – Transfer Activities			
Index Number	Activity Label	Activity Description	Actors
4.10	Offender Transfer Complete	<p>Interstate: The Notice of Arrival form will be prepared by the “Receiving” Field Office and they send the form to the “Receiving” state through ICOTS. This same form (Notice of Arrival) is also utilized if the offender does not arrive as well.</p> <p>Intrastate: Once the “Sending” Field Office validates that the offender has arrived at the “Receiving” Field Office, the transfer is completed by, gaining the offender in OBIS to the assigned Field Office and Field Officer and the transfer investigation will be closed in OBIS.</p> <p>If the offender does not arrive for intake at the “Receiving” Field Office, the “Receiving” Field Office will notify the “Sending” Field Office and will work as a team to locate the offender.</p>	<p>“Receiving” Field Office (Field Officer / Supervisor)</p> <p>“Sending” Field Office (Field Officer / Supervisor)</p> <p>“Receiving” Interstate Compact Office</p>

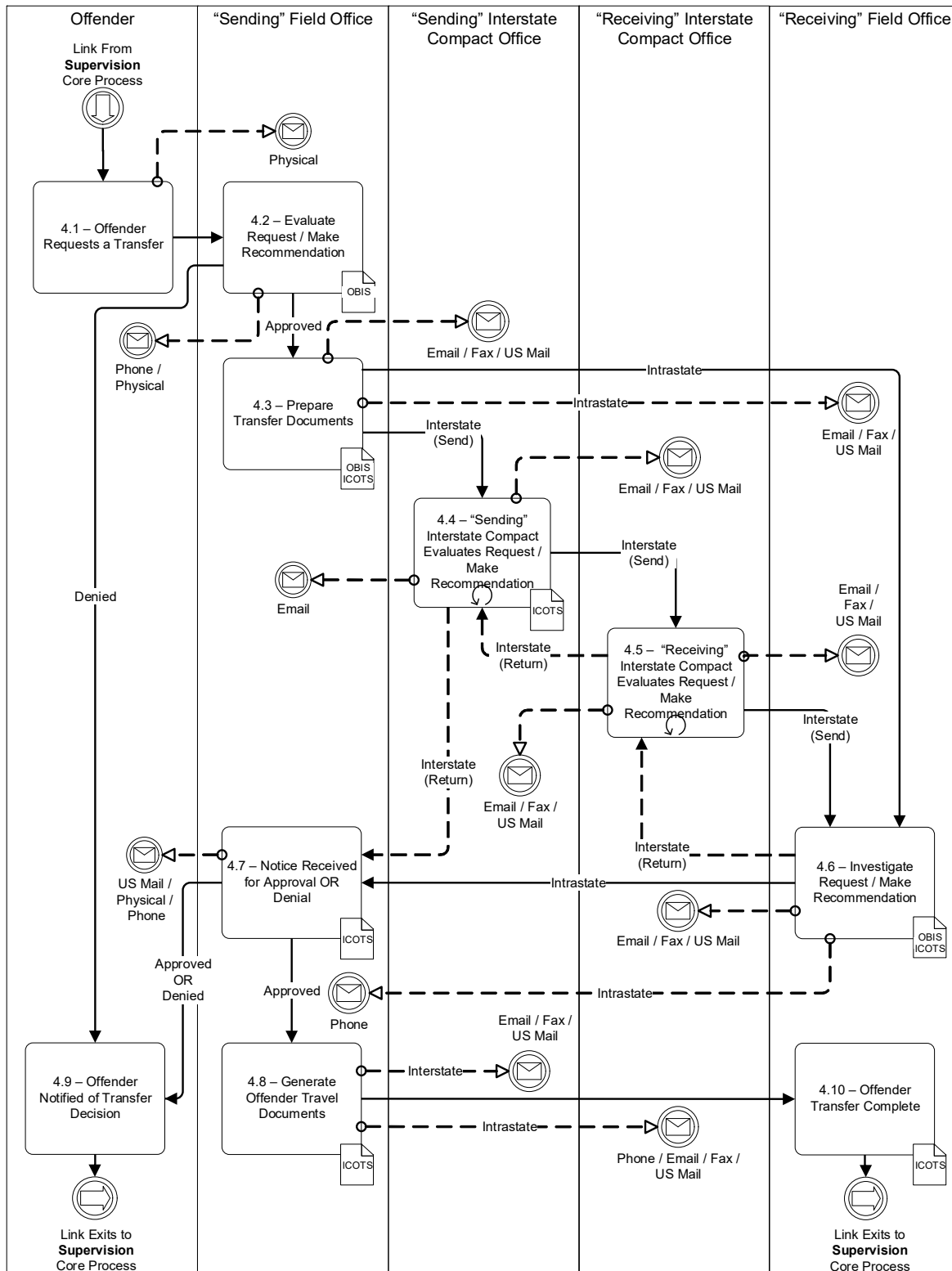


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Figure 6.2-1 Transfer Sub-Process As-Is Workflow





7 COMBINED TABLES:

The following section, using the same activities described and diagramed in the previous sections, provides further detail into the Intake Offender core process, as well as the four sub-process areas. The details of these process areas discussed below include; Elapsed Time, Paper Documentation, Business System Data Entry & Data Transfer, Message, and Process Issues & Recommendations.

7.1 ELAPSED TIME

This section describes the time limits or goals required to complete the activities that make up the core and sub-processes.

Sub-process activities are referenced by index number. The first number (before the period) indicates the sub-process number and the second number (after the period) indicates the sequence number of the activity.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Limit or Goal Time	Any time limits or goals, from any source – internal or external – pertaining to this activity.
Limit or Goal Source	The source of the limit or goal listed above (Florida Statutes, DC policy, etc.)
Speed Bumps	Specific, recurring difficulties that slow the progress of this activity.

Table 7.1-1 Elapsed Time

Core Process G – Intake Offender				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
1.	Inmate Release from Prison	Immediately Upon Release from Prison	Procedure 302.120	The Intake Office does not always know inmates are being released to supervision or inmates with immigration issues are released and should be routed to immigration instead of to supervision



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Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
1.	Inmate Release from Prison	Before Release of Inmate	Technical Instructions 15.05.18 Outpatient Mental Health Services	Currently the completed DC4-661 Summary of Outpatient Mental Health Care form is mailed to the inmate's assigned Field Office. Field Officers interviewed during the site visits advise they do not currently receive the inmate mental health information. Inmate mental health forms are no longer completed in Community Corrections.
1.	Inmate Release from Prison	Before Release of Inmate	Technical Instructions 15.05.18 Outpatient Mental Health Services	Currently the completed DC4-657 Discharge Summary for Inpatient Mental Health Care form is mailed to the inmate's assigned Field Office. Field Officers interviewed during the site visits advise they do not currently receive the inmate mental health information. Inmate mental health forms are no longer completed in Community Corrections.
2.	Court Orders Offender to Supervision	Immediately Upon Sentencing	Procedure 302.120	Processing Delays – Courts processing of Probation Order timely
3.	Receive Referral for Processing	Within 72 hours (post prison release offenders)	Procedure 302.120	Labor Intensive - Manual Verification for No Shows (e.g., inmate release, arrest logs via law enforcement website, court documents)
3.	Receive Referral for Processing	Within 48 hours (other supervised offenders)	Procedure 302.120	Labor Intensive - Manual Verification for No Shows (e.g., inmate release, arrest logs via law enforcement website, court documents)
4.	Input / Validate Offender Data	Upon offender's Arrival to Field Office	Procedure 302.120	Inconsistent operation of Rapid ID Hardware / Software



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Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
4.	Input / Validate Offender Data	Upon offender's Arrival to Field Office	Procedure 302.120	JFI – CDC search has to be printed to review information
5.	Conduct Warrant Check	Upon offender's Arrival to Field Office	Procedure 302.120	Warrant posting delays depending on law enforcement agency and/or NCIC
6.	Instruct Offender	Upon offender's Arrival to Field Office and Validation of Data	Procedure 302.120	Labor intensive – Manual instruction documentation
7.	Assign Offender to Field Officer	Upon intake processing or direction from a court representative	Procedure 302.120	Manual Process – assignment of offender to a Field Officer is manual (instead of system generated by zip code of the residence or work location of the offender). The Supervisor must review manually the Field Officer's current workload, geographical area, work schedule as well. .

Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
1.1	Offender Absconds	5 days from discovery (low risk offenders)	Procedure 302.103	N/A
1.1	Offender Absconds	Immediate (high risk offenders)	Procedure 302.103	N/A



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Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
1.1	Offender Absconds	BOLO (FCIC) issued for high risk offenders		N/A
1.4	Create Violation documents	5 days from discovery (low risk offenders)	Procedure 302.103	N/A
1.4	Create Violation documents	Immediate (high risk offenders)	Procedure 302.103	N/A
1.7	Change Offender Status	As soon as warrant is signed	Procedure 302.103	Delays in getting warrant signed
1.7	Change Offender Status	Within 24 hours of signed warrant information is posted to web	Procedure 302.103	Currently a manual process
1.8	Close / Extend / Suspend Investigation	Within 30 days	Absconder Unit Procedures	N/A

Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
2.1	Submit Payment	Varies – Based on individual offender payment schedule and court order	COPS Technical Manual	<p>Offenders have four ways to pay through the vendor JPAY.</p> <p>Some Field Offices are taking payments directly and errors can occur in deposits to the banks, etc.</p>



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Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
2.2	Payment Received	Varies based on use of payment processing vendor	N/A	Payment instruments which do not meet Department of Corrections requirements must be returned to the offender
2.3	Payment Accepted	< 2 working days after receipt	COPS Accounting	If the offender does not provide the correct DC number, the process will be delayed
2.4	Payment Identified	< 5 days	COPS Technical Manual	If an offender has not been set up with a COPS obligation in OBIS, then the payment can not be posted automatically during the OBIS payment upload job. The payment has to be posted manually by COPS Accounting.
2.5	Payment Deposited	5 Business days (COPS Accounting) Next business day before 2:00 PM (Field Office)	COPS Technical Manual	The offender can not always be identified if the offender did not include their DC number and full name
2.6	Funds Cleared	N/A	N/A	Batch total may not balance. Payment instrument may be counterfeit or stolen. Stop payment order may have been processed by issuer.
2.7	Funds Disbursed	N/A	N/A	Payee address may not be valid. Payment amount may be too small to disburse or allocate and may need to be over ridden manually. Payee obligation may be deferred. Offender may not have any open obligations.



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Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
2.8	Check Received	N/A	N/A	Check may not be received if an incorrect address is in OBIS
2.9	Financial Obligation Cleared	Three months (90 days) before release from supervision	COPS Technical Manual	Offender absconds, has supervision revoked or cannot pay
2.10	Returned or Non-cashed Checks	1 year after termination of supervision	COPS Accounting	Unable to locate payee, or payee does not cash check

Sub-Process 3 - Investigations				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
3.1	Input / Validate Offender Data	2 days	Procedure 302.105 OBIS Manual	N/A
3.3	Assign Investigation to Field Office	2 days	Procedure 302.105	N/A
3.4	Assign Investigation	1 day	Procedure 302.105	N/A
3.5	Conduct Investigation Bond	7 days	Procedure 302.105 OBIS Manual	N/A



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
3.5	Conduct Investigation Conditional Release Supervision (CRSI)	2 days (or prior to inmate's release, whichever is sooner)	Procedure 302.105 OBIS Manual	N/A
3.5	Conduct Investigation Consecutive Sentence (CSEN)	30 days	OBIS Manual Procedure 302.105	Updates to the EOS/TRD
3.5	Conduct Investigation Court Ordered Payment (COPS)	60days	OBIS Manual COPS manual Procedure 302.105	N/A
3.5	Conduct Investigation Other State (OS)	30days	Procedure 302.105 OBIS Manual Procedure 301.001	Other state providing information
3.5	Conduct Investigation Other (OTH)	30 days	Procedure 302.105 OBIS Manual	Multiple variables



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
3.5	Conduct Investigation Placement (PLC)	10 days	Procedure 302.105	N/A
3.5	Conduct Investigation Pre-Sentence – not in custody (PSI)	28 days	Procedure 302.105 OBIS Manual	N/A
3.5	Conduct Investigation Pre-Sentence – in custody (PSIJ)	21 days	Procedure 302.105 OBIS Manual	N/A
3.5	Conduct Investigation Pre-Plea Pre- Sentence (PRP)	28 days	Procedure 302.105 OBIS Manual	N/A
3.5	Conduct Investigation TIPS	Immediate/1 day	OBIS Manual	N/A
3.5	Conduct Investigation Pretrial Intervention Background (PTIB)	21 days	Procedures 302.105, 302.801 OBIS Manual	N/A



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
3.5	Conduct Investigation Pretrial Intervention Preliminary (PTIP)	5 days	OBIS Manual Procedures 302.105, 302.801	N/A
3.5	Conduct Investigation Supervision Review (SUPR)	25 days	OBIS Manual Procedure 302.205	N/A
3.5	Conduct Investigation Transfer (TRNR)	30 days	Procedure 302.105 OBIS Manual	N/A
3.5	Conduct Investigation Transfer (TRNS)	10 days	Procedure 302.105 OBIS Manual	N/A
3.5	Conduct Investigation Violations Investigation Alleged (VIOA)	5 days	Procedure 302.103 OBIS Manual	N/A
3.5	Conduct Investigation Violations Investigation Technical (VIOT)	5 days	OBIS Manual Procedure 302.103	N/A



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
3.5	Conduct Investigation Sex Offender Residence Review (SORR)	10 days	Community Corrections Central Office OBIS Manual Procedures 302.105, 302.701, 302.303	N/A
3.5	Conduct Investigation (IT30 – 30 day review)	45 days	OBIS Manual Procedure 302.003	N/A
3.5	Conduct Investigation Re-Review (REVV)	30 days	OBIS Manual Procedure 302.003	N/A
3.5	Conduct Investigation 30-Day Pre-termination Review (TRM3)	30 days	OBIS Manual Procedure 302.003	N/A
3.5	Conduct Investigation 90-Day Pre-termination Review (TRM9)	30 days	OBIS Manual Procedure 302.003	N/A



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
3.5	Conduct Investigation Career Offender Residence Review (CORR)	10 days	OBIS Manual Procedures 302.105, 302.701, 302.303	NEW N/A
3.5	Electronic Monitoring Enrolled (EMEN)	10 days	Procedure 302.105 Electronic Monitoring Manual	NEW Changes in EOS/TRD
3.5	Electronic Monitoring Hook-Up EMHU	20 days	Procedure 302.105 Electronic Monitoring Manual	NEW Changes in EOS/TRD
3.6	Close Investigation	See Conduct Investigation elapsed times in this table above	Procedure 302.105	N/A

Sub-Process 4 - Transfer				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
4.3	Prepare Transfer Documents	Interstate from court out of state	Procedure 301.001	Incomplete or late submission of transfer packets



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Sub-Process 4 - Transfer				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
		offender – 7 days from request *see note		
4.4	“Sending” Interstate Compact Evaluates Request / Recommendation	5 days	Interstate Compact Internal Guidelines	N/A
4.5	“Receiving” Interstate Compact Evaluates Request / Recommendation	45 days from receipt of request, complete investigation and respond	Procedure 301.001 Interstate Compact Rules	N/A
4.6	Investigate Request / Make Recommendation	Interstate: 20 Calendar days Intrastate: 10 Calendar days (these days are included in the 45 days in Index 5.5)	Procedure 301.001	N/A
4.8	Generate Offender Travel Documents	At time of offender’s departure	N/A	N/A
4.10	Offender Transfer Completed	Interstate: Acceptance valid for 120 days	Procedure 301.001	N/A



7.2 PAPER DOCUMENTATION

This section describes the paper documents required to complete the activities that make up the core and sub-processes. The reference column refers to the originator and title of policy, procedure, or instruction that contains the form or specifies the content of the document, if any. More than one document may be required to carry out a single activity, so each is listed. The following is a description and definition of each of the columns in this table.

Sub-process activities are referenced by index number. The first number (before the period) indicates the sub-process number and the second number (after the period) indicates the sequence number of the activity.



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The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Document Title	Short title, form number or other designation for the document.
Document Description	General description of the document contents and purpose.
Reference or Source	Originator or title of the source instruction or policy.

Table 7.2-1 Paper Documentation

Core Process G – Intake Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
1.	Inmate Release from Prison	Record of Inmate Discharge (DC6-618A)	The release document provided to the inmate at time of release (not consistently looked for, Rapid ID is more important).	Procedure 601.509
1.	Inmate Release from Prison	OBIS Report	A report is pulled to provide a list of all pending institution releases. This allows the offenders to be tracked and the Intake Office to have paperwork prepared for their arrival.	Field Visit
1.	Inmate Release from Prison	Summary of Outpatient Mental Health Care (DC4-661)	A summary of outpatient mental health care which was provided to the inmate while incarcerated, distributed to FDC staff or other treatment providers as needed and upon HIPAA consent.	Health Services Work Shop
1.	Inmate Release from Prison	Discharge Summary of Inpatient Mental Health Care (DC4-657)	A summary of outpatient mental health care which was provided to the inmate while incarcerated, distributed to FDC staff or other treatment providers as needed and upon HIPAA consent.	Health Services Work Shop



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
2.	Court Orders Offender to Supervision	Initial Reporting Instructions (DC3-298)	This form includes the instructions for the offender on where to physically report.	Procedure 302.120
2.	Court Orders Offender to Supervision	Court Data Sheet	Information gathered at the court of offender sentencing etc.	Procedure 302.120 Court
2.	Court Orders Offender to Supervision	Probation Order	Court generated document that details final sentence data	Procedure 302.120 Court
2.	Court Orders Offender to Supervision	Court Calendar	Clerk's docket of the cases before the court that day	Procedure 302.120 Court
2.	Court Orders Offender to Supervision	Commitment Sheet	Detailed sheet contains clerk's memo of sentencing and case data	Procedure 302.120 Court
2.	Court Orders Offender to Supervision	Clerk's File Jacket	File jacket with overview of significant court events	Procedure 302.120 Court
3.	Receive Referral for Processing	Offender Information sheet and Reporting Instructions (DC3-297)	Offenders demographic information and office details on where to report	Procedure 302.120
4.	Input / Validate Offender Data	Intake Investigation Entry Transaction Register (DC3-212)	Direct OBIS data entry if some other person does OBIS input (very few individuals use this form any longer)	Procedure 302.120



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
4.	Input / Validate Offender Data	Felony Disposition and Sentence Data Entry Form (DC3-236)	Direct OBIS data entry for offender sentence structure (very few individuals use this form any longer)	Procedure 302.120
4.	Input / Validate Offender Data	Court-Ordered payment System Data Entry Input Form (DC3-221)	COPS details for Direct OBIS data entry (very few individuals use this form any longer)	Procedure 302.120
6.	Instruct Offender	Order Placing Defendant on Administrative Probation (DC3-277)	Court order placing an offender on Administrative Probation (not full supervision requirements)	Procedure 302.120
6.	Instruct Offender	Instructions to the Offender (DC-246)	Additional Conditions of Supervision to review with offender	Procedure 302.120

Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
1.1	Provide Tips	Processing Tips	Help Document on DC Web	DC Web – Absconder-Unit
1.3	Open Investigation	OBIS Report (IT01/03)	Field Office Supervisor report of new absconder investigations	OIT (OBIS)
1.4	Create Violation documents	Affidavit (DC3-216)	Affidavit Request	Procedure 302.103



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Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
1.4	Create Violation documents	Warrant (DC3-217)	Warrant Request	Procedure 302.103
1.4	Create Violation documents	Violation Report (DC3-202)	Documents the violation of supervision	Procedure 302.103
1.4	Create Violation documents	Intake Investigation Entry/ Transaction Register (DC3-212)	Document that initiates input of loss of absconder	Procedure 302.103
1.6	Investigation to Locate Absconder	Absconder Tracking Checklist	Checklist for investigation	Absconder Unit Procedures
1.7	Change Offender Status	Absconder Related Status Codes Quick Reference Chart	Help Document on DC Web	DC Web – Absconder-Unit

Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
2.1	Submit Payment	There are four ways to pay through JPAY.	Offenders utilizes JPAY and on occasion pay in the Field Officer.	COPS Technical Manual 203.010 Procedure
2.1	Submit Payment	COPS Receipt	A printed receipt is generated by OBIS when a payment is entered in OBIS by the Field Office	COPS Technical Manual



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Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
2.1	Submit Payment	Court-Ordered Payment Manual Receipt Books	This is a manual payment receipt book given to the Field Office. This can be utilized to give the offenders a manual receipt for a payment received at the Field Office if access to OBIS is not available.	DC Web Form
2.2	Payment Received	JPAY	JPAY or in Field Office.	COPS Technical Manual
2.7	Funds Disbursed	Court Ordered Payment System Overpayment or Erroneous Payment OCC	If money was disbursed in error this letter is sent to the payee for reimbursement.	Community Corrections COPS Form Packets
2.8	Check Received	Check	Disbursement from offenders obligations to payees	COPS Technical Manual

Sub-Process 3 - Investigations				
Index Number	Activity Label	Document Title	Document Description	Reference Source or
3.4	Input/Validate Offender Data	Intake/ Investigation Data Entry Form (DC3-212)- not typically used any longer, entered directly into OBIS	Investigation request form that is completed for another person to do the entry into OBIS	Procedure 302.105



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Document Title	Document Description	Reference Source or
3.5	Conduct Investigation	Request investigation worksheet no longer used	General Investigative worksheet for all types of investigations, need to have space to enter notes or related comments	DC Web Forms
3.5	Conduct Investigation Bond	Bond Reduction Investigation (DC3-276)	Investigation to research if an offender can be released on own their own recognizance	Procedure 302.105
3.5	Conduct Investigation Conditional Release Supervision (CRSI)	Conditional Release Interview (FCOR-CRSI-033)	Request that a county jail or federal prison requires of an investigation on an offender being released from jail or federal prison that is required to complete conditional release supervision.	Procedure 302.105
3.5	Conduct Investigation Court Ordered Payment (COPS)	COPS Investigation Request	Document used to research various tasks related to Court Ordered Payments	Procedure 302.105 COPS & OBIS Manuals
3.5	Conduct Investigation Other State (OS)	Interstate Transfer Request ICOTS	Request that is received from the Interstate Compact Office to investigate an out of state offenders plan/request to relocate to Florida.	Procedures 302.105, 301.001
3.5	Conduct Investigation Placement (PLC)	Pre-Release Placement Notification OBIS Report	Report to insure that an offender's release plan adheres to the guidelines of court ordered supervision. It includes various offender and reporting instructions for an offender being released to supervision.	Procedure 302.105



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Document Title	Document Description	Reference Source or
3.5	Conduct Investigation Pre-Sentence (PSI)	Pre-Sentence Investigation (DC3-215) Authorization and Release of Information (DC3-214) Consent and Authorization for Use and Disclosure Inspection and Release of Confidential Information (DC4-711B)	Information requested to be gathered before an offender (not in custody) is sentenced by a sentencing authority	Procedure 302.105
3.5	Conduct Investigation Pre-Sentence (PSIJ)	Pre-Sentence Investigation (DC3-215) Authorization and Release of Information (DC3-214) Consent and Authorization for Use and Disclosure Inspection and Release of Confidential Information (DC4-711B)	Information requested to be gathered before an offender (in custody) is sentenced by a sentencing authority	Procedure 302.105



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Document Title	Document Description	Reference Source or
3.5	Conduct Investigation Pre-Plea Pre-Sentence (PRP)	Pre-plea Release (DC3-232) Pre-Sentence Investigation (DC3-215)	Information requested to be gathered before an offender enters a plea	Procedure 302.105
3.5	Conduct Investigation TIPS	OBIS Generated	FACT received on an absconder tip	OBIS Manual
3.5	Conduct Investigation Pretrial Intervention Background (PTIB)	Pretrial Intervention Background (DC3-288)	Used for a background check first-time offenders charged with certain crimes designated in section 948.08, Florida Statutes, before or after an Information has been filed by a state attorney or an indictment has been returned in a circuit court. Pretrial Intervention programs provide appropriate counseling, education, supervision, medical and psychological treatment as available and when appropriate.	Procedures 302.105, 302.801
3.5	Conduct Investigation Pretrial Intervention Preliminary (PTIP)	Pretrial Intervention Background (DC3-288)	Used for a background check first-time offenders charged with certain crimes designated in section 948.08, Florida Statutes, before or after an Information has been filed by a state attorney or an indictment has been returned in a circuit court. Pretrial Intervention programs provide appropriate counseling, education, supervision, medical and psychological treatment as available and when appropriate.	Procedures 302.105, 302.801



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Document Title	Document Description	Reference Source or
3.5	Conduct Investigation Supervision Review (SUPR)	Supervision Review (FS-SUPRV) ITS 42	Assigned to a Regional Director or designee when a supervision review is scheduled for an offender on parole, control release, or conditional release.	Procedures 302.105, 302.205
3.5	Conduct Investigation Transfer (TRNR)	Travel Permit (DC3-220)	Assigned when an offender is transferring from one circuit or county to another The TRNR is assigned to the "Receiving" Field Office/Officer	Procedures 302.105, 302.306
3.5	Conduct Investigation Transfer (TRNS)	Travel Permit (DC3-220)	Assigned when an offender is transferring from one circuit or county to another The TRNS is assigned to the "Sending" Field Office/Officer	Procedures 302.105, 302.306
3.5	Conduct Investigation Violations Investigation Alleged (VIOA)	Violation Report (DC3-202) Warrant (DC3-217) Affidavit (DC3-216)	Assigned and used to outline the circumstances of a violation of the offender's supervision Note: not always are all three documents required, depending on the type of violation and findings during the investigation	Procedures 302.105, 302.103



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
3.5	Conduct Investigation Violations Investigation Technical (VIOT)	Violation Report (DC3-202) Warrant (DC3-217) Affidavit (DC3-216)	Assigned and used to outline the circumstances of a violation of the offender's supervision Note: not always are all three documents required, depending on the type of violation and findings during the investigation	Procedures 302.105, 302.103
3.5	Conduct Investigation (IT30 – 30 day review)	Initial 30-Day Review (DC3-242 or DC3-2018)	An IT30 investigation is automatically generated in ITS when an offender is initially assigned/gained to an officer or Supervisor position number.	OBIS Manual Procedure 302.003
3.5	Conduct Investigation Re-Review (REVV)	Initial 60-Day Review (DC3-242 or DC3-2018)	If there are areas not complete or in non-compliance during a IT30 investigation, a 'REVV' investigation is entered into ITS	OBIS Manual Procedure 302.003
3.5	Conduct Investigation 30-Day Pre-termination Review (TRM3)	OBIS Report Pre-Termination Review (DC3-243)	Offender supervision that is scheduled to terminate within 30 days (the termination date may be for a single component or for the overall sentence), a 'TRM3' (30-Day Pre-Termination Review) investigation is entered in ITS.	OBIS Manual Procedure 302.003
3.5	Conduct Investigation 90-Day Pre-termination Review (TRM9)	OBIS Report Pre-Termination Review (DC3-243)	Offender supervision that is scheduled to terminate within 90 days (the termination date may be for a single component or for the overall sentence investigation is entered in ITS.	OBIS Manual Procedure 302.003



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Document Title	Document Description	Reference Source or
3.5	Conduct Investigation Sex Offender Residence Review (SORR)	OBIS Generated Review	System generated in OBIS once a residence address is changed for a Sex Offender	Procedure 302.105
3.5	Conduct Investigation Career Offender Residence Review (CORR)	OBIS Generated Review	System generated in OBIS once a residence address is changed for a Career Offender	Procedure 302.105
3.5	Electronic Monitoring Enrolled (EMEN)	OBIS Generated Review	Used to ensure that the electronic device hookup is completed on all applicable inmates before release. Assigned to the residence county who will enter the 3M profile, request hookup assistance, enter EM profile, and forward all electronic monitoring contact information to the hook-up county.	NEW Procedure 302.105
3.5	Electronic Monitoring Hook-Up EMHU	OBIS Generated Review	Used to ensure that the EM device hookup is completed on all applicable inmates before release. Investigation is complete upon installation and activation of the EM device on the offender and notification is made to the residence county contact staff.	NEW Procedure 302.105



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Sub-Process 4 – Transfer				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
4.1	Offender Requests a Transfer	Offender Application for Interstate Compact Transfer	Interstate: Interstate Commission for Adult Offender Supervision (ICAOS) standard form to apply for transfer to another state – must be signed by the offender	Procedure 301.001 (ICAOS) Required
4.1	Offender Requests a Transfer	Transfer Request	Interstate: All details of the offender’s transfer plan e.g., offender information, reason for transfer, justification, residence location and employment	Procedure 301.001 (ICAOS) Required
4.3	Prepare Transfer Documents	Offender’s criminal history	Interstate: All details of the offender’s criminal history	Procedure 301.001 Court Required
4.3	Prepare Transfer Documents	Offense/Arrest Report	Interstate: The arresting agency’s detailed circumstances of the offense	Procedure 301.001 Court Required
4.3	Prepare Transfer Documents	Photo of offender	Interstate: Offender photo for identification purposes	Procedure 301.001 Required
4.3	Prepare Transfer Documents	Conditions of Supervision	Interstate: All conditions of the offenders supervision	Procedure 301.001 Court Required



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Sub-Process 4 – Transfer				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
4.3	Prepare Transfer Documents	Any offender restriction or protection orders	Interstate: Any court orders restricting or protecting victims or any other persons	Procedure 301.001 Court If applicable
4.3	Prepare Transfer Documents	Sexual offender Registry requirements	Interstate: If the offender is required by the sentencing authority to register as a sexual offender/sexual predator per statute	Procedure 301.001 (OCC) If applicable
4.3	Prepare Transfer Documents	Judgment & Commitment Documents	Interstate: Courts documents pertaining to the sentencing, judgment and/or commitment of the offender	Procedure 301.001 Court Institutions If applicable
4.3	Prepare Transfer Documents	COPS details Offender Financial Obligation Agreement (OFOA)	Interstate: Any court ordered payments still owed by the offender	Procedure 301.001 (OBIS report) If applicable
4.3	Prepare Transfer Documents	Pre-Sentence Investigation report (DC3-215)	Interstate: If a pre-sentence investigation (a comprehensive background investigation ordered by the court) was completed on the offender	Procedure 301.001 If available



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Sub-Process 4 – Transfer				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
4.3	Prepare Transfer Documents	Medical Info	Interstate: All offender medical history available. Release DC4-711B to be signed.	Procedure 301.001 If available
4.3	Prepare Transfer Documents	Psychological Evaluation	Interstate: Any offender psychological evaluations. Release DC4-711B to be signed.	Procedure 301.001 If available
4.3	Prepare Transfer Documents	Classification and Admission Summary	Interstate: Inmate classification based on social history, etc. Prepared by the institution	Interstate Compact if applicable
4.3	Prepare Transfer Documents	Travel Permit Interstate (DC3-220)	Interstate & Intrastate: Approval document with travel instructions regarding timeframes to report to “Receiving” Field Office	Procedure 301.001 302.306 Required
4.3	Prepare Transfer Documents	Request for Reporting Instructions	Interstate: Orders given to an offender by a “Sending” or “Receiving” state directing the offender to report to a designated person or place and at a specified date and time.	Procedure 301.001 (ICAOS)
4.3	Prepare Transfer Documents	Intrastate Transfer Request (DC3-237)	Intrastate – out of district: Communication to “Receiving” Field Office for an investigation for approval of offenders transfer	Procedure 302.306



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Sub-Process 4 – Transfer				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
4.4	“Sending” Interstate Compact Evaluates Request / Recommendation	Reply to Transfer Request	Interstate: Document with approval or denial of the offender’s interstate transfer request	Procedure 301.001 (ICAOS) Required
4.5	“Receiving” Interstate Compact Evaluates Request / Recommendation	Reply to Transfer Request	Interstate: Document with approval or denial of the offender’s interstate transfer request	Procedure 301.001 (ICAOS) Required
4.7	Notice Received for Approval OR Denial	Reply to Transfer Request	Interstate: Formal written reply to a request for an Interstate transfer	Procedures 301.001 (ICAOS) Required
4.8	Generate Offender Travel Documents	Travel Permit Interstate (DC3-220)	Interstate and Intrastate: Approval document with travel instructions regarding timeframes to report to “Receiving” Field Office	Procedure 301.001 302.306 Required
4.8	Generate Offender Travel Documents	Notice of Departure	Interstate: Notice to the “Receiving” state that the offender has departed (includes offender time of departure and reporting timeframes)	Procedures 301.001 (ICAOS) Required
4.10	Offender Transfer Complete	Notice of Arrival	Interstate: Notice to the “Sending” state the offender has arrived	Procedures 301.001 (ICAOS) Required



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Sub-Process 4 – Transfer				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
4.10	Offender Transfer Complete	Public Service Hours (DC3-205)	If applicable the “Receiving” Field Officer will prepare for an offender	Procedures 302.306
4.10	Offender Transfer Complete	Job Search Log (DC3-2004)	If the offender does not have a job, the “Receiving” Field Officer will provide job search instructions including this form	Procedures 302.306
N/A	Interstate Compact Form, and may be utilized during Supervision Process	Compact Action Request	Interstate: An official form of communication for Interstate transfers for any question or status of an offender such as clarification of an end date of supervision, or follow up on a transfer request that has had no activity for 60 days, etc.	2016 ICAOS Rules (ICAOS)
N/A	Interstate Compact Form, and may be utilized during Supervision Process	Case Closure Notice	Interstate: A “Receiving” state may close its supervision (close interest and cease supervision) of an offender and cease supervision for reasons of absconding, death, end of supervision date, incarceration, return to “Sending” state	Procedure 301.001 2016 ICAOS Rules (ICAOS)
N/A	Interstate Compact Form, and may be utilized during Supervision Process	Offender Violation Report	Interstate: A report of an offender’s violation of their conditions of supervision while in a “Receiving” state	2016 ICAOS Rules (ICAOS)



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Sub-Process 4 – Transfer

Index Number	Activity Label	Document Title	Document Description	Reference or Source
N/A	Interstate Compact Form, and may be utilized during Supervision Process	Progress Report	Interstate: A report of the offender's status provided annually from the "Receiving" state to the "Sending" state	2016 ICAOS Rules (ICAOS)
N/A	Interstate Compact Form, and may be utilized during Supervision Process	Response to Violation Report	Interstate: A response on actions to take on a "Sending" state's report of an offender's violation of their conditions of supervision while in a "Receiving" state	2016 ICAOS Rules (ICAOS)



7.3 BUSINESS SYSTEM DATA ENTRY & DATA TRANSFER

This section describes the business systems that are employed directly (touched) or indirectly (data transfer) in the course of the core and sub-processes.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Business System	The name or designation of the system touched (if any).
Purpose or Intent	The business objective accomplished by using the system or systems.
Mode	Choose one: "Input" for data entry by the user, "Query" for data retrieved by the user, and "TXFR" for electronic data transfer from one system to another.

Table 7.3-1 Business System Data Entry & Data Transfer

Core Process G – Intake Offender				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
4.	Input / Validate Offender Data	OBIS	A new DC number is assigned to the offender during Intake, if the offender is not currently in OBIS. Otherwise the current DC number is utilized for all new entries for the offender.	Input
4.	Input / Validate Offender Data	OBIS	Enter or update (validate with Rapid ID or offender official photo ID), official name, race, sex, date of birth and social security number	Input/ Query
4.	Input / Validate Offender Data	OBIS	Personal history characteristic information is either updated (for previous offenders) or entered for new offenders in OBIS such as scars/marks, alias, height, weight, complexion, body build, birth location, driver license number and hair and eye color.	Input/ Query
4.	Input / Validate Offender Data	OBIS	Update or enter resident information in OBIS	Input/ Query
4.	Input / Validate Offender Data	OBIS	Update or enter employment information in OBIS	Input/ Query



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Index Number	Activity Label	Business System	Purpose or Intent	Mode
4.	Input / Validate Offender Data	OBIS	If the information comes directly from the court after sentencing, the entries for the sentence structure are made in OBIS. There are sometime delays in receiving the sentencing order from the court. In this instance, entries are required to be made within two days of receiving the information from the court.	Input
4.	Input / Validate Offender Data	OBIS	Entries are made for any court order financial obligations in the Court Ordered Payment System (COPS)	Input
4.	Input / Validate Offender Data	OBIS	Entries are made in OBIS case notes indicating instructions given to the offender, photograph taken, or other special notes that assist in assigning the offender to the appropriate Field Officer for supervision	Input
4.	Input / Validate Offender Data	OBIS	After completion of the Rapid ID process or review, the FDLE number is entered in OBIS	Input
7.	Assign Offender to Field Officer	OBIS	An OBIS entry is made to 'gain' an offender to the assigned Field Officer	Input

Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
1.1	Offender Absconds	OBIS	Field Officer enters case notes in OBIS	Input
1.2	Provide Tips	OBIS	Field Officer enters case notes in OBIS	Input
1.3	Open Investigation	OBIS	Absconder Unit enters an open investigation in the OBIS Absconder Tracking Screen	Input
1.3	Open Investigation	OBIS	OBIS system generates an automatic system note on the offender's record that an investigation has been opened by the Absconder Unit	Auto Input



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Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
1.3	Open Investigation	OBIS	OBIS system generates an open investigation in ITS for the Absconder Unit	Auto Input
1.4	Create Violation documents	OBIS	Field Officer enters case note in OBIS	Input
1.5	Judge Signs Warrant	OBIS	Field Officer enters case notes in OBIS	Input
1.6	Investigation to Locate Absconder	OBIS	Absconder Unit staff enters case notes and on the Absconder Tracking screens in OBIS	Input
1.7	Change Offender Status	OBIS	Field Officer changes offender status in OBIS and enters case notes	Input
1.8	Close / Extend / Suspend Investigation	OBIS	Absconder Unit Staff enters status in the Absconder Tracking Screens and case notes in OBIS	Input

Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
2.2	Payment Received	There are four ways to pay COPS obligation administered by Jpay. OBIS	A file is transferred from the vendor (Jpay) to OBIS for posting payments to offender's accounts OBIS system generates a file of DC numbers and names that is transferred to each payment vendor. The vendor validates the DC number prior to accepting any payment from an offender.	TXFR/ Input



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Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
2.2	Payment Received	OBIS	Payment may be accepted in a Field Office and an entry is made in OBIS on the offender's DC number noting the payment received	Input
2.2	Payment Received	OBIS	Payments accepted by COPS Accounting but can not be identified to a specific offender's DC number are posted to a dummy DC number in OBIS	Input
2.6	Funds Cleared	Bank	COPS Accounting queries the bank website for payments (funds) that have cleared the bank for disbursement	Query
2.7	Funds Disbursed	OBIS EZ Check Bank	<p>A job is processed automatically that disburses payment batches that have been previously released by COPS Accounting.</p> <p>A batch file is downloaded from OBIS to third party software by COPS Accounting, EZ Pay Suite third party check printing software.</p> <p>A file is created from OBIS by COPS Accounting of checks issued or voided and transmitted to the Bank.</p>	Input/ TXFR
2.9	Financial Obligation Cleared	OBIS	Updates are made in the offenders record automatically when their financial obligation has been met	Auto Input
2.10	Returned or Non-cashed Checks	OBIS Bank	Updates will be entered in OBIS by COPS Accounting. COPS Accounting retrieves a file of checks paid from the bank weekly and uploads it into OBIS to update the outstanding check list.	Input/ TXFR



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
3.2	Input/Validate Offender Data	OBIS	The offender data is updated in OBIS if new information regarding the offender is received	Input/Query
3.3	Assign Investigation to Field Office	OBIS	An investigation is opened in the Investigation Tracking Screens (ITS) in OBIS. Case notes may also be entered in OBIS for any information that may assist the Field Officer/Supervisor assigned to the investigation. The investigation is assigned to an appropriate Field Office	Input
3.4	Assign Investigation	OBIS	The Field Office Supervisor makes an entry in OBIS that assigns the investigation to the appropriate Field Officer	Input
3.5	Conduct Investigation	OBIS	As information is gathered the information is entered in ITS (OBIS) and also case notes are updated appropriately	Entry
3.5	Conduct Investigation Bond	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Conditional Release Supervision (CRSI)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Consecutive Sentence (CSEN)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
3.5	Conduct Investigation Court Ordered Payment (COPS)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Other State (OS)	OBIS	As information is gathered, entries are made into ITS (OBIS) along with ICOTS, and also case notes are updated	Input
3.5	Conduct Investigation Other (OTH)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Placement (PLC)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Pre-Sentence (PSI)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Pre-Sentence (PSIJ)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Pre-Plea Pre-Sentence (PRP)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
3.5	Conduct Investigation TIPS	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Pretrial Intervention Background (PTIB)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Pretrial Intervention Preliminary (PTIP)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Supervision Review (SUPR)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Transfer (TRNR)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Transfer (TRNS)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
3.5	Conduct Investigation Violations Investigation Alleged (VIOA)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Violations Investigation Technical (VIOT)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation (IT30 – 30 day review)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Re-Review (REVV)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation 30-Day Pre-termination Review (TRM3)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
3.5	Conduct Investigation 90-Day Pre-termination Review (TRM9)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Sex Offender Residence Review (SORR)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Career Offender Residence Review (CORR)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	NEW Input
3.5	Electronic Monitoring Enrolled (EMEN)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	NEW Input
3.5	Electronic Monitoring Hook-Up EMHU	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	NEW Input
3.6	Close Investigation	OBIS	An OBIS entry is completed in – ITS (OBIS) to update all case notes and close the investigation.	Input



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Sub-Process 4 - Transfer				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
4.1	Offender Requests a Transfer	OBIS	OBIS case notes in the offender's record are updated with the details of the offender's request. If the request is for an intrastate transfer (transfer to another county in Florida), an investigation is opened in ITS for the "Receiving" Field Office to research the offender's proposed new residence etc.	Input
4.2	Evaluate Request and Make Recommendation	OBIS	OBIS case notes are updated with the details of the recommendation of the offender's transfer request, whether denied or approved and reason for the recommendation	Input
4.3	Prepare Transfer Documents	OBIS	OBIS case notes are updated with the dates of the documents were prepared and any other details	Input
4.4	"Sending" Interstate Compact Evaluates Request / Recommendation	OBIS ICOTS	The Interstate Compact Office enters in the ICOTS all offender data utilized to track the transfer and any ongoing information exchange regarding the offender	Input
4.5	"Receiving" Interstate Compact Evaluates Request / Recommendation	OBIS ICOTS	The Interstate Compact Office enters in ICOTS all offender data utilized to track the transfer and any ongoing information exchange regarding the offender	Input
4.6	Investigate Request and Make Recommendation	OBIS	The "Receiving" Field Office updates OBIS case notes and also the open investigation in ITS (OBIS Screens)	Input
4.7	Notice Received for Approval or Denial	OBIS	OBIS case notes are updated with the details received from other areas regarding the decision on the transfer request	Input



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Sub-Process 4 - Transfer				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
4.8	Generate Offender Travel Documents	OBIS	OBIS case notes are updated regarding details of the travel documents being generated and the investigation is updated and closed in ITS (OBIS Screens)	Input
4.9	Offender Notified of Transfer Decision	OBIS	OBIS case notes are updated to reflect the offender being notified of the decision and the next steps the offender should take, if any	Input
4.10	Offender Transfer Complete	OBIS ICOTS	OBIS case notes are updated to reflect the offender's arrival in the new location and if an investigation remained open in ITS (OBIS Screens); it is updated and closed as well. The Interstate Compact Office will update the offender's records in ICOTS as well.	Input



7.4 MESSAGES

This section the messages, such as the US mail, emails, phone calls and any other correspondence, regularly used in the normal course of the core and sub-processes. Messages are sent to convey required documentation, inform recipients about the status of an activity, to trigger the start or end of other activities, to grant or withdraw authorization, etc. This section only concerns messages sent during normal (as intended) operations. Trouble calls and other messages associated with recurring abnormal operations are listed in Section 7.5 – Process Issues & Recommendations. There may be more than one message associated with an activity.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Message Type	US mail, email, phone call, etc.
Message Purpose	The intended purpose for sending the message.
Message Recipient	The organization and role of the intended recipient.

Table 7.4-1 Messages

Core Process G – Intake Offender				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
1.	Inmate Released from Prison	Email / Fax / Physical	Provides necessary paperwork to the Intake Office of released inmates	Intake Operations Staff
2.	Court Orders Offender to Supervision	Email / Fax / Physical	Provides necessary notification and paperwork to the Intake Office of offenders ordered for supervision	Field Office
6.	Instruct Offender	Phone / Physical	Notification of law enforcement for arrest of an offender with an active open warrant	Law Enforcement

Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
1.1	Offender Absconds	Email	Notify Absconder Unit of a Be-On-The-Lookout (BOLO) for any high risk offenders that have absconded.	Absconder Unit



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Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
1.2	Provide Tips	Email / Phone	Information provided to locate the absconded offender	Absconder Unit or Field Office
1.3	Open Investigation	DC Report	Field Office Supervisor's report of new absconder investigations when opened in OBIS	Field Office
1.4	Create Violation documents	Electronic Physical	Obtain signature on Warrant for arrest when an offender has absconded.	Courts
1.7	Change Offender Status	Auto Email	Automatic email to notify Absconder Unit of change in offender absconder status in OBIS	Absconder Unit

Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
2.1	Submit Payment	Vendors	Offender pays through JPAY.	COPS Accounting
2.1	Submit Payment	Physical	When a payment is scheduled the payment may be brought physically to the Field Office by an offender	Field Office
2.2	Payments Received	Physical	If a payment is received at the Field Office, the Field Office is responsible for depositing the checks in the bank	Bank
2.3	Payment Accepted	Email	An email is sent to the Field Office from COPS Accounting with any issues with the payment. Once resolved an email is sent back to COPS Accounting	Field Office



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Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
2.3	Payment Accepted	US Mail	If the payment can not be accepted and the offender's address is known, the payment is mailed back to the offender	Offender
2.5	Payment Deposited	Email	An email is sent to the Field Officer identifying any issues with the payment	Field Officer
2.5	Payment Deposited	US Mail	If the payment cannot be identified to an offender and deposited, however the offender's return address is known, the payment is returned to the offender for proper identification (Offender
2.5	Payment Deposited	Physical	A deposit by COPS Accounting is processed through the bank	Bank
2.7	Funds Disbursed	File	A file is created of checks issued or voided and transmitted to the Bank	Bank
2.7	Funds Disbursed	US Mail	A check is mailed to the payee	Payee
2.10	Returned or Non-cashed Checks	Email	An email is sent to the Field Office from COPS on any issues with returned checks and updates required for new addresses.	Field Officer

Sub-Process 3 - Investigations				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
3.1	Request Investigation	Email / Fax / Phone	To request research on an offender. Depending on the size and organization of the Field Office it may be the assigned Field Officer or Supervisor as well	Intake Operations Staff



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
3.3	Assign Investigation to Field Office	Email /Fax / Phone	Notification to the Field Office Supervisor and/or Field Officer that an investigation has been assigned (for those investigations that are high priority)	Field Office
3.6	Close Investigation	Email /Fax / Phone	Any follow up documents or information requested	Investigation Requestor

Sub-Process 4 - Transfer				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
4.1	Offender Requests a Transfer	Physical	An offender speaks to their assigned Field Officer and physically requests a transfer.	"Sending" Field Officer
4.2	Evaluate Request and Make Recommendation	Physical / Phone	The assigned "Sending" Field Officer informs the offender the transfer request was denied and the reason for the denial.	Offender
4.3	Prepare Transfer Documents	Email / Fax / US Mail	The assigned "Sending" Field Officer sends transfer documents to the "Receiving" Field Office regarding an offender's request to transfer to another in-state Field Office for supervision – Intrastate.	"Receiving" Field Office
4.3	Prepare Transfer Documents	ICOTS	The assigned "Sending" Field Officer sends transfer documents to the "Sending" - Interstate Compact Office regarding an offender's request to transfer out of state.	"Sending" Interstate Compact Office
4.4	"Sending" Interstate	ICOTS	Notification from the "Sending" Interstate Compact Office to the "Receiving"	"Receiving" Interstate



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Sub-Process 4 - Transfer				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
	Compact Evaluates Request / Recommendation		Compact Office regarding the offender's Interstate transfer request.	Compact Office
4.4	"Sending" Interstate Compact Evaluates Request / Recommendation	ICOTS	Notification back to the "Sending" Field Office from the "Sending" Interstate Compact Office regarding the decision of the offender's interstate transfer request.	"Sending" Field Office
4.5	"Receiving" Interstate Compact Evaluates Request / Recommendation	ICOTS	Notification back to the "Sending" Interstate Compact Office from the "Receiving" Interstate Compact Office regarding the decision of the offender's interstate transfer request.	"Sending" Interstate Compact Office
4.5	"Receiving" Interstate Compact Evaluates Request / Recommendation	ICOTS	Notification to the "Receiving" Field Office from the "Receiving" Interstate Compact Office regarding the offender's interstate transfer request for investigation.	"Receiving" Interstate Compact Office
4.6	Investigate Request and Make Recommendation	ICOTS	Notification from the "Receiving" Field Office to the "Receiving" Interstate Compact Office of the recommendation of the offender's interstate transfer investigation request.	"Receiving" Interstate Compact Office



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Sub-Process 4 - Transfer				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
4.6	Investigate Request and Make Recommendation	Phone	Notification from the "Receiving" Field Office to the "Sending" Field Office of the recommendation on the offender's intrastate transfer request and reporting instructions (if approved).	"Sending" Field Office
4.7	Notice Received for Approval or Denial	ICOTS	Notification to the offender from the "Sending" Field Office of the decision on the transfer request and reporting instructions (if approved).	Offender
4.8	Generate Offender Travel Documents	Phone / Email / Fax / US Mail	Notification from the "Sending" Field Office to the "Receiving" Field Office. The "Sending" Field Office calls the "Receiving" Field Office for the offender's intrastate reporting instructions and then the final paperwork is send to the "Receiving" Field Office (may be the same phone call as noted in Index 6 above).	"Receiving" Field Office
4.8	Generate Offender Travel Documents	ICOTS	Notification from the "Sending" Interstate Compact Office to the "Sending" Interstate Compact Office with the offender's notice of departure.	"Sending" Interstate Compact Office



7.5 PROCESS ISSUES & RECOMMENDATIONS

This section lists the issues that have arisen while analyzing the core and sub-processes. These are the difficulties that result in an activity losing its effectiveness, degrading its efficiency and hindering its adaptability. Each activity can have more than one issue associated with it.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Issue	Short description for the issue.
Impact	Impacts or consequences of the issue (e.g., confusion, delay, error, incident).
Recommendation	Recommendation for addressing the issue or reducing its impact (if any).

Table 7.5-1 Process Issues & Recommendations

Core Process G – Intake Offender				
Index Number	Activity Label	Issue	Impact	Recommendation
1.	Inmate Release from Prison	The OBIS report that is pulled of institution releases is obsolete the minute it has been printed.	Inaccurate or incomplete data	Intake Office to have live access to prison releases and not rely on a printed report
1.	Inmate Release from Prison	Inmates being released that have immigration issues	Inmates are coming out into the Field instead of being handled by immigration – possible public and Field Officer safety issue and/or flight risk. This has been decreasing. ICE decides whether to detain or not detain – not FDC.	Intake Office to have live access to prison releases and not rely on a printed report.



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Index Number	Activity Label	Issue	Impact	Recommendation
1.	Inmate Release from Prison	<p>Currently the completed DC4-661 Summary of Outpatient Mental Health Care form is mailed to the inmate's assigned Field Office. Field Officers interviewed during the site visits state they do not currently receive the inmate mental health information. Due to the Field Office assignments changing before the inmate is released these forms are being mailed and getting lost.</p> <p>Inmate mental health forms are no longer completed in Community Corrections.</p>	<p>Offenders may only have 30 days of medications. Field Officers do not have all information regarding the released offender and poses a Field Officer or public safety issue.</p>	<p>Suggest locating forms in a secure network location and during the offender's intake process these forms could be located and placed in the offender's file.</p>



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Index Number	Activity Label	Issue	Impact	Recommendation
1.	Inmate Release from Prison	<p>Currently the completed DC4-657 Discharge Summary for Inpatient Mental Health Care form is mailed to the inmate's assigned Field Office. Field Officers interviewed during the site visits state they do not currently receive the inmate mental health information.</p> <p>Due to the Field Office assignments changing before the inmate is released these forms are being mailed and getting lost.</p> <p>Inmate mental health forms are no longer completed in Community Corrections.</p>	Offenders may only have 30 days of medications. Field Officers do not have all information regarding the released offender and poses a Field Officer or public safety issue.	Suggest locating forms in a secure network location and during the offender's intake process these forms could be located and placed in the offender's file.
2.	Court Orders Offender to Supervision	Court processing procedures (e.g., judge's signature, calendar processing, and clerk's schedule) could delay the production and delivery of the Probation Order to the appropriate supervision office.	The court ordered special conditions of the sentence structure may be incorrect and offender may not be supervised appropriately	Investigate the ability to share critical information to improve supervision and treatment of an offender (e.g., access to court systems electronic records).



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Index Number	Activity Label	Issue	Impact	Recommendation
3.	Receive Referral for Processing	The actual process of processing an offender for supervision is a labor intensive process. Activities such as verifying inmate releases, searching arrest logs and sentencing structures, and investigating offenders that do not report to the Intake Office are time consuming and very dependent on a manual a process.	Labor costs, offenders are potentially unsupervised	Utilize a Court Officer to expedite the process from the courts in all locations.
4.	Input / Validate Offender Data	In OBIS, Field Officer's must decipher and/or re-enter inconsistent date formats on the various input/verification screens (e.g., OIT field editing).	Format of dates is not consistent in OBIS	OIT could research the possibility for short term improvement in OBIS to change field edits for system dates to be consistent across all screens (e.g., OIT field editing and one time database update).



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Index Number	Activity Label	Issue	Impact	Recommendation
4.	Input / Validate Offender Data	The use of the Rapid ID electronic identification application is not always fully operational (e.g., application or hardware issues).	Quality of fingerprints impact accuracy of identification with the Rapid ID system.	Review the overall issues reported by the Field Offices to see if there is anything that seems to be the same issue across the board that could be corrected easily with Rapid ID.
7.	Assign Offender to Field Officer	The assignment of an offender to a Field Officer based on caseload type and statutory caseload sizes.	Field Officers are assigned caseloads based on caseload type and statutory requirements.	
7.	Assign Offender to Field Officer	The procedure change to "GAIN" an offender coming from an Institution	Delay in getting the offender into supervision	Allow Field Office to work with the Institution to access inmate information prior to release. This has been improving with training.

Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Issue	Impact	Recommendation
1.3	Open Investigation	The IT05 Absconder Tracking Screen pulls data; however the data is in a difficult to read format and is not user friendly.	There could be a delay in the investigation process for an absconder case	Research the possibility to create a more user friendly screen in order to display tracking data



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Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Issue	Impact	Recommendation
1.3	Open Investigation	An automated notification email is not relayed to the Field Office Supervisor when an open investigation tip is entered into the Absconder Tracking Screen.	A delay in the assignment of the investigation to the Field Officer thereby prompting an immediate investigation.	Research the ability to prompt an email notification in order to expedite the process of an investigation assignment by the Field Officer's Supervisor when a tip is entered on IT05 Absconder Tracking Screen.
1.4	Create Violation Documents	The generation of the violation documents is a manual process from MSWord documents on DC Web.	This causes delays, errors, eligible handwriting and misfiling in processing the violation	Research the ability to automate the violation documents and auto populate with already existing OBIS data
1.4	Create Violation Documents	OBIS does not allow for capture of images of offender data therefore the documents are kept in hardcopy format.	Having to maintain hardcopies increases costs related to storage of hardcopy files	Research the ability to allow for the capturing of electronic images (e.g., forms, signature, photos)
1.6	Investigation to Locate Absconder	Booking notices are not electronically shared between agencies and states.	The validation and research of this data is untimely and labor intensive	Research the ability to exchange electronic daily booking data with agencies and other states and merged with OBIS data. This would allow reports to be printed real time of offenders being incarcerated and save time of Field Officer staff attempting to locate these offenders.



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Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Issue	Impact	Recommendation
1.7	Change Offender Status	The Field Office Supervisor is not currently copied when the automatic Absconder Unit email is generated in response to an absconder offender's status is changed from absconder.	This causes delays in initiating the violation investigation or when the case has been resolved	Research the ability to prompt an email notification to the Field Officer's Supervisor
1.7	Change Offender Status	An automated email is not relayed to the Absconder Unit and Field Office Supervisor at the time an OBIS status is changed to "Absconder" on a sex offender. This expedited the BOLO notice.	This causes delays in initiating the violation investigation or when the case has been resolved	Research the ability to prompt an email notification to the Field Officer's Supervisor

Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Issue	Impact	Recommendation
2.1	Submit Payment	The offender makes a payment at the Field Office and the Field Office staff do not follow the COPS Accounting procedures for validating and depositing payments.	This can result in an internal investigation, errors in deposits, lost or late deposits	Retrain the Field Office staff that are having these issues
2.3	Payment Accepted	When a payment is received and voided, a MS Outlook message is sent to the supervising probation officer and the supervisor.		



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Sub-Process 2 - Court Ordered Payments (COPS)

Index Number	Activity Label	Issue	Impact	Recommendation
2.4	Payment Identified	There are four ways to pay using JPAY.		JPAY is in place for payments.

Sub-Process 3 - Investigations

Note: There were no process issues identified for this sub-process.

Sub-Process 4 - Transfer

Index Number	Activity Label	Issue	Impact	Recommendation
4.3	Prepare Transfer Documents	Incomplete or late submission of transfer packets	Interstate: Interstate Compact rules are being violated	Email reminders are sent and it is noted in OBIS. ICOAS compliance has increased.
4.4	“Sending” Interstate Compact Evaluates Request / Recommendation	Delay in response to request	Interstate: Interstate Compact rules are being violated	ICOTS/email reminders being sent. ICOAS compliance has increased.
4.5	“Receiving” Interstate Compact Evaluates Request / Recommendation	Delay in response to request	Interstate: Interstate Compact rules are being violated	ICOTS/email reminders being sent. ICOAS compliance has increased.



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Sub-Process 4 - Transfer

Index Number	Activity Label	Issue	Impact	Recommendation
4.8	Generate Offender Travel Documents	Delay in response to request	Interstate: Interstate Compact rules are being violated	Email reminders being sent. ICAOS compliance has increased.



7.6 GENERAL OPPORTUNITIES FOR IMPROVEMENT

The purpose of this document is to capture general overall improvement suggestions that can apply as an improvement to multiple areas under the function and responsibility of Community Corrections.

The following is a description and definition of each of the columns in this table.

Origin	The area of the improvement such as: Interstate Compact, Absconder Unit, Central Office etc.
Description	A short descriptive name for the opportunity.
Opportunity	Description of the proposed opportunity, including expected result.

Table 7.6-1 General Opportunities for Improvement

General Opportunities for Improvement		
Origin	Description	Opportunity
COPS Accounting	COPS Summary Screen	OP10 – Summary screen OP03 and OP05 do not add up to the summary screen if you manually add. Summary screen is currently not built user friendly for the Field Officers. You have to know exactly how to execute the report to get the summary to calculate correctly.
COPS Central Office	Email Notification	Once an action is taken in OBIS that requires subsequent action, an email is sent automatically to the assigned/secured/required responder web-based email management application (e.g., Outlook)
Gang Depart	Gang Member Report	Have Gang Member report to automatically run and routed to the individual Field Office printers due to urgent nature of getting this information in the hands of the Field Officers (instead of manually being routed to each Field Office printer).
Observation	Laptop for Court Officers	Laptops have been provided to court officers but paper forms are utilized in some courts.
OCC	CJNET	Allow view only access on CJNET web link for OBIS view only screens. This way anyone who has access to CJNET would automatically be given the view only screens. There would be no need for security, contracts etc. for access for State Attorney's etc.



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General Opportunities for Improvement		
Origin	Description	Opportunity
OCC	SAGES web link	<p>Alter the SAGES web link to store scoresheet data in OBIS. Currently, the State Attorney only has access to the SAGES calculator and which does not provide the full offender history.</p> <p>The SAGES web link also needs to upload from the web link into OBIS once the sentencing calculation is completed for the offender. Otherwise this data is lost once the report is printed.</p>
OCC	OT21 Inmate Sentencing Structure Screen	On the OT21 Inmate Sentencing Structure Screen there is only the ability to enter 2 sentence lengths. There needs to be 3 sentence lengths entries/fields.
OCC	DC17 for Florida Commission on Offender Review	<p>Florida Commission on Offender Review currently calculate conditional release on a hardcopy form and put in a note format on the OBIS RA06 screen.</p> <p>The majority of RA06 doesn't load to Community Corrections correctly. If the Commission was given access to a copy of DC17 screen they would be able to calculate the conditional release online.</p>
OCC/Field (Workshop)	Inmate/Offender Full History Screen or Report	Enable the Field Officer to view full or print total offender's history (Inmate at a Glance) Need Offender at a Glance screen-web based.



**State of Florida
Department of Corrections
Office of Information Technology**

Institutions Core Business Process Analysis

Core Process C: Release Inmate Process

Author:	North Highland
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DOCUMENT CONTROL

Change Record

Date	Author	Version	Change Reference
1/18/2008	North Highland	0.01 (Draft)	Created
3/21/2008	North Highland	1.0 (Draft)	Final Draft
4/15/2008	North Highland	2.0	Final Deliverable
10/30/2016	North Highland	3.0 (Draft)	Updated documents reflecting any business process changes from the 2008 study
11/18/2016	North Highland	4.0	Updated documents reflecting FDC feedback on draft document

Review

Name	Role	Date
Chuck Beckett	North Highland Quality Assurance	10/28/2016
FDC	Client Review of Draft Document	11/10/2016
Jennifer Nichols	North Highland Quality Assurance	11/17/2016



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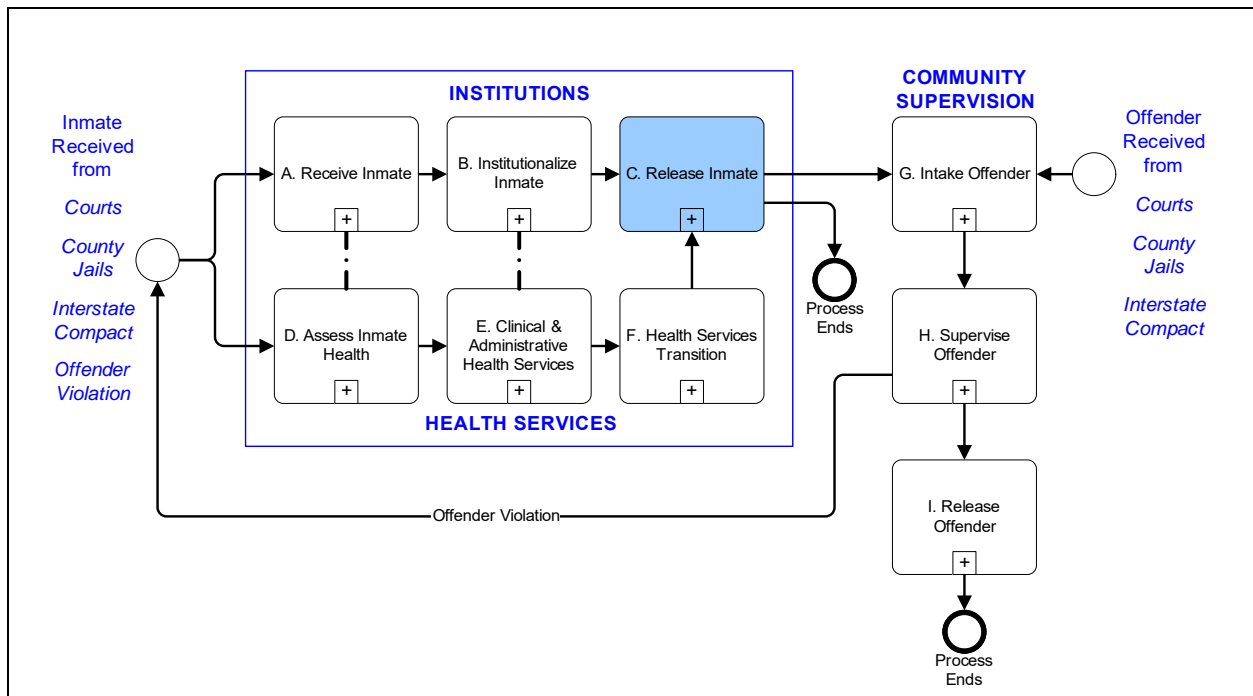
1 DC CORE BUSINESS PROCESSES

1.1 THE PURPOSE AND SUBJECT OF THIS ANALYSIS

The Department of Corrections (Department, DC) is carrying out an analysis of its major business processes. The primary intent of this activity is to establish the foundation for the development of a new business system, which will replace the Offender-Based Information System (OBIS); the Computer Assisted Reception Process (CARP) system was subsumed by OBIS after the completion of the 2008 analysis. This analysis will also result in a set of functional and technical requirements for the new business system.

The figure below shows the entire DC set of nine core business processes examined during this project, identified by the letters A through I, and the general sequence in which they are performed. The box highlighted in blue indicates the core business process presented in this document.

Figure 1.1-1 Department of Corrections Core Business Processes





2 RELEASE INMATE

2.1 OVERVIEW

2.1.1 Purpose and Objectives of this process

The purpose of the core process, Institutions – Release Inmate, is to ensure completion of all tasks required by statute, rule, procedure or best practices prior to the lawful end of a commitment to state custody. The inmate may be released without legal constraint, placed under post-release supervision (executive or judicial), turned over to another legal authority for criminal process (law enforcement) or civil process (Immigration and Customs Enforcement or Department of Children and Families civil commitment for sexually violent predators).

The objectives of this process are:

- Determine if an inmate has reached the lawful end of a court commitment to state custody
- Determine the type of release
- Review all inmates prior to release for transition services programs, residential housing, employment, and other special services as needed or required by law
- Conduct a full medical assessment on the inmate
- Determine the entity to whom the inmate will be released, if applicable
- Notify all appropriate organizations and individuals of the pending release
- Ensure the inmate is not subject to warrants or detainer notices by other jurisdictions either in Florida or elsewhere (courts, law enforcement, corrections)
- Fully inform the inmate about his or her obligations following release (e.g., supervision by Community Corrections)
- Ensure all Department of Corrections information about the inmate is current and validated (numerous reviews)

2.1.2 Beginning and Ending Points

This process begins 240 days prior to a tentative release date when an inmate's name appears on the "Future Releases by Date" report (AS14 0 OTC 50). Release Officers use the DC6-159 (Revised 8/16) form, "Release/Transition Checklist," to guide and document the activities associated with inmate release processing. The release phases have also been incorporated into the classification appointment system in OBIS to assist with tracking required tasks. This form is mandatory and serves to ensure that each checklist item is completed and initialed to indicate completion. In addition, a "Release Officer's Handbook" (Revised 8/2016) is available to guide the release processing and correlates directly to the checklist.

Note: There is a "special" assessment package completed at least 545 days from anticipated release for inmates that may be subject to civil commitment under the Jimmy Ryce Act for sexually violent predators (JRA; SVP). The package is sent to the Department of Children and Families for review and the Release Officer is required to ensure that the packet was mailed and received by the Central Office (Department of Corrections) as part of the release process (the Release Officer's validation is accomplished as part of the "180 days prior to release" checklist).



This process ends when an inmate is released from the physical custody of the Department of Corrections or, for inmates confined by another custodian, when FDC provides final authorization to release to that custodian. .

The “normal” release process is described in this document. There are “other” types of releases that may occur:

Out to Court:

If the inmate is out to court on the day of release, the release checklist remains in effect with the exception of those tasks that require direct interaction with the inmate. If the inmate becomes an emergency release while out to court, institutional staff, when notified, immediately completes all applicable tasks on the checklist and informs Release Management when the file audits are completed by the sentence specialist and Release Officer. Release Management staff completes all release forms.

Immediate Releases:

Immediate releases occur when the release date is advanced to bring the sentence to an end without prior notice, may be caused by court action, Florida Commission on Offender Review action, removal of a disciplinary report(s), entry of gain time, or modification of gain time. For immediate releases, the release checklist is completed in an abbreviated time frame. All applicable items are completed on the same day of release. Release Management contacts the releasing institution when a “potential release” message is received from the Sentence Structure unit of the Bureau of Admission and Release (A/R). These messages are sent because Sentence Structure has determined that the inmate’s sentence will likely immediately expire based on one of the aforementioned actions. The Release Officer completes all applicable tasks to ensure release procedures are followed. When the “final” message is received from the Sentence Structure confirming the inmate’s sentence has been satisfied, Release Management sends the releasing institution authorization to release the inmate. Release Management does not approve an inmate to be held beyond his/her release date. If the institution feels there is a public safety issue, the institution calls Release Management to discuss the concerns in detail.

Paroles:

An inmate granted a parole release by the Florida Commission on Offender Review is discharged only on the effective parole date (always on Tuesdays).

Process:

The Release Officer receives a packet from the Commission prior to releasing the parolee. The Release Officer instructs the inmate if he/she violates his/her parole no credit will be allowed for time on parole unless granted by the Florida Commission on Offender Review and “ALL” gain time earned prior to the date of parole is forfeited upon revocation. If any information on the Certificate of Parole is incorrect, the Release Officer immediately notifies the Florida Commission on Offender Review for verification and/or further instruction. After the inmate has signed the Certificate of Parole, the warden (or designee) signs the certificate validating the parole. If the Parole Certificate is received without the effective date of the parole, the inmate is not released until such time as a certificate containing the effective date is received and processed. If an inmate refuses parole, the reason(s) for the refusal is discussed thoroughly. The inmate is allowed a period of time to reconsider. On the effective date of the parole, the inmate is given the opportunity to accept parole; if accepted, routine procedures are followed. Upon release, the inmate is



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provided a copy of the Certificate of Parole; the remaining copies are distributed accordingly. If parole is refused, the inmate signs the Statement of Refusal which is witnessed by two (2) staff members. The Florida Commission on Offender Review is notified immediately of the refusal. "VOID" is written across each copy of the Certificate of Parole, a copy of the refusal statement attached, and all copies are returned to the Florida Commission on Offender Review.

Conditional Medical Release:

Conditional medical release may be granted by FCOR pursuant to s. 947.149, F.S., based on a determination by the Department's medical authority that the inmate is permanently and irreversibly physically incapacitated or terminally ill to the extent that he/she does not constitute a danger to themselves or others. The Department's medical authority has the sole responsibility for evaluating and determining that an inmate meets the criteria for referral to the Florida Commission on Offender Review.

Process:

The institutional Chief Health Officer determines if an inmate meets the eligibility for conditional medical release. The Chief Health Officer notifies the Warden and Classification Supervisor of the intent to recommend the inmate for Conditional Medical Release (CMR). The Chief Health Officer sends a memo to classification and medical staff requesting a release plan, criminal records, and a medical packet. A plan of community supervision is developed by the Release Officer and approved by Community Corrections. The Chief Health Officer forwards the medical recommendation to the Director of Health Services. If approved, the Director for Health Services forwards the recommendation to the Florida Commission on Offender Review. If approved by the Commission, authorization is sent to Release Management. The release clearance comment is entered reflecting that FCOR granted Conditional Medical Release. When these steps have been completed, the inmate is released as soon as possible.



2.2 ACTIVITIES & WORKFLOW DIAGRAMS

Table 2.2-1 lists the activities that make up the Inmate Release Core Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Diagrams with a plus sign (+) signify a sub-process. A sub-process will have its own activity diagram and contains two numbers separated by a period. The first number corresponds to the original activity number and the second number, after the period, is the sequence order in which that sub-process' activity is performed.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 2.2-1 Release Inmate Activities

Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
1.	Assess Health	<p>The Release Officer coordinates with Health services for potential inmate continuity of care needs (240 days prior to release).</p> <p>Inmates are referred to Health Services to determine medical/mental health care needs following release (e.g., housing, counseling and/or medical financial assistance). Medical/mental health issues such as hospital arrangements, nursing homes, Medicaid/Medicare, and ambulatory service needs are managed by medical staff personnel with assistance from the medical release coordinator in Release Management.</p>	Health Services Inmate



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
2.	Release File Audit	<p>The file is reviewed (commitments, court orders, FCIC/NCIC, Sentencing Guideline Score sheets) 180-140 days prior to release to identify and correct any discrepancies in the sentencing documents, institutional inmate records, and the automated inmate records. The audit also serves to ensure the inmate’s release plan comports with all existing requirements as set forth in legislation and department procedures.</p> <p>The Release file audit is not completed if the inmate’s tentative release date (TRD) has been flagged as “pending.”</p> <p>Note: DC form DC6-164 (revised 12/15), “Inmate File Audit Checklist” is used to facilitate this activity.</p>	Classification Release Officer Sentence Specialist
3.	Review Jimmy Ryce Status	<p>A review is undertaken to ensure that the SVP package was received by Central Office (the package was prepared at least 545 – 600 days prior to anticipated release, or as soon as possible if the sentence does not allow compliance with that time frame).</p> <p>Florida statute provides for civil commitment following criminal incarceration for certain inmates with a history of committing a sexually violent offense. The Department of Children and Families (DCF) is the initial reviewing authority (see DC procedure 601.213, “Civil Commitment of Sexually Violent Predators” for more information).</p> <p>A package is prepared by the Release Officer, submitted to Central Office staff, and then sent to DCF for review and recommendation. As part of the release process, Release Officers review the “Victim Data” screen and ensure the inmate records properly reflect each current and prior conviction that qualifies for SVP review. Release Officers are required to prepare and ensure the package is sent to Central Office for coordination with DCF.</p>	Release Officer Central Office Department of Children and Families (DCF)



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
4.	Review Probation and Community Control	<p>Release Officers ensure that post-release supervision orders are in the file and also review these orders with inmate</p> <p>Inmate records are reviewed to determine if court orders require post-release probation and/or community control. If the orders are not found in the inmate’s files, the Release Officer is required to contact community corrections and/or the clerk’s office in the sentencing county to request a copy of the applicable orders.</p> <p>The Release Officer reviews the order(s) and instructs the inmate on conditions of supervision following release from physical custody.</p>	Release Officer Inmate
5.	Determine Conditional Release/Addiction Recovery Eligibility	<p>The placement of an inmate on conditional release or addiction recovery is the sole responsibility of the Florida Commission on Offender Review. Following the inmate interview, the Release Officer prepares a packet for review by the Commission and forwards the package to Central Office for coordination with the Commission.</p> <p>Inmates are instructed on the standard terms and conditions of supervision and that the Florida Commission on Offender Review may impose special conditions (to be relayed to the inmate after the Commission review is completed).</p>	Release Officer Central Office Florida Commission on Offender Review Inmate
6.	Reviewed by Florida Commission on Offender Review	Recommendations by Central office are sent to Florida Commission on Offender Review Staff	Florida Commission on Offender Review Central Office
7.	Enter into System	Commission enters information into OBIS when they approve or deny recommendations. Conditional Release/Addiction Recovery certificates discussed in activities 38 and 39 will be completed if approved.	Florida Commission on Offender Review



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
8.	Review Faith-Based and Transitional Housing Eligibility	Faith-Based and Transitional Housing Program information is provided to eligible inmates Information for inmates interested in Faith-Based/Transition Housing may be found on the DC public website under Division of Development, Bureau of Readiness and Community Transition, Resource Directory.	Release Officer Inmate
9.	Check for Chemical Castration Orders	The entire commitment package is reviewed for court or probation orders for Chemical Castration Release Officers review the court documents to determine if court orders exist to administer chemical castration. Release Officers are cautioned to review the entire package as there is no standard methodology used by the myriad court systems to document the requirement; phrasing and location of the court orders may be found in numerous places, including the minutes of a sentencing hearing. If such orders are found, the Release Officer is instructed to contact Central Office Release Management staff for further guidance.	Release Officer Central Office
10.	Review/Update Victim Notification Data	All victim and agency notification requirements are reviewed. Release Officers review and ensure that all notifications of pending release are completed for individuals and agencies as described by the Victims Assistance Program. There is an OBIS based appointment system call the Final Transition Process (FTP) that mirrors the DC6-159. This process sets appointments for the release officer and the supervisor (periodic reviews) at each stage of the transition process. Each stage contains built in edit checks that ensure certain tasks are completed before it allows the release officer to complete the appointment.	Release Officer



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
11.	Obtain Release Plan from Inmate and Enter	The inmate is interviewed and the proposed release plan reviewed. Any update to the plan is entered into OBIS.	Release Officer Inmate
12.	Complete Transition Plan	After a file audit is complete and the post-release supervision requirements are established (Conditional Release, Addiction Recovery, Provision Release Supervision, Probation, Parole), the Release Officer enters the Release Plan into the system.	Release Officer
13.	Coordinate Team Meeting	A Team meeting is scheduled to discuss Special Education and Youthful offenders. The team members meet to assess the inmate's progress and to determine the need for post-release support. The Special Education designee provides a copy of the transition plan to the Release Officer who ensures copies are filed and provided to the inmate (to include resource/referral information that the inmate may pursue following release).	Release Officer Special Education Classification Officer Health Services Administrator Inmate



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
14.	Review for High Profile Release	<p>The Release Officer determines if the inmate release may be considered “high profile” (Release Officer).</p> <p>Some inmates may be considered a high risk to public safety or may require special release coordination due to their notoriety (e.g., local, regional or national interest due to the nature of their crime, circumstances, sentence, and/or victims). In these cases, the Release Officer is required to notify the Warden of such a potential. The Warden reviews the notification and, if deemed appropriate, approves it. Upon approval, the Release Officer notifies Central Office, Release Management to advise FDC Executive staff.</p> <p>For inmates of significant public interest who do not meet the criteria established to be considered “high profile,” the Release Officer contacts Release Management. The Release Officer also coordinates with the Warden should special release transportation be deemed appropriate.</p>	Release Officer Warden Release Management Office DC Executive Staff



Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
15.	Ensure 100-Hour Transition Enrollment/Completion	<p>Pursuant to §944.705 FS, the department provides a standard release orientation for soon to be released inmates. This program covers, at a minimum, employment skills, personal development, planning special needs, community re-entry concerns, and community re-entry support. Pursuant to §944.7065 FS (effective 12/1/02), each inmate released from incarceration must complete a 100 hour comprehensive transition course that includes job readiness and life management skills.</p> <p>Exceptions for transition program participation include:</p> <ul style="list-style-type: none"> · Immediate releases, · Inmates who are in the reception process, · Inmates who have completed reception, but will not have enough time to complete the course before release (usually 90 days or less remaining to serve), · Inmates serving Florida sentence(s) in another jurisdiction, · Inmates who are unable to attend due to mental or medical conditions supported by written documentation from medical staff, and · Inmates being released to a detainer. However, if the detainer may be canceled or the incarceration result from the detainer will be of short duration, the inmate will be enrolled in the program. <p>The 100-Hour program has been replaced by COMPASS 100.</p> <p>There are no alternate programs accepted by COMPASS 100.</p>	Release Officer



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
16.	Interstate Corrections Compact	<p>If the inmate’s request for transfer of post-release supervision to another state meets the minimum eligibility criteria established by the Interstate Commission for Adult Offender Supervision, the Release Officer will submit the transfer request to Community Corrections Interstate Corrections Compact Office no earlier than 180 days prior to the inmate’s release date. Conditional Release and ARS are acceptable as long as the period of supervision is more than 90 days.</p> <p>The rules of interstate compact can be found in the “Interstate Compact Rules” manual on the intranet under Probation, Office of Community Corrections.</p>	Release Officer Central Office (Community Corrections ICC Staff) Other State/Federal Community Corrections ICC Agencies
17.	Notify Community Corrections	The Release Officer verifies the Release Plan with Community Corrections for inmates with supervision following release (120 days prior to release)	Release Officer Community Corrections
18.	Review School Bus Stop Restrictions	<p>Release Officers review restrictions for school bus stop proximity restrictions and completes a school board appointment, as required.</p> <p>Note: Effective 10/1/04, §947.1405 (7)(a) F.S prohibits certain sex offenders from living within 1000 ft. of a designated public school bus stop. The Release Officer determines if an inmate falls under the criteria for such restrictions.</p>	Release Officer
19.	Coordinate Continuity of Care with ICE	Release Officers coordinate continuity of care requirements with Immigration and Customs Enforcement (ICE) for illegals (see DC procedure 601.602, “Florida Criminal Removal Process,” for additional information).	Release Officer ICE
20.	Follow-up Medical and/or Health Needs	Release Officers review the status of the continuity of care assessment completed 240 days prior to release.	Release Officer Health Services
21.	Photograph Inmate	Classification Officers coordinate, and the Security Office produces, digitized photographs of all inmates scheduled for release within 60 days (inmate names are provided on a standard report, twice a week).	Classification Officer Security Officer



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
22.	Ensure Photographs Taken	<p>The Release Officer places two color copies of the photographs in the inmate file and verifies a digitized photograph has been transmitted by Security and received by Central Office (60 days prior to release). Photos are to be sent to: dc-photos@mail.dc.state.Florida.us</p> <p>Note: The photo must be transmitted between 60 and 30 days prior to release unless there is an immediate release situation.</p>	Release Officer Security Staff Central Office (Release Management)
23.	Release File Audit	<p>Release Officers review court actions, detainer placements, disciplinary reports, gain time modifications, or any other pertinent information that may affect an inmate’s release date.</p> <p>Note: An entry of a disciplinary report may remove a release clearance regardless if any gain time is taken. The Release Officer contacts the Release Management liaison (Central Office), by phone or email, to obtain a new release clearance.</p> <p>If an inmate is cleared for release during this phase, the Release Officer reviews any additional comments entered by Release Management and requires the task(s) to be completed prior to release. Examples include:</p> <ul style="list-style-type: none"> · Ensure photo is updated. · Ensure warden audit is completed. · Ensure special notices are sent. <p>Note: DC form DC6-164 (revised 12/15), “Inmate File Audit Checklist” is used to facilitate this activity.</p>	Release Officer



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
24.	Review PSIA	<p>Release Officers ensure that the inmate signs PSIA.</p> <p>Note: The Public Safety Information Act (PSIA) requires that an offender in the custody/control or under the supervision of the Department for a sex offense on or after 10/1/1997; or who is required to register or give public notice as a sex offender in another state must comply with lifetime registration requirements in Florida.</p> <p>The PSIA Technical Manual is located on the DC intranet (Admission and Release, Manuals and Guides).</p>	<p>Release Officer</p> <p>Inmate</p>
25.	Review Sexual Predator Requirements	<p>If the inmate has been designated as a sexual predator, the Release Officer completes the registration process and ensures the inmate signs an acknowledgment of receipt.</p>	<p>Release Officer</p> <p>Inmate</p>
26.	Review Sexual Predator Flag	<p>If “Sex Predator Undetermined” flag is set, the Release Officer reviews the file to ensure the state attorney’s office has been notified by letter that the inmate appears to meet criteria for designation as a sexual predator.</p> <p>Note: Only the courts may designate offenders as sexual predators.</p>	<p>Release Officer</p> <p>State Attorney</p>



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
27.	Review Career Offender	<p>If applicable, the Release Officer completes the registration and ensures the inmate signs an acknowledgment of “Receipt of Notice to Register.”</p> <p>Note: Any inmate under §775.261 F.S. who is released on or after January 1, 2003 must register as a “career offender” if the court designates the offender as:</p> <ul style="list-style-type: none"> Habitual Violent offender – HV special provision code Violent Career Criminal – VC special provision code Three time-violent felon offender – TS special provision code Prison release re-offender – RA special provision code <p>The Acknowledgement of Receipt of Notice to Register form, DC3-2001A/B, is signed by the offender. A copy is placed in the file and one copy is mailed to Central Office/IRIS. The Release Officer informs the inmate to register with the sheriff’s office in the county in which he/she will reside either temporarily or permanently within two (2) working days of release. The inmate is also required to register in person with the Department of Highway Safety and Motor Vehicle with two (2) working days of registration at the sheriff’s office.</p>	Release Officer Inmate
28.	Review Case Law	The Sentence Structure unit of the Bureau of Admission and Release (Central Office) reviews applicable case law that may affect an inmate’s release.	Sentence Structure



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
29.	Coordinate Release with External Departments	The Release Officer ensures that all the following are notified of the impending release: <ul style="list-style-type: none"> • Mental Health • Medical (including Pharmacy) • Chaplin • Security (Transfer and Receiving) • Education • Inmate Bank • Mailroom 	Release Officer
30.	Ensure Photo Update	Review	Release Officer
31.	Ensure Warden review	Review	Release Officer
32.	Ensure Special Notices are sent	Review	Release Officer
33.	Instruct on “10/20/Life” Brochure	Inmates are provided with an original copy of the “10/20/Life” brochure and sign an acknowledgement of receipt.	Release Officer Inmate
34.	Instruct on “Prison Release Re-offender Punishment Act”	Inmates sign the form and a copy is placed in the inmate file and sent to Release Management	Release Officer Inmate
35.	Instruct on “Notification of Restoration of Civil Rights”	Inmates are informed that his/her name will be submitted to the Florida Commission on Offender Review, Executive Clemency Office and the inmates sign an acknowledgement of receipt.	Release Officer Inmate
36.	Instruct on Convicted Felon Registration Requirements	Inmates are provided a copy of the “Acknowledgment of Registration Requirements.”	Release Officer Inmate
37.	Generate Notices	Notices to Community Corrections’ offices for all inmates that will be released to supervision (includes supervising office, county of supervision, and originating county) are generated.	Release Officer



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
38.	Generate the “Conditional Release Certificate”	<p>Release Officers create the “Conditional Release Certificate.”</p> <p>(Different certificate for Sex Offenders)</p> <p>Must be within 12 days of release</p> <p>The Florida Commission on Offender Review is contacted if a 640 code is required.</p> <p>Refer to the “Conditional Release Technical Manual” for additional guidance/information.</p>	Release Officer
39.	Generate the “Addiction Recovery Certificate”	<p>Release Officers create the “Addiction Recovery Certificate.”</p> <p>(Different certificate for Sex Offenders)</p> <p>Must be within 12 days of release</p> <p>The Florida Commission on Offender Review is contacted if a 740 code is required.</p> <p>Refer to the “Addiction Recovery Manual” for additional guidance/information.</p> <p>Note: Occasionally inmates are eligible for both Addiction Recovery and Conditional Release Supervision. The Florida Commission on Offender Review makes this determination. Contact the Florida Commission on Offender Review if additional information is needed.</p>	Release Officer
40.	Contact Community Corrections Intake Office	<p>Within 7-14 days of release, Release Officers contact the county to which the inmate will be released and obtain instructions detailing when and where the inmate is to report following release.</p>	Release Officer
41.	Instruct on Reporting Requirements	<p>Inmates with post-release supervision are provided clear and accurate instructions for reporting to a supervising office. Instructions include the specific date, time, and placement (with address) for the offender to report. The instructions are documented in the department’s electronic case notes (see PP76/79 instructions).</p>	Release Officer Inmate



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
42.	Instruct on Conditions of Supervision	<p>Inmates are Informed about conditions of supervision</p> <p>Inmates with post-release supervision are provided clear and accurate instructions for reporting to a supervising office. Instructions include the specific date, time, and placement (with address) for the offender to report. The instructions are documented in the department's electronic case notes (see PP76/79 instructions).</p>	<p>Release Officer</p> <p>Inmate</p>
43.	Enter Release and Reporting Dates and Times	The Release Officer records the date and time the inmate will be released and the date and time the inmate is to report for supervision	Release Officer
44.	Notify Law Enforcement	<p>For convictions of certain crimes (in Florida or other jurisdictions), documentation is provided to notify law enforcement agencies of the pending release. Agencies include:</p> <ul style="list-style-type: none"> - Sheriff (county of planned residence) - Chief of Police (municipality of planned residence) - Sheriff (where the conviction occurred, if different than where the inmate plans to reside) <p>Documents include:</p> <ul style="list-style-type: none"> - Automated printouts (DC3-203, DC203A/B, DC3-2001A/B) - Digitized photograph of inmate - Photocopy of fingerprint card <p>Note: The STG staff at Central Office also provides notifications to law enforcement entities for inmates that are or may be affiliated with a security threat group.</p> <p>Notifications are automated (except for special notices).</p>	Release Officer



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
45.	Review Release Clearance List	<p>The release authorization list is automatically generated each Tuesday and Friday morning.</p> <p>The Release Officer ensures the inmate is cleared for release by expiration of sentence, conditional release, addiction recovery, or provisional release.</p>	Release Officer
46.	Run FCIC/NCIC Check	<p>The Release Officer runs a criminal history check for warrants, notifications, and detainers. If found, the Release Officer contacts the warrants division where the warrant was issued and instructs them to contact the Detainer Section in Release Management (Central Office).</p> <p>Note: Release Officer may also query the Comprehensive Case Information System (CCIS). The Comprehensive Case Information System (CCIS), offered by Florida's Clerks of Court, is a secured single point of search for statewide court case information. Information held by the Clerks of Court includes court case information, official records and performance and accountability measures. Users of CCIS include the judicial community, state and local law enforcement, state agencies and the Florida Legislature. In addition information that may be accessed includes criminal history records, inmate data, and driver license information through links to the websites of the Florida Department of Law Enforcement, the Department of Corrections and the Department of Highway Safety and Motor Vehicles.</p>	Release Officer
47.	Finalize Release Plan	<p>Release Officers review and verify the final release plan for:</p> <ul style="list-style-type: none"> - Release Type - Bus information (if applicable) - Supervision requirements - Release Plan is approved - All notices sent 	Release Officer



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
48.	Ensure Chemical Castration	<p>If applicable, Release Officers contact Health Services and ensure that chemical castration treatment was accomplished.</p> <p>Note: The §794.0235 F.S. provides that “the administration of treatment with medroxyprogesterone acetate (MPA) shall commence not later than one (1) week prior to the inmate’s release from prison or other institution.”</p> <p>If the inmate has been ordered to undergo MPA treatment, no later than seven (7) days prior to the inmate’s release, the Release Officer requests specific instructions from Release Management, Central Office.</p>	Release Officer -Health Services -Central Office (Release Management)
49.	Verify Release Date	Release Officers cross-check the Release Clearance List.	Release Officer
50.	Audit All Information for Accuracy	The complete inmate record is reviewed by the Release Officer.	Release Officer
51.	Check for Escape Disposition	Release Officers resolve outstanding escape issues in conjunction with: <ul style="list-style-type: none"> • Fugitive Section of Sentence Structure • State Attorney’s Office • Detainer Section (Release Management) 	Release Officer
52.	Review Release Documents for Accuracy	Release documents are reviewed to ensure completeness and to verify the inmate has received the appropriate information to include: <ul style="list-style-type: none"> • Warning Notice • 10/20/Life Brochure • Notification of Restoration of Civil Rights • PSIA/Sexual Predator Registration (as applicable) • Notice of Inmate Responsibilities under PSIA (as applicable) • Acknowledgement of receipt to register (Non-PSIA) • Supervision Orders • Generate Commission Certificate (CRS or ARS) 	Release Officer



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
53.	Complete Inmate Record of Discharge/ Certificate of Discharge	The “Record of Inmate Discharge,” DC form DC6-168 (Revised 03/07), is completed and reviewed with the inmate. Release Officers ensure the inmate and designated facility staff sign the form. Inmates are given the “Certificate of Discharge,” DC form DC6-168A (Revised 10/15).	Release Officer Inmate Designated staff
54.	Forward all Paperwork	Release Officers ensure that all notices, supervision orders, and release documents are forwarded to appropriate offices/agencies. ANY type of identification cards found in the file is given to the inmate on the day of release.	Release Officer
55.	Run Final FCIC/NCIC Check	Release Officers check for warrants, notifications, and detainers Note: The Release Officer prints a final FCIC/NCIC report to ensure there are no outstanding warrants for the inmate prior to release. If an outstanding warrant is found, the Release Officer immediately contacts the agency. If the agency plans to place a hold, they provide the detainer section with contact information listed and make arrangements to pick up the inmate. If the detaining agency cannot pick-up the inmate on the release date, they may contact the local county jail to make arrangements to hold the inmate until they are able to pick-up. Note: If a detainer is placed on the day of release, authorization for pick-up is NOT needed from the detainer section.	Release Officer
56.	Match Release Date and Release Clearance	On day of release, Release Officers print a copy of the first page of the DC12 and attach it to the “Record of Inmate Discharge.”	Release Officer
57.	Verify Inmate Release Date	Release Officers match the release date (DC12) against the entry on the Release Clearance List.	Duty Warden



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
58.	Provide Inmate with Documents	<p>Inmates are given all ID cards, release documents, a gratuity (depending on circumstances), and a bus ticket (if applicable)</p> <p>Central Office provides a debit card to released inmates. Inmates eligible for a release gratuity are provided \$50 on their cards. For inmates who are ineligible for a release gratuity and who have money remaining in their Trust Fund accounts, the cards are loaded with up to \$500 of their remaining balance (subsequent payments are released over the course of a few weeks; payments are limited to \$2500; total card balance may not exceed \$10,000). Central Office uses JPay to transfer funds to inmate debit cards.</p> <p>Identification cards:</p> <p>When necessary, prior to an inmate’s release, FDC makes inquiries on behalf of the inmate to secure identity-related documents from the Social Security Administration (Social Security card) and various Vital Records agencies (Birth Certificates). These documents facilitate an inmate’s efforts to secure a state-issued identity card (through the Department of Highway Safety and Motor Vehicles (DHSMV)). In some cases, DHSMV brings a special truck to institutions to streamline this process.</p>	Release Officer



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Core Process C – Inmate Release Activities			
Index Number	Activity Label	Activity Description	Actors
59.	Run RapidID	<p>Inmate's fingerprints (two-print) are run against NCIC/FCIC using RapidID to verify the correct inmate is released.</p> <p>Potential Improvement: Fingerprints run when an inmate is gained serves to notify FDLE that the inmate is in custody at the FDC. Running fingerprints when an inmate is released could be used to notify FDLE that the inmate is no longer in custody and could be used to trigger automatic notification for other entities (e.g., Sheriffs, Victims, Community Corrections, Police Departments).]]</p>	Security Staff
60.	Release Inmate	The inmate is escorted out of the facility.	Security Staff

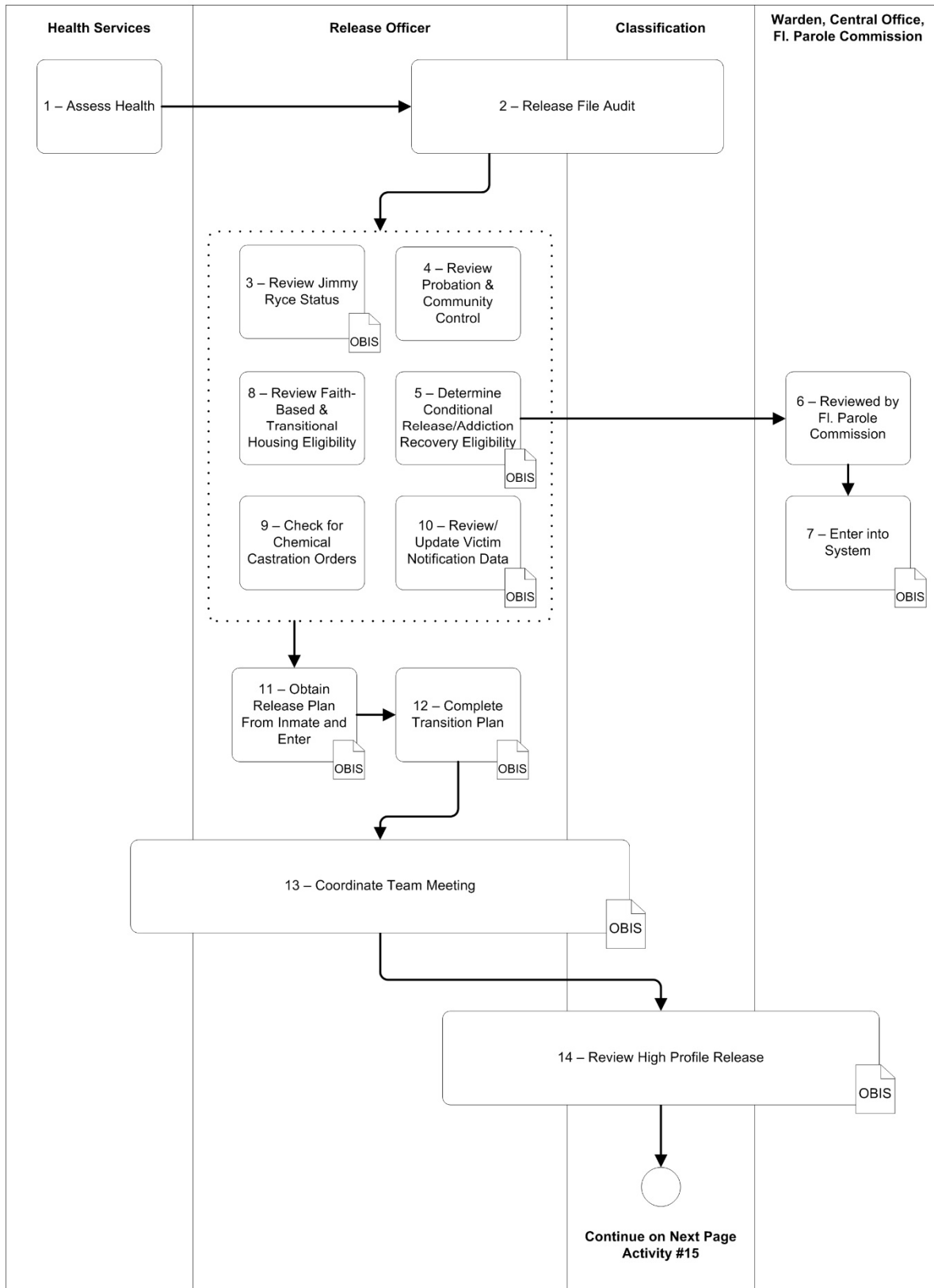


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Figure 2.2-1 Release Inmate As-Is Workflow



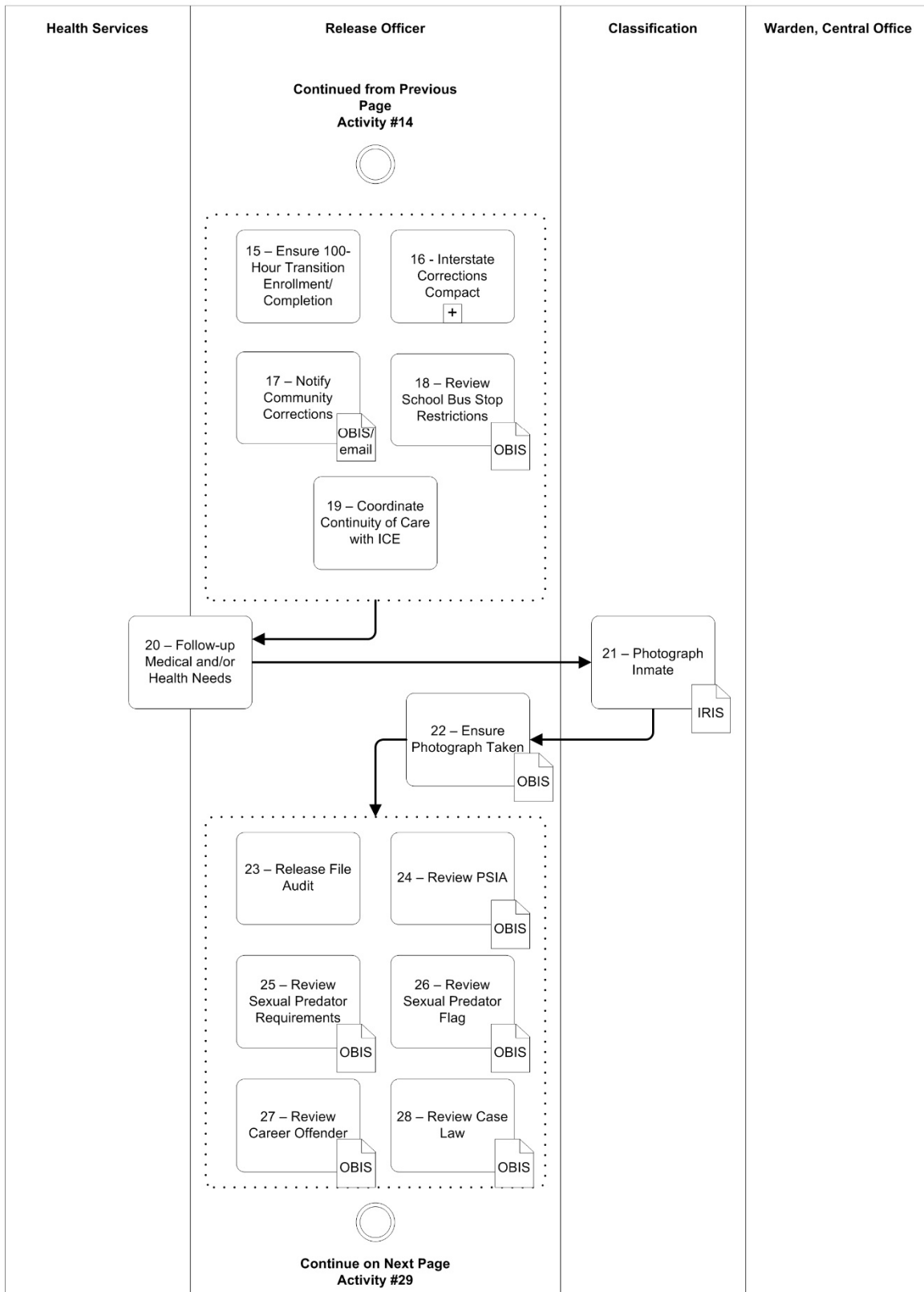


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Figure 2.2-2 Release Inmate As-Is Workflow



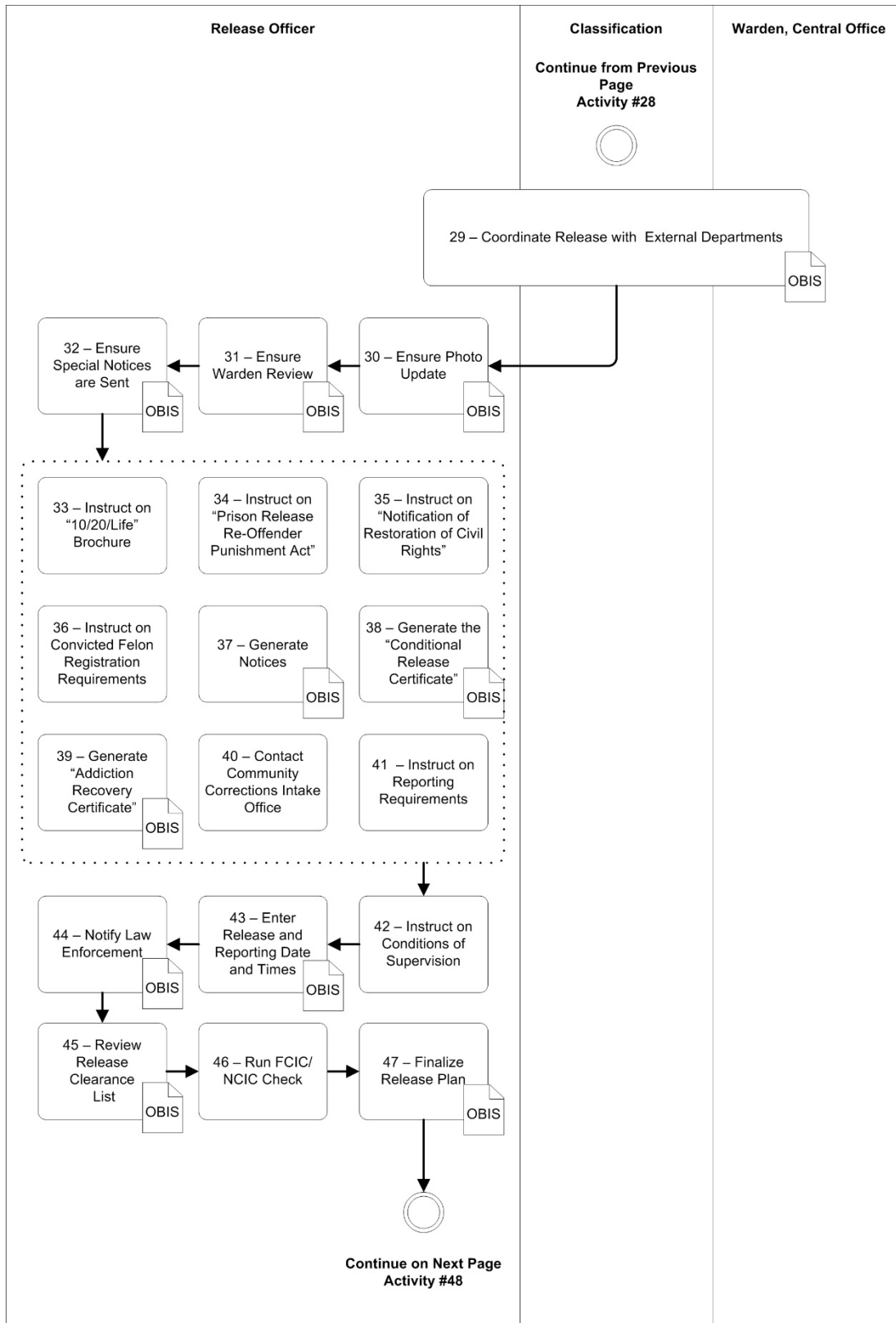


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Figure 2.2-3 Release Inmate As-Is Workflow



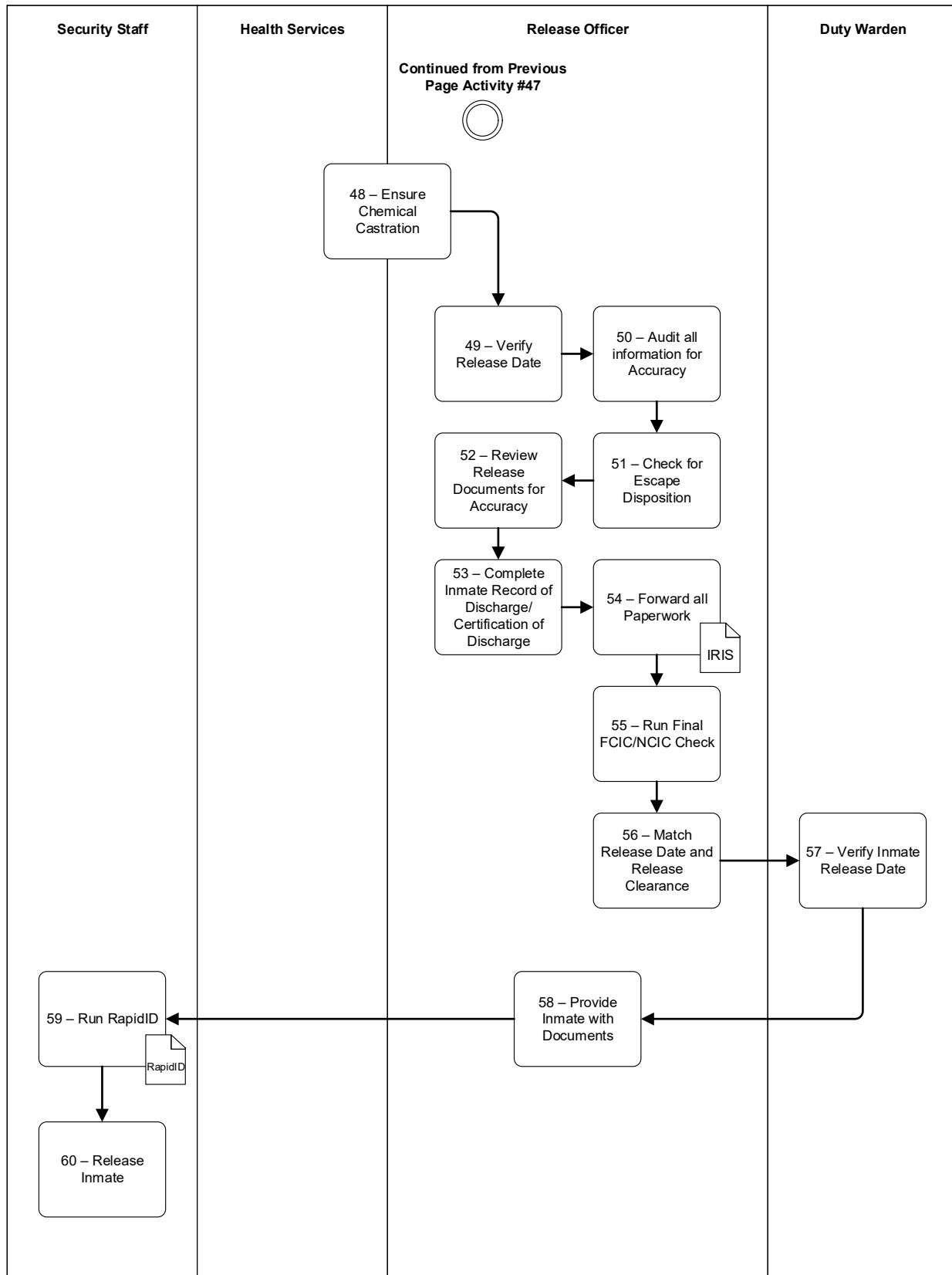


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Figure 2.2-4 Release Inmate As-Is Workflow





2.3 ELAPSED TIME

This section describes the time limits or goals required to complete the activities that make up the core and sub-processes.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Limit or Goal Time	Any time limits or goals, from any source – internal or external – pertaining to this activity.
Limit or Goal Source	The source of the limit or goal listed above (Florida Statutes, APD policy, etc.)
Speed Bumps	Specific, recurring difficulties that slow the progress of this activity.

Table 2.3-1 Elapsed Time

Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
1.	Assess Health	240 Days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	Timely Response from Health Services
2.	Release File Audit	180-140 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
3.	Review Jimmy Ryce Status	180-140 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	The packet is sent to the Department of Children and Families (DCF) for review and the potential for delay exists.
4.	Review Probation and Community Control	180-140 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
5.	Determine Conditional Release/Addiction Recovery Eligibility	180-140 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	Timely Response from Florida Commission on Offender Review
6.	Reviewed by Florida Commission on Offender Review	180-140 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	Timely Response from Florida Commission on Offender Review
7.	Enter into System	180-140 days prior to release	N/A	N/A
8.	Review Faith-Based and Transitional Housing Eligibility	180-140 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A



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Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
9.	Check for Chemical Castration Orders	180-140 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
10.	Review/Update Victim Notification Data	180-140 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
11.	Obtain Release Plan from Inmate and Enter	180-140 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
12.	Complete Transition Plan	180-140 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
13.	Coordinate Team Meeting	180-140 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
14.	Review for High Profile Release	180-140 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
15.	Ensure 100-Hour Transition Enrollment/Completion	180-140 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
16.	Mail Interstate Corrections Compact	180 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	Timely Response from ICC
17.	Notify Community Corrections	120 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	Timely Response from Community Corrections
18.	Review School Bus Stop Restrictions	120 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
19.	Coordinate Continuity of Care with ICE	90 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	Timely Response from Health Services
20.	Follow-up Medical and/or Health Needs	90 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	Timely Response from Health Services
21.	Photograph Inmate	60 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	Timely Response by Security



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Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
22.	Ensure Photographs Taken	60 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
23.	Release File Audit	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
24.	Review PSIA Pending	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
25.	Review Sexual Predator Requirements	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	Timely Response from County
26.	Review Sexual Predator Flag	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	Timely Response from County
27.	Review Career Offender	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
28.	Review Case Law	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	Timely Response from Sentence Structure
29.	Coordinate Release with External Departments	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
30.	Ensure Photo Update	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
31.	Ensure Warden review	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
32.	Ensure Special Notices are sent	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
33.	Instruct on "10/20/Life" Brochure	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
34.	Instruct on "Prison Release Re-offender Punishment Act"	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A



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Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
35.	Instruct on "Notification of Restoration of Civil Rights"	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
36.	Instruct on Convicted Felon Registration Requirements	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
37.	Generate Notices to Community Corrections	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
38.	Generate the "Conditional Release Certificate"	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	Timely Response from Florida Commission on Offender Review
39.	Generate the "Addiction Recovery Certificate"	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	Timely Response from Florida Commission on Offender Review
40.	Contact Community Corrections Intake Office	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
41.	Instruct on Reporting Requirements	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
42.	Instruct on Conditions of Supervision	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
43.	Enter Release and Reporting Dates and Times	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
44.	Notify Law Enforcement	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
45.	Review Release Clearance List	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
46.	Run FCIC/NCIC Check	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
47.	Finalize Release Plan	14-7 days prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A



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Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
48.	Ensure Chemical Castration	1 working day prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
49.	Verify Release Date	1 working day prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
50.	Audit All Information for Accuracy	1 working day prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
51.	Check for Escape Disposition	1 working day prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
52.	Review Release Documents for Accuracy	1 working day prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
53.	Complete Inmate Record of Discharge/Certificate of Discharge	1 working day prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
54.	Forward all Paperwork	1 working day prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
55.	Run Final FCIC/NCIC Check	1 working day prior to release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
56.	Match Release Date and Release Clearance	Day of release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
57.	Verify Inmate Release Date	Day of release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
58.	Provide Inmate with Documents	Day of release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A
59.	Release Inmate	Day of release	Release/Transition Checklist, DC6-159 (revised 8/16)	N/A



2.4 PAPER DOCUMENTATION

The section describes the paper documents required to complete the activities that make up this process. The reference column refers to the originator and title of policy, procedure, or instruction that contains the form or specifies the content of the document, if any. More than one document may be required to carry out a single activity, so each is listed.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Document Title	Short title, form number or other designation for the document.
Document Description	General description of the document contents and purpose.
Reference or Source	Originator and title of the source instruction or policy.

Table 2.4-1 Paper Documentation

Index Number	Activity Label	Document Title	Document Description	Reference or Source
1.	Assess Health	Continuity of Care	ASI4 0 HSS 51	Release Officer's Handbook, August 2016 HSB/TI 15.03.29
2.	Release File Audit	File Audit	DC6-164	File Audit Technical Manual 601.218
3.	Review Jimmy Ryce Act Status	Jimmy Ryce Packet	- IM02 - DC90 - ASI4 0 OTS 71	601.213, Civil Commitment of Sexually Violent Predators
4.	Review Probation and Community Control	Packet	Probation and/or Community Control Orders	Release Officer's Handbook, August 2016
5.	Determine Conditional Release/Addiction Recovery Eligibility	Information Packet	- ASI4 0 CRI 66 - ASI4 0 CRI 77 - ASI4 0 OTC 64 - ASI4 0 CRI 70 - ASI4 0 CRI 7L - ASI4 0 OTC 65	Release Officer's Handbook, August 2016 Conditional Release Manual Addiction Recovery Manual
6.	Reviewed by Florida Commission on Offender Review	N/A	N/A	Release Officer's Handbook, August 2016



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
7.	Enter into System	N/A	N/A	Release Officer's Handbook, August 2016
8.	Review Faith-Based and Transitional Housing Eligibility	N/A	N/A	Release Officer's Handbook, August 2016
9.	Check for Chemical Castration Orders	Commitments , Court or Probation Orders	Chemical Castration orders	Release Officer's Handbook, August 2016
10.	Review/Update Victim Notification Data	Victim Notification	- RA10 - DC21	Release Officer's Handbook, August 2016
11.	Obtain Release Plan from Inmate and Enter	Release Plan	DC28	Release Officer's Handbook, August 2016
12.	Complete Transition Plan	Inmate Transition Plan	OT55+	Release Officer's Handbook, August 2016
13.	Coordinate Team Meeting	Special Education and/or Youthful Offender	DC04	Release Officer's Handbook, August 2016
14.	Review for High Profile Release	High Profile Release	- IM02/03 - DC6-175	Release Officer's Handbook, August 2016
15.	Ensure 100-Hour Transition Enrollment/Completion	N/A	N/A	Release Officer's Handbook, August 2016
16.	Mail Interstate Corrections Compact	Interstate Corrections Compact	DC04	Release Officer's Handbook, August 2016 ICC Procedure 301.001



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
17.	Notify Community Corrections	Community Corrections Notification	- ASI4 0 OTS 7A - ASI4 0 OTS 7B - DC04 (Codes: M11, M12, or M13)	Release Officer's Handbook, August 2016 CC Procedure 302.105
18.	Review School Bus Stop Restrictions	School Board Appointment	Eligibility of school bus restrictions	Release Officer's Handbook, August 2016 SB120 School Board Tech Manual
19.	Coordinate Continuity of Care with ICE	Alien Inmate Continuity of Care Coordination with ICE	ASI4 0 HSS 51	Release Officer's Handbook, August 2016
20.	Follow-up Medical and/or Health Needs	N/A	N/A	Release Officer's Handbook, August 2016
21.	Photograph Inmate	Photograph	Digitized color photographs	Release Officer's Handbook, August 2016 (601.803)
22.	Ensure Photographs Taken	N/A	N/A	Release Officer's Handbook, August 2016 (601.803)
23.	Release File Audit	N/A	N/A	Release Officer's Handbook, August 2016
24.	Review PSIA Pending	Public Safety Information Act	- DC3-203 - DC3-203A - DC3-203B - DC04	Release Officer's Handbook, August 2016
25.	Review Sexual Predator Requirements	Public Safety Information Act	- DC3-203 - DC3-203A - DC3-203B - DC04	Release Officer's Handbook, August 2016
26.	Review Sexual Predator Flag	N/A	N/A	Release Officer's Handbook, August 2016
27.	Review Career Offender	Career Offender	- DC3-2001A - DC3-2001B - DC04	Release Officer's Handbook, August 2016
28.	Review Case Law	N/A	N/A	Release Officer's Handbook, August 2016



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
29.	Coordinate Release with External Departments	N/A	N/A	Release Officer's Handbook, August 2016
30.	Ensure Photo Update	N/A	N/A	Release Officer's Handbook, August 2016
31.	Ensure Warden review	N/A	N/A	Release Officer's Handbook, August 2016
32.	Ensure Special Notices are sent	N/A	N/A	Release Officer's Handbook, August 2016
33.	Instruct on "10/20/Life" Brochure	10/20/Life	- Brochure - DC6-177 (receipt)	Release Officer's Handbook, August 2016
34.	Instruct on "Prison Release Re-offender Punishment Act"	Prison Release Re-offender Punishment Act	DC6-103	Release Officer's Handbook, August 2016
35.	Instruct on "Notification of Restoration of Civil Rights"	Notification of Restoration of Civil Rights	DC6-169	Release Officer's Handbook, August 2016
36.	Instruct on Convicted Felon Registration Requirements	PSIA/Career Offender Registration Requirements	DC6-176	Release Officer's Handbook, August 2016
37.	Generate Notices to Community Corrections	N/A	N/A	Release Officer's Handbook, August 2016
38.	Generate the "Conditional Release Certificate"	Conditional Release Certificate	- ASI4 0 CRI 73 - ASI4 0 CRI 72 (sex offenders)	Release Officer's Handbook, August 2016 Conditional Release Tech Manual
39.	Generate the "Addiction Recovery Certificate"	Addiction Recovery Certificate	ASI4 0 CRI 7I/7J	Release Officer's Handbook, August 2016 Addiction Recovery Manual



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
40.	Contact Community Corrections Intake Office	N/A	N/A	Release Officer's Handbook, August 2016
41.	Instruct on Reporting Requirements	N/A	N/A	Release Officer's Handbook, August 2016
42.	Instruct on Conditions of Supervision	Supervision Orders	PP76/79 (electronic case notes)	Release Officer's Handbook, August 2016
43.	Enter Release and Reporting Dates and Times	N/A	N/A	Release Officer's Handbook, August 2016
44.	Notify Law Enforcement	Law Enforcement Agency Notification(s)	- ASI4 0 OTC 35 - DC3-203 - DC3-203A/B - DC3-2001A/B - Fingerprint card (copy) - Photo	Release Officer's Handbook, August 2016
45.	Review Release Clearance List	N/A	N/A	Release Officer's Handbook, August 2016
46.	Run FCIC/NCIC Check	N/A	N/A	Release Officer's Handbook, August 2016
47.	Finalize Release Plan	N/A	N/A	Release Officer's Handbook, August 2016
48.	Ensure Chemical Castration	Chemical Castration Order	MPA treatment for sex offenders	Release Officer's Handbook, August 2016
49.	Verify Release Date	Release Authorization List	Inmates scheduled for release	Release Officer's Handbook, August 2016
50.	Audit All Information for Accuracy	N/A	N/A	Release Officer's Handbook, August 2016



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
51.	Check for Escape Disposition	N/A	N/A	Release Officer's Handbook, August 2016
52.	Review Release Documents for Accuracy	<ul style="list-style-type: none"> - Warning Notice - 10/20/Life Brochure - Notification of Restoration of Civil Rights - PSIA/Sexual Predator Registration (as applicable) - Notice of Inmate Responsibilities under PSIA (as applicable) - Acknowledgment of receipt to register (Non-PSIA) - Supervision Orders - Florida Commission on Offender Review Certificate (CRS or ARS) 		Release Officer's Handbook, August 2016
53.	Complete Inmate Record of Discharge/Certificate of Discharge	Inmate Record of Discharge/Certificate of Discharge	<ul style="list-style-type: none"> - DC6-168 - DC6-168A 	Release Officer's Handbook, August 2016



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
54.	Forward all Paperwork	N/A	N/A	Release Officer's Handbook, August 2016
55.	Run Final FCIC/NCIC Check	N/A	N/A	Release Officer's Handbook, August 2016
56.	Match Release Date and Release Clearance	Release Authorization List	DC12	Release Officer's Handbook, August 2016
57.	Verify Inmate Release Date	N/A	N/A	Release Officer's Handbook, August 2016
58.	Provide Inmate with Documents	Inmate Release Packet	Release documents	Release Officer's Handbook, August 2016
59.	Release Inmate	N/A	N/A	Release Officer's Handbook, August 2016



2.5 BUSINESS SYSTEM DATA ENTRY & DATA TRANSFER

This section describes the business systems that are employed directly (touched) or indirectly (data transfer) in the course of the core and sub-processes.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Business System	The name or designation of the system touched (if any).
Purpose or Intent	The business objective accomplished by using the system or systems.
Mode	Choose one: "Input" for data entry by the user, "Query" for data retrieved by the user, and "TXFR" for electronic data transfer from one system to another.

Table 2.5-1 Business System Data Entry & Data Transfer

Index Number	Activity Label	Business System	Purpose or Intent	Mode
2.	Release File Audit	OBIS	Review and update all inmate information.	Entry Update
3.	Review Jimmy Ryce Act Status	OBIS	Determine if Jimmy Ryce SVP packet has been received, reviewed, and adjudicated by the Department of Children and Families (DCF)	Query
4.	Review Probation and Community Control	OBIS	Review inmate records to assess follow-on supervision.	Query
5.	Determine Conditional Release/Addiction Recovery Eligibility	OBIS	Review and determine if inmate is eligible for supervision by the Florida Commission on Offender Review	Query
6.	Enter into System	OBIS		Entry
8.	Review Faith-Based and Transitional Housing Eligibility	OBIS	Review and determine inmate eligibility.	Query Entry



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Index Number	Activity Label	Business System	Purpose or Intent	Mode
10.	Review/Update Victim Notification Data	OBIS	Review and determine if any victim notifications are required.	Update Entry
11.	Obtain Release Plan from Inmate and Enter	OBIS	Review Release Plan and enter results.	Entry Update
12.	Complete Transition Plan	OBIS	Update Transition planning screens.	Entry Update
14.	Review for High Profile Release	OBIS	Review and determine inmate eligibility.	Query
15.	Ensure 100-Hour Transition Enrollment/Completion	OBIS	Update completion status.	Entry
18.	Review School Bus Stop Restrictions	OBIS	Review and determine inmate eligibility.	Query Entry
21.	Photograph Inmate	Email	Email inmate photo to Central Office	Transfer
23.	Release File Audit	OBIS	Review and update inmate files.	Entry Update
24.	Review PSIA Pending	OBIS	Review and determine inmate eligibility.	Query Update
25.	Review Sexual Predator Requirements	OBIS	Review and determine inmate eligibility.	Query



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Index Number	Activity Label	Business System	Purpose or Intent	Mode
26.	Review Sexual Predator Flag	OBIS	Review and determine inmate status.	Query
27.	Review Career Offender	OBIS	Review and determine inmate status.	Query
43.	Enter Release and Reporting Dates and Times	OBIS	Complete inmate reporting instructions and document in system.	Entry
45.	Review Release Clearance List	OBIS (report)	Review	Report
46.	Run FCIC/NCIC Check	AFIS/CCH E-Agent	Generate current criminal history.	Query
47.	Finalize Release Plan	OBIS	Update Release Plan	Update
49.	Verify Release Date	OBIS	Review and validate release date.	Query
50.	Audit All Information for Accuracy	OBIS	General data review.	Query Update
51.	Check for Escape Disposition	OBIS	Review for escape adjudication results.	Query Entry
54.	Forward all Paperwork	Paper File	IRIS	Transfer
55.	Run Final FCIC/NCIC Check	AFIS/CCH E-Agent	Generate current criminal history.	Query



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Index Number	Activity Label	Business System	Purpose or Intent	Mode
56.	Match Release Date and Release Clearance	OBIS (report)	Validate inmate against release clearance report.	Report
57.	Verify Inmate Release Date	OBIS	Validate inmate release date report.	Query
59.	Release Inmate	OBIS	Update OBIS with inmate release information.	Update



2.6 MESSAGES

This section details the messages, such as the US mail, emails, phone calls and any other correspondence, regularly used in the normal course of the Inmate Release core process. Messages are sent to convey required documentation, inform recipients about the status of an activity, to trigger the start or end of other activities, to grant or withdraw authorization, etc. This section only concerns messages sent during normal (as intended) operations. Trouble calls and other messages associated with recurring abnormal operations are listed in Section 2.7 – Process Issues & Recommendations. There may be more than one message associated with an activity.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Message Type	US mail, email, phone call, etc.
Message Purpose	The intended purpose for sending the message.
Message Recipient	The organization and role of the intended recipient.

Table 2.6-1 Messages

Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
1.	Assess Health	OBIS	Inmate pre-release health assessment notification (240 days prior to release) ASIA 0 HSS 51	Health Services
3.	Review Jimmy Ryce Act Status	TBD	Ensure Central Office received Jimmy Ryce SVP package (180-140 days prior to release)	Central Office
4.	Review Probation and Community Control	TBD	Request copy of supervision orders if orders are not present (180-140 days prior to release)	Community Corrections or county clerk's office
5.	Determine Conditional Release/ Addiction Recovery Eligibility	Packet	Review data for Florida Commission on Offender Review (180-140 days prior to release)	Central Office Florida Commission on Offender Review
16.	Mail Interstate Corrections Compact	Mail	Effect transfer of inmate to Community Corrections entities outside of Florida (180 days prior to release)	Community Corrections entities outside of Florida



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Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
17.	Notify Community Corrections	OBIS	Notify Community Corrections intake office using DC04 (120 days prior to release) Track with IT03 and PP79	Community Corrections
19.	Coordinate Continuity of Care with ICE	TBD	Notify ICE of Continuity of Care issues for illegals (90 days prior to release) ASI4 0 HSS 51	Immigration and Customs Enforcement Health Services
21.	Photograph Inmate	Email	Transmit digitized photo to Central Office for entry into IRIS image system (60 days prior to release)	Central Office Stored in IRIS
27.	Review Career Offender	Mail	Acknowledgement of Receipt of Notice to Register (14-7 days prior to release) DC3-2001A/B	Central Office IRIS
29.	Coordinate Release with External Departments	TBD	Notify interested departments of impending release (14-7 days prior to release)	Mental Health Medical (Including Pharmacy) Chaplin Security – T/R Education Inmate Bank Mailroom
37.	Generate Notices to Community Corrections	OBIS	Notices to Community Corrections for all inmates that will be released to supervision Supervising office, County of supervision, originating County (14-7 days prior to release) DC28	Community Corrections
40.	Contact Community Corrections Intake Office	OBIS	Notification for inmates being released to supervision (14-7 days prior to release)	Community Corrections



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Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
44.	Notify Law Enforcement	OBIS	Notices to all interested law enforcement agencies (14-7 days prior to release) ASI4 0 OTC 35	Law Enforcement Agencies
46.	Run FCIC/NCIC Check	FCIC NCIC	FCIC/NCIC checks are run by DC's Emergency Action Center (EAC) (14-7 days prior to release)	EAC
48.	Ensure Chemical Castration	TBD	Request for specific instructions from Central Office (1 working day prior to release)	Central Office – Release Management
54.	Forward all Paperwork	Mail	Send inmate file/paperwork to Central Office (1 working day prior to release)	Central Office – Release Management
55.	Run Final FCIC/NCIC Check	FCIC NCIC	FCIC/NCIC checks are run by DC's Emergency Action Center (EAC) (1 working day prior to release)	EAC
58.	Provide Inmate with Documents	File	Give all applicable documents to inmate (including all identification documents) (Day of release)	Inmate



2.7 PROCESS ISSUES & RECOMMENDATIONS

This section lists the issues that have arisen while analyzing the Inmate Release core process. These are the difficulties that result in an activity losing its effectiveness, degrading its efficiency and hindering its adaptability. Each activity can have more than one issue associated with it.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Issue	Short description for the issue.
Impact	Impacts or consequences of the issue (e.g., confusion, delay, error, incident).
Recommendation	Recommendation for addressing the issue or reducing its impact (if any).

Table 2.7-1 Process Issues & Recommendations

Index Number	Activity Label	Issue	Impact	Recommendation
44.	Notify Law Enforcement	The STG office also provides notification to law enforcement about the release of security threat group affiliated inmates to be released in the next 30 days.	Duplicate notices	Investigate the possibility of adding a step in the release process to determine the STG affiliation and providing a single notice to law enforcement.



**State of Florida
Department of Corrections
Office of Information Technology**

Institutions Core Business Process Analysis

Core Process B: Institutionalize Inmate Process

Author:	North Highland
Vendor:	The North Highland Company
Version:	4.0
Creation Date:	01/25/2008
Last Accessed:	9/14/2021 12:56 PM
File Name:	Institutions - Business Process Analysis - Institutionalize Inmate Process - v4.0



Document Control

Change Record

Date	Author	Version	Change Reference
1/25/2008	North Highland	0.01 (Draft)	Created
3/21/2008	North Highland	1.0 (Draft)	Final Draft
4/15/2008	North Highland	2.0	Final Deliverable
10/30/2016	North Highland	3.0 (Draft)	Updated documents reflecting any business process changes from the 2008 study
11/18/2016	North Highland	4.0	Updated documents reflecting FDC feedback on draft document

Review

Name	Role	Date
Chuck Beckett	North Highland Quality Assurance	10/28/2016
FDC	Client	11/10/2016
Jennifer Nichols	North Highland Quality Assurance	11/17/2016



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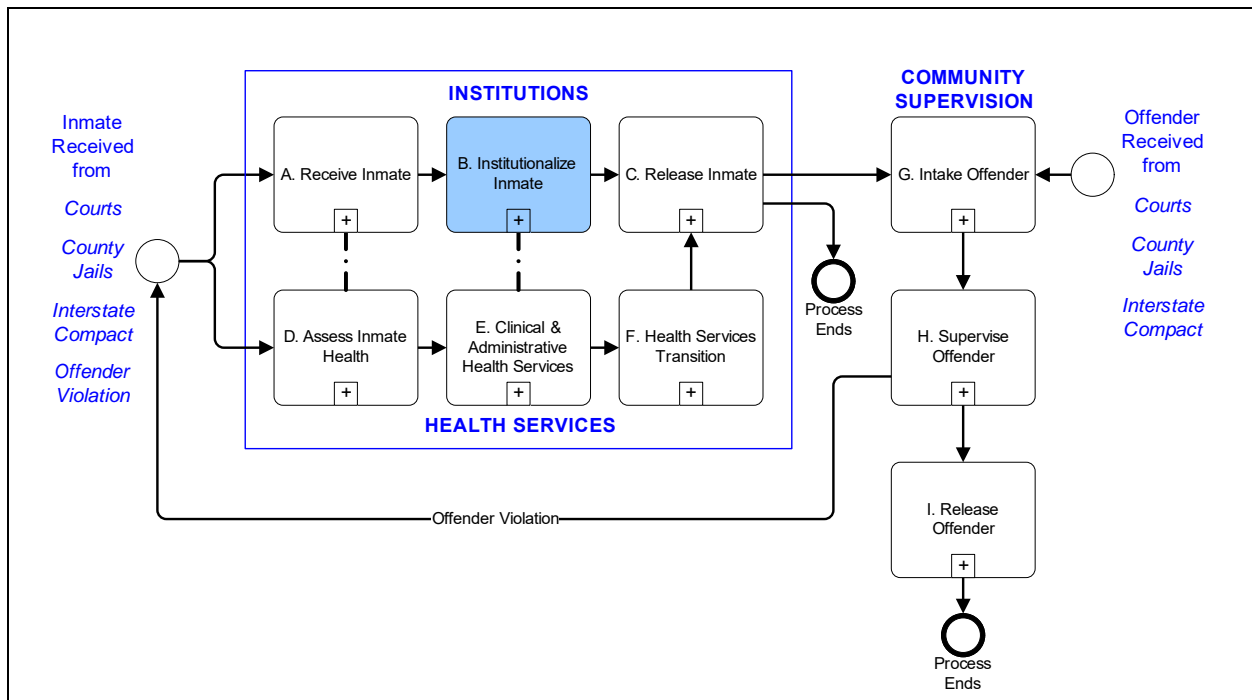
1 DC CORE BUSINESS PROCESSES

1.1 THE PURPOSE AND SUBJECT OF THIS ANALYSIS

The Department of Corrections (Department, DC) is carrying out an analysis of its major business processes. The primary intent of this activity is to establish the foundation for the development of a new business system, which will replace the Offender-Based Information System (OBIS); the Computer Assisted Reception Process (CARP) system was subsumed by OBIS after the completion of the 2008 analysis. This analysis will also result in a set of functional and technical requirements for the new business system.

The figure below shows the entire DC set of nine core business processes examined during this project, identified by the letters A through I, and the general sequence in which they are performed. The box highlighted in blue indicates the core business process presented in this document.

Figure 1.1-1 Department of Corrections Core Business Processes





2 ASSESS INSTITUTION PROCESS

2.1 OVERVIEW

2.1.1 Purpose and Objectives of this process

The purpose of the Institution core process is to receive an inmate after he or she has been assigned to an institution following the Inmate Reception process and to manage the inmate throughout incarceration in a corrections facility.

The objectives of this process are:

- Review & validate inmate reception papers for custody acceptance
- Assignment to a bed meeting custody and risk provisions
- Search, seizure of personal property, and orientation
- Complete a Risk/Needs assessment
- Assignment to institutional programs (education, vocational, substance abuse)
- Inmate management
- Manage the institution (visitors, transportation, phones)

2.1.2 Beginning and Ending Points

Beginning Point:

- Inmate is received by their permanent institution

Ending Point:

- Inmate is released (Inmate Release processing occurs in parallel to this process, however, institutional inmate management activities continue until the inmate is physically removed from the institution)



2.2 ACTIVITIES & WORKFLOW DIAGRAMS

Table 2.2-1 lists the activities that make up the Institution Core Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Diagrams with a plus sign (+) signify a sub-process. A sub-process will have its own activity diagram and contains two numbers separated by a period. The first number corresponds to the original activity number and the second number, after the period, is the sequence order in which that sub-process' activity is performed.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 2.2-1 Institution Activities

Index Number	Activity Label	Activity Description	Actors
1.	Review Inbound Inmate List	Classification Supervisors review the list of inbound inmates due to arrive at their institution for the next several days. Using OBIS, they identify disciplinary and other issues and notify Security of special handling requirements prior to their arrival.	Classification
2.	Deliver Inmate	Inmates are transferred from Reception or as Special Transfers from another institution and arrive at the institution accompanied by their physical files (inmate, education, health).	T&R Officer Central Office (Population Management) State Classification
3.	Review Inmate Documents	Correctional Officers review the inmate's transfer paperwork to ensure the inmate is delivered to the correct institution.	Security
4.	Gain Inmate	Once an inmate is identified, Security "gains" the inmate to the institution (a transaction is entered into OBIS to update the inmate's location).	Security



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Index Number	Activity Label	Activity Description	Actors
5.	Assign Bed	Each inmate is assigned a bed within the institution in line with the inmate's housing level (H01 – H05). Youthful Offenders may only be housed in a Youthful Offender facility.	Housing Sgt
6.	Conduct Search and Seizure	Inmates arrive with all their property at the institution. Property is searched and seized in accordance with Department policies. Refer to the Property Disposition sub-process for additional information.	Property Sgt
7.	Conduct Property Disposition	Refer to the Property Disposition sub-process for additional information.	Security Officer
8.	Conduct Orientation	Inmates are instructed on code of conduct and information specific to the institution.	Institution Staff
9.	Assign Inmate to Classification Team	Each inmate is assigned to a Classification Officer that will be their case manager for their duration at the institution.	Classification
	Security Threat Group (STG) Coordinator Assessment (Sub-Process 5)	Inmates are interviewed if information or physical attributes (tattoos) create the suspicion of any gang affiliations (this process is ongoing for the entire incarceration period). Refer to the Security Threat Group (STG) sub-process for a full description of the assessment process.	STG Coordinator
10.	Audit Inmate File	Throughout their incarceration, inmate files are audited to ensure they are complete, accurate, and up to date. Classification Officers are automatically scheduled to complete these activities by OBIS.	Classification Officer Sentence Specialist Clerk



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Index Number	Activity Label	Activity Description	Actors
11.	Risk & Needs Assessment	<p>Classification Officers meet with inmates and use OBIS to interview the inmate. The intent is to determine the inmates' needs for educational, vocational, or work placements and to confirm internal (housing) and external (custody) assessments.</p> <p>Note: Inmates are interviewed for Risk and Needs during the reception process (see the core Reception Process document for additional information). The Risk and Needs interview at their permanent institution is, essentially, identical to the process at the Reception Center. There is no attempt to update or modify the initial assessment; the second assessment is started from scratch.</p> <p>Since 2008, the Department has dispensed with CARP and developed two OBIS subsystems to address Risks (IRMS – Inmate Risk Management System) and Needs (SPECTRUM). Each subsystem has been built with a web front-end, but both subsystems rely upon OBIS for underlying data storage and retrieval.</p> <p>IRMS (Risk) and CINAS (Needs) was brought online on March 1, 2010.</p> <p>Spectrum in the newest system that will replace CINAS eventually and is the subject of our pilots at CFRC and FWRC that began in March 1, 2016.</p>	Classification Officer Inmate
12.	Review Custody Level	Classification Officers review 1 of 5 external Custody levels (community – maximum) as determined by the Reception Center.	Classification Officer



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Index Number	Activity Label	Activity Description	Actors
13.	Validate & Approve Custody Level	<p>Classification Supervisors approve or modify Custody levels recommendations made by the CLO.</p> <p>Custody classification to medium or close custody without a discretionary override is approved at the ICT (institutional) level.</p> <p>Minimum and community recommendations, and any discretionary override from the system suggested custody at any level, must be approved by the State Classification Office (SCO).</p>	Classification Supervisor
14.	Manage Disciplinary Report(s) (Sub-Process)	Throughout their incarceration, inmates are subject to the Disciplinary Report (DR) process. See the DR sub-process for additional information.	Correctional Officer
15.	Interstate Compact (Sub-Process)	Interstate Compact Sub process	Central Office
16.	Calculate and apply Gain time	<p>Inmates are awarded Gain Time (essentially, a modification to their Tentative Release Date) throughout their prison stay. Gain time is awarded on a monthly basis using the inmate's behavior and enrollment in various programs to guide the awards. Gain time may be lost through the DR process (including the loss of past gain time awarded and restricting the ability to earn time in the future).</p> <p>Note: Florida statutes contain all manner of guidelines and exceptions for Gain Time calculations and awards or losses. OBIS has built within it a Gain Time tracking mechanism but the complexity of the Gain Time processing is beyond the scope of this document.</p>	Classification Officer Central Office (Sentence Structure)



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Index Number	Activity Label	Activity Description	Actors
17.	Attend Educational Programs	Inmates may be assigned to and attend Mandatory Literacy programs and/or Generalized Education Development (GED) preparatory classes.	Program Services
18.	Attend Vocational Training Programs	Inmates may be assigned and attend vocational training.	Program Services
19.	Substance Abuse Programs	Inmates may be assigned to attend substance abuse programs while incarcerated.	Program Services Central Office (Bureau of Substance Abuse) SAP Providers
20.	Drug Testing (Sub-Process)	Inmates are subject to random drug testing throughout their incarceration, while enrolled in Substance Abuse programs, and for “cause.” For additional information, refer to the Drug Testing sub-process.	Central Office (Bureau of Substance Abuse, Inspector General’s Office) Institutional Staff
21.	Transport Inmate	Inmates may require transportation outside the institution for various needs (e.g., medical appointments, participation in work activities, court). Refer to the Population Management sub-process for a complete discussion of the inmate transportation system.	Central Office Institutional Staff
22.	Manage Inmate Escapes	Inmate escapes are managed by each institution in conjunction with the Central Office Emergency Operations Center (EOC) staff. The EOC uses their own emergency management application. The Emergency Management System (web-based application) exchanges data with OBIS.	Central Office Institutional Staff



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Index Number	Activity Label	Activity Description	Actors
23.	Manage Visitors (Sub-Process)	Inmates may be allowed visitation throughout their incarceration. The Facility Access Secure Tracking (FAST) system is used to manage inmate visitation. FAST talks to OBIS. Visitor application decisions made by the classification officer are documented directly in OBIS.	Institutional Staff Security Officer
24.	Manage Institution Profile	Population Management (Central Office) and the Warden maintain profiles of the respective institutions (programs, beds by location/custody).	Classification Warden Population Management
25.	Maintain Emergency Preparedness Plan	Institutional staff, under the guidance of Central Office and the Warden provide for facility emergencies (riots, natural disasters).	Central Office Institutional Staff Warden Security Staff
26.	Manage Special Operations	Special response teams are identified within each institution and regionally to address security needs.	Central Office (Security Office) Corrections Officers
27.	Conduct Institutional Security Audits	Institutions are periodically audited to identify and correct discrepancies based on a set of approximately 400 distinct criteria	Central Office (Security Office)
28.	Operate Inmate Bank	The Inmate Trust Fund processes all inmate financial transaction (debit/ID card). See the Inmate Banking sub-process for additional information.	Central Office
29.	Manage Contracts	There are myriad contracts to support DC and institutional operations to include facility maintenance, fleet management/maintenance, canteen operations, etc. Contract Management was not part of the OBIS replacement process assessment.	Central Office (Institutional Programs)



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Index Number	Activity Label	Activity Description	Actors
30.	Manage Work Assignment	<p>Based on their custody level along with their HO and IM scores the Inmate is assign a job at the institution or while at Work Release they will work, during the day, at private facilities (e.g., Motel 6, McDonalds).</p> <p>Institutional job assignments are based on Procedure Manual and Work Assignment Technical Manual which include, in part, custody, HO and IM. These manuals contain many more guidelines for job placement. In addition, the inmate's medical profile, skills and abilities are also taken into account. Inmates at a facilities can be assigned a variety of jobs including food service, houseman, inside grounds, maintenance, laundry, orderly, clerks, etc. Inmates are also assigned to specific programs as they job for either half a day or a whole day depending on the program.</p> <p>Inmate assigned at a work release center are not bound by the above procedures, custody, HO or IM. Once approved to the work release center they are able to seek jobs in the community.</p>	Classification
31.	Transfer Inmate	<p>Inmates may be transferred to different institutions for many reasons (e.g., discipline, inmate balancing, inmate program needs). The inmate, inmate property, and the physical copies of the inmate's records are transferred at the same time. Refer to the Population Management sub-process for additional information.</p>	Central Office Institutional Staff



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Index Number	Activity Label	Activity Description	Actors
32.	Release Inmate	Inmates are released for many different reasons and in a wide variety of ways. Refer to the Inmate Release core process for a full discussion of the inmate release activities.	Classification Release Officer Release Management (Central Office) Community Corrections ICE Other Jurisdiction(s) Florida Commission on Offender Review

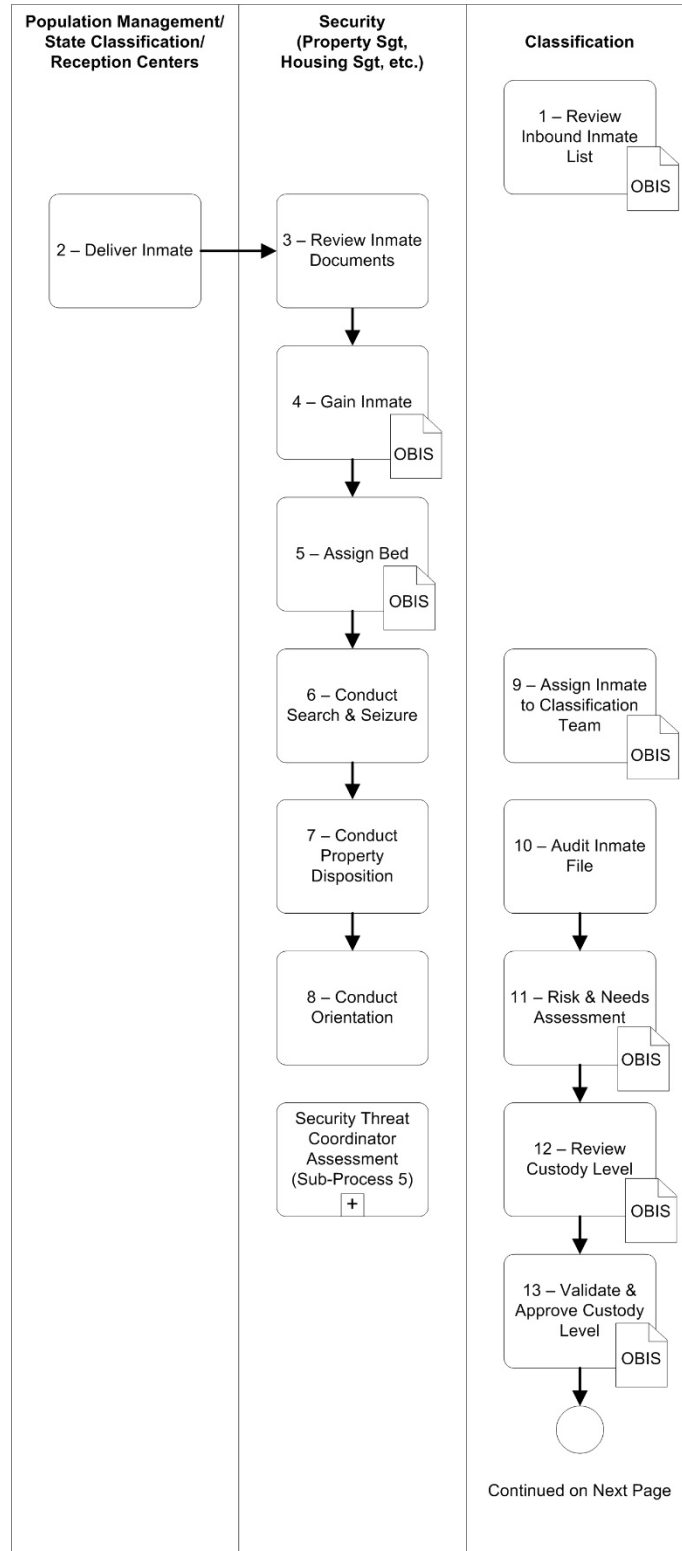


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Figure 2.2-1 Assess Institution As-Is Workflow



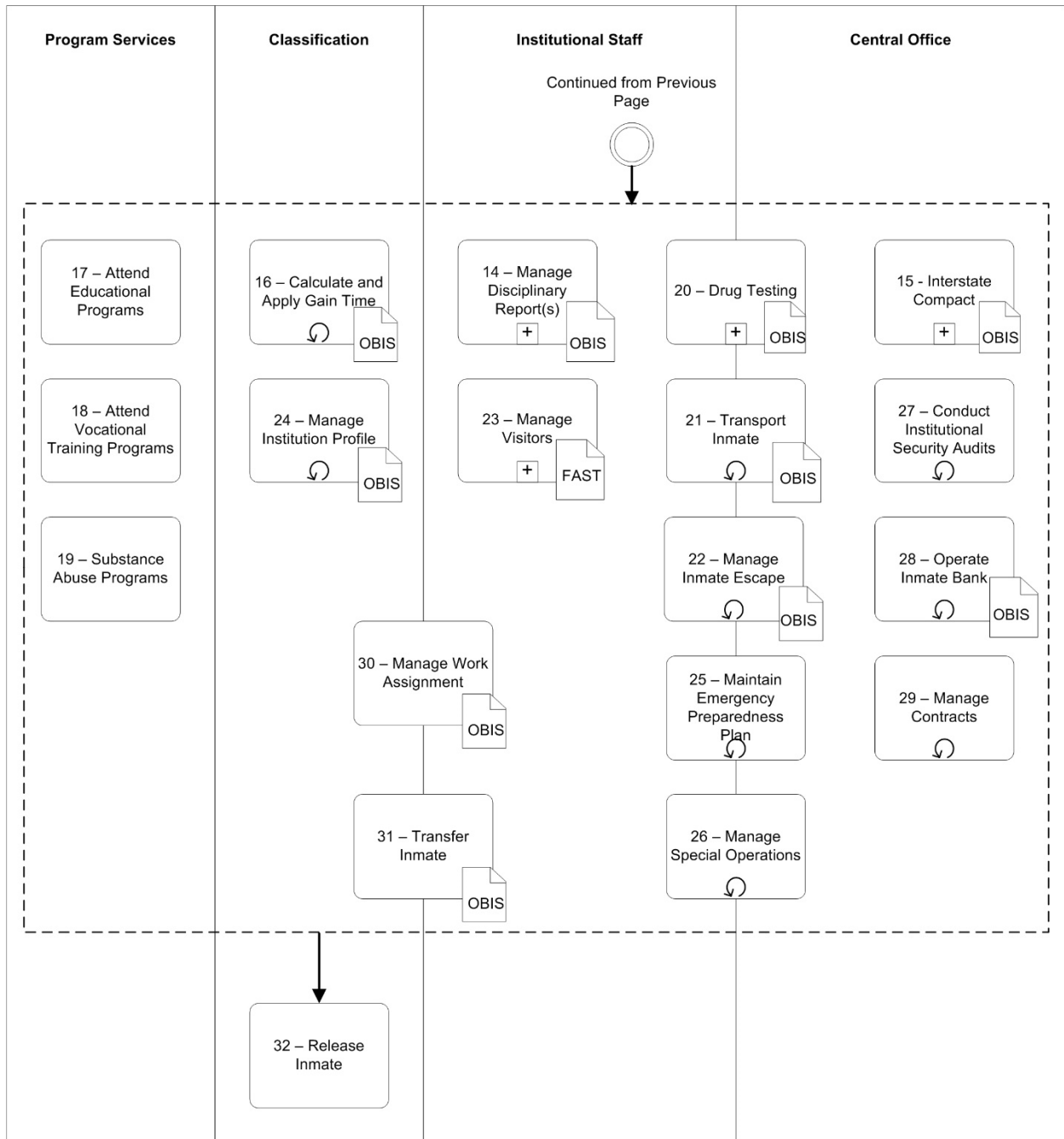


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Figure 2.2-2 Assess Institution As-Is Workflow





2.3 DISCIPLINARY MANAGEMENT SUB-PROCESS

Table 2.3-1 lists the activities that make up the Disciplinary Management Sub-Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Diagrams with a plus sign (+) signify a sub-process. A sub-process will have its own activity diagram and contains two numbers separated by a period. The first number corresponds to the original activity number and the second number, after the period, is the sequence order in which that sub-process' activity is performed.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 2.3-1 Disciplinary Management Activities

Sub-Process 9 – Disciplinary Management Activities			
Index Number	Activity Label	Activity Description	Actors
14.1	Infraction Noted	Inmate behavior is deemed to be noncompliant with Department rules by any employee or person supervising inmates. Verbal warnings, corrective consultations, and disciplinary reports can be conducted/written by any staff member that witnesses the violation.	Inmate
14.2	Issue Verbal Reprimand	In an attempt to address a disciplinary issue, non-formal disciplinary action may be used to adjust inmate carelessness or faulty habits and a verbal reprimand may be issued to the inmate. Staff documents a verbal reprimand on the Inmate Contact Card maintained at the assigned dormitory. (Form DC6-256)	Security Staff



Sub-Process 9 – Disciplinary Management Activities			
Index Number	Activity Label	Activity Description	Actors
14.3	Document Corrective Consultation	A written reprimand for a violation of rules of a minor nature may be documented and issued to the inmate. Attempts to rectify inmate behavior may be issued in written form using a Corrective Consultation (“CC”). A copy of the CC (Form DC6-117) is provided to the inmate within 24 hours of its creation and a copy is placed in the inmate’s institutional file.	Security Staff
14.4	Seek Supervisor Approval	When inmate behavior issues are not resolved through verbal reprimands or written notices (“CC”), Department employees may pursue a formal disciplinary report (“DR”). Prior to creating a DR, Institutional staff must seek approval from their supervisor (exceptions are made for employees at the Department Head or Correctional Officer grade Lieutenant or above). Note: In most instances, an inmate is placed immediately in administrative confinement whenever a DR is issued pending further guidance. In rare cases, the infraction may be of a nature that staff determines the inmate may remain outside of confinement (a “walking” DR).	Security Staff
14.5	Approve or Deny Creation of DR	Once informed of the particular circumstances surrounding the request to issue a DR, supervisors may approve or deny the employee’s request.	Sr. Security Staff



Sub-Process 9 – Disciplinary Management Activities			
Index Number	Activity Label	Activity Description	Actors
14.6	Create DR	<p>Once approval is obtained, staff prepares a DR in accordance with published rule 33-601.304:</p> <p>(1) Only one violation is included in each disciplinary report. Separate disciplinary reports are used for multiple offenses.</p> <p>(2) The statement of facts includes:</p> <ul style="list-style-type: none"> (a) A description of the violation, including date, time and place; (b) The specific rules violated; (c) A formal statement of the charge; (d) Any unusual inmate behavior; (e) Any physical evidence and its disposition; (f) Any immediate action taken; and (g) Any other specific facts necessary for an understanding of the charge. <p>(3) The completed disciplinary report is turned in to the shift supervisor.</p>	Security Staff
14.7	Review & Sign DR	The supervisor reviews the content for correctness and signs the DR.	Sr. Security Staff
14.8	Notify of Possible State Law Violation	Inmate actions may include a possible violation of state law. In those cases, the Office of the Inspector General (Central Office) is notified. The IG will make a determination whether to notify the State Attorney.	Inspector General States Attorney
14.9	Determine level of Participation or Prosecution	<p>The State Attorney's office decides whether to pursue the DR process prior to the conclusion of a prosecutorial action. If the State Attorney's office objects to the disciplinary action prior to prosecution, the file is flagged to complete the DR investigation and disciplinary process once criminal proceedings are complete.</p> <p>Given no objections by the State Attorney's office, the normal DR process proceeds.</p>	States Attorney



Sub-Process 9 – Disciplinary Management Activities			
Index Number	Activity Label	Activity Description	Actors
14.10	Assign Investigation Officer	<p>The staff supervisor that authorizes the DR creation assigns an investigating officer within 24 hours of the DR creation (the investigation officer cannot be the same individual who initiated the DR).</p> <p>The investigating officer is responsible for the following:</p> <ul style="list-style-type: none"> (1) Interviewing the charging staff member. (2) Interviewing the charged inmate. When interviewing the charged inmate the investigator is responsible for the following: <ul style="list-style-type: none"> (a) Delivering the charge to the inmate by reading the charge and statement of facts to the inmate. (b) Ensuring that the inmate has been provided a written copy of the charges. (c) Appointing a staff assistant if necessary. (d) Obtaining the inmate's version of the infraction. (e) Asking the inmate if there are any witnesses or evidence to offer in the inmate's behalf. (f) Completing and obtaining the inmate's signature on the Witness Disposition, Form DC6-112B, and the Documentary or Physical Evidence Disposition, Form DC6-151. (g) Completing Form DC6-2028, Disposition of Videotape/Audiotape Evidence, when necessary. (3) Interviewing additional persons who may have information pertaining to the infraction, including those who are listed in the statement of facts. (4) Reviewing documentary or physical evidence referenced by the charging staff person or identified by the charged inmate on Form DC6-151, Documentary or Physical Evidence Disposition. (5) Recording the results of the investigation on the Disciplinary Investigative Report, Form DC6-112A. 	Sr. Security Staff
14.11	Investigation w/ Inmate Interview	The investigating officer investigates by interviewing the inmate and asking if the inmate has any witnesses or evidence that may support the inmate's version of events. (DC6-112B)	Security Staff



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Sub-Process 9 – Disciplinary Management Activities			
Index Number	Activity Label	Activity Description	Actors
14.12	Notified of DR	The inmate is notified of the DR.	Inmate
14.13	Request Staff Assistance	<p>Staff Assistant – An employee, appointed by the warden, whose name is placed on a list maintained by the disciplinary team and who is assigned by the team to assist the inmate. A staff assistant does not take the position of an advocate or defense attorney.</p> <p>Inmates may request assistance from a third party staff member to understand the charges being brought against them. Staff assistance will be provided but such assistance is not meant to be representative in a legal context; staff members do not “represent” the inmate.</p> <p>A staff assistant is assigned to an inmate under the following circumstances:</p> <ul style="list-style-type: none"> (a) To explain the charges or disciplinary procedures to the inmate, (b) To assist the inmate when the disciplinary team determines that the inmate is illiterate or does not understand English, (c) When the inmate has a disability that would hinder his or her ability to represent himself or herself, (d) When the complexity of the issue makes it unlikely that the inmate will be able to properly represent himself. 	Inmate
14.14	Interview Staff	The investigating officer interviews staff members who may have initiated the DR or who may have witnessed the infraction.	Security Staff



Sub-Process 9 – Disciplinary Management Activities			
Index Number	Activity Label	Activity Description	Actors
14.15	Interview & Capture Witness Statements	The investigator solicits information from witnesses that may support or corroborate the inmate’s version of what transpired. (DC6-112C) Note: Special provisions are included in 33-601.3055 to cover cases involving confidential informants.	Security Staff
14.16	Complete Investigation Report	The investigator completes the Investigation Report (DC6-112A) and has the Sr. Security Officer review the report prior to sending the results to a Classification Supervisor for review.	Security Staff
14.17	Review Investigation Report	The Investigation Report (DC6-112A) is reviewed prior to submitting the results to a Classification Supervisor for review.	Sr. Security Staff
14.18	Review DR	The Classification Supervisor reviews the DR Investigation Report, determines whether the DR is considered to be minor or major and schedules a hearing. The Classification Supervisor also verifies that the citation for the charge is correct and the DR statement of facts supports the charge and contains all of the necessary elements. Note: For minor DRs, a hearing may be conducted with a single hearing officer (normally a Classification Supervisor). For major DRs (or at any time when requested by an inmate prior to entering a plea), hearings are conducted by a disciplinary team (normally a Classification officer and a senior member of the Security staff).	Classification Sr. Security Staff
14.19	Schedule Hearing	Hearings may be scheduled any time after 24 hours have elapsed since the formal delivery of the charges to the inmate (see waiver exception below).	Classification Supervisor
14.20	Waiver Option	Hearings may be held prior to the 24 hour time frame if the inmate executes a waiver (DC6-112D). Inmates may also waive their right to be present for the hearing by so indicating on the same DC form.	Inmate



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Sub-Process 9 – Disciplinary Management Activities			
Index Number	Activity Label	Activity Description	Actors
14.21	Conduct Hearing	<p>The hearing officer or disciplinary team member reads the charge, asks the inmate if the charge is understood, and explains the range of penalties that could be imposed if there is a finding of guilt.</p> <p>The hearing officer or disciplinary team reads the statement of facts to the inmate and the inmate is asked to plea.</p> <p>The entire disciplinary report may be returned for further review, investigation, or correction.</p> <p>If further review suggests a different charge should have been indicated or that additions, deletions or changes should be made in the statement of facts (change section narrative) then the originator rewrites the disciplinary report, a copy of the new or corrected disciplinary report is delivered to the inmate, a new investigation is prepared and the disciplinary report is scheduled for a hearing. The original report is not processed.</p> <p>The inmate is informed of the final decision by the hearing officer or disciplinary team and the basis for that decision.</p>	<p>Sr. Security Staff</p> <p>Classification</p>
14.22	Enter Plea	<p>The inmate is requested to enter a formal plea to the charges.</p> <p>If the inmate pleads “guilty,” no further evidence needs to be heard. If the inmate pleads “not guilty,” evidence is presented including witness statement forms obtained from witnesses.</p> <p>Note: In the event the inmate refuses to enter a plea, it is treated as a “not guilty” plea insofar as hearing procedures are concerned. A “no contest” plea is handled as a guilty plea.</p>	Inmate
14.23	Plead Guilty	<p>If the inmate pleads “guilty,” no further evidence needs to be heard and the hearing moves to Findings.</p>	Inmate



Sub-Process 9 – Disciplinary Management Activities			
Index Number	Activity Label	Activity Description	Actors
14.24	Notification of Dismissal or Not Guilty	<p>If the charge is dismissed or the inmate is found not guilty, the disciplinary report is not posted or placed in the inmate file.</p> <p>Note: Once an employee has written a disciplinary report and submitted it to the shift supervisor, any rejection, disapproval, dismissal or finding of not guilty is communicated to the employee who initiated the report by the official making the decision, along with the reason for the rejection, disapproval, dismissal or finding of not guilty.</p>	Security Staff Classification
14.25	Findings	<p>Inmates found guilty are subject to all manner of disciplinary actions to include, but not limited to, confinement, probation, suspension of mailing and visitation, extra duty, and loss of Gain Time.</p> <p>See Rule 33-601.308 for a full narrative.</p> <p>The results of the DR hearing are forwarded for review by the chief Correctional Officer at the facility.</p>	Security Staff Classification
14.26	Review/Recommendations to Warden	The chief Correctional Officer at a work release only facility reviews the DR findings and recommends approval, modification, or disapproval to the Warden.	Security Chief
14.27	Review of DR Findings/Recommendations	<p>The Warden, acting as the final reviewing and approval authority, approves, modifies downward, or disapproves the recommended disciplinary action.</p> <p>Note: The Warden is the final reviewing authority for cases which the penalty does not exceed a loss of more than 365 days of Gain Time. In cases where the penalty exceeds 365 days or cases in which the Warden is the DR originator, the Regional Director is the final authority.</p>	Warden Central Office Regional Director



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Sub-Process 9 – Disciplinary Management Activities			
Index Number	Activity Label	Activity Description	Actors
14.28	Dismiss or mandate Rehearing	The Warden, Regional Director, or the Department’s Deputy Assistant Secretary (Programs) may remand the findings for rehearing. See 33-601.309.	Warden Central Office Regional Director Deputy Assistant Secretary (Programs)
14.29	Grievance	Rule 33-103.006 provides inmates a formal grievance process using DC form DC1-303.	Inmate
14.30	Log Grievance and Return Receipt	Inmates place a completed DC1-303 form in a locked grievance box. Staff members from classification, the grievance coordinator’s office, or the assistant warden’s office have keys to the box. Regardless of who physically removes the grievances from the box, the grievances are delivered to the Institutional grievance coordinator who then logs all grievances and provides inmates with receipts.	Classifications Institutional Grievance Coordinator
14.31	Review and Approve, Deny, or Return	The Warden, Assistant Warden or Deputy Warden, as defined in Rule 33-103.002(15)(a), (b), and (c) reviews the grievance and provides the inmate with a response within 20 calendar days of receipt. The inmate then has 15 days to appeal the decision to the Office of the Secretary.	Warden
14.32	Rehear or Dismiss Charges	The Warden may order the DR to be reheard or dismiss the charges.	Warden
14.33	Actions/ Penalties	Inmates found guilty are subject to all manner of disciplinary actions to include, but not limited to, confinement, probation, suspension of mailing and visitation, extra duty, and loss of Gain Time. See Rule 33-601.308 for a full narrative.	Classification Security

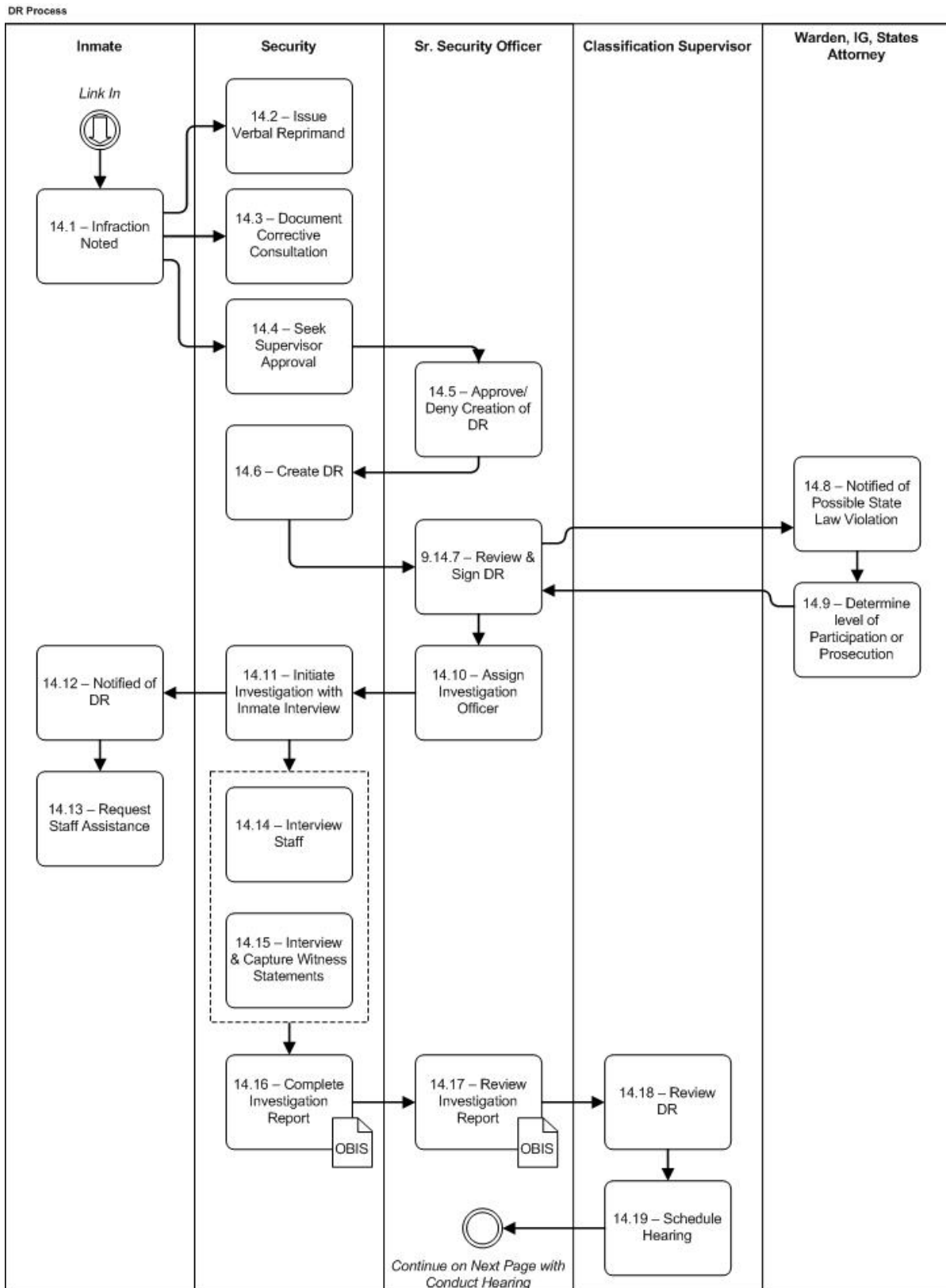


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Figure 2.3-1 Disciplinary Management Sub-Process Workflow



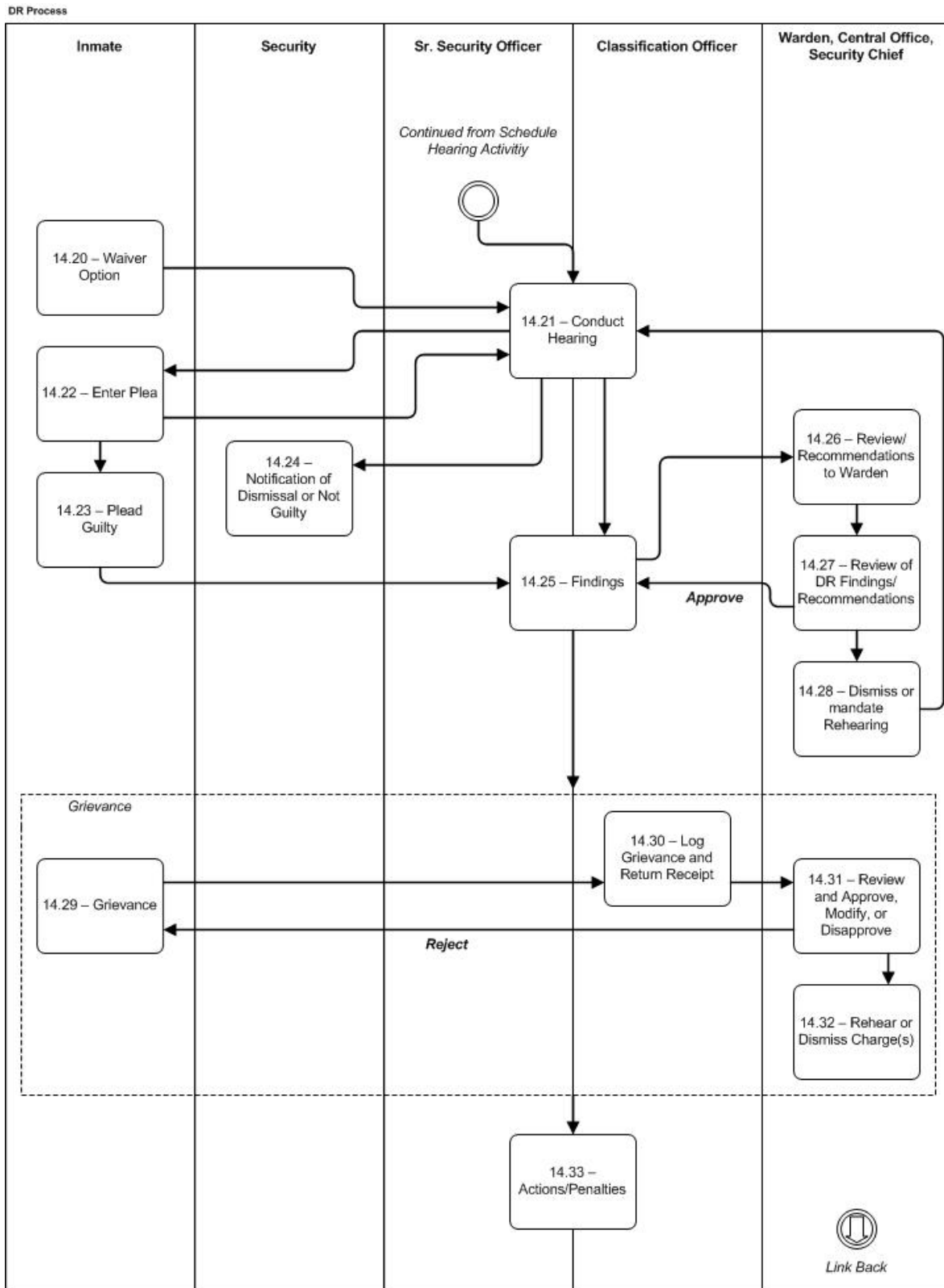


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Figure 2.3-2 Disciplinary Management Sub-Process Workflow





2.4 INTERSTATE CORRECTIONS COMPACT SUB-PROCESS

Table 2.4-1 lists the activities that make up the Interstate Corrections Compact Sub-Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Diagrams with a plus sign (+) signify a sub-process. A sub-process will have its own activity diagram and contains two numbers separated by a period. The first number corresponds to the original activity number and the second number, after the period, is the sequence order in which that sub-process' activity is performed.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 2.4-1 Interstate Corrections Compact Activities

Sub-Process 10 – Interstate Corrections Compact Activities			
Index Number	Activity Label	Activity Description	Actors
15.1	Reviewed and Approved by Classification Officer	<p>Inmates may be transferred to another state to serve their sentence(s) for a variety of reasons (voluntary or involuntary):</p> <ul style="list-style-type: none"> • Inmate Request • Institutional Management Issues • Inmate Protection <p>Inmates from other states may also be incarcerated in Florida for the same reasons.</p> <p>Normally, an inmate requests a transfer through their Classification Officer.</p>	Classification



Sub-Process 10 – Interstate Corrections Compact Activities

Index Number	Activity Label	Activity Description	Actors
15.2	Reviewed and Approved by Classification Supervisor	<p>In the case of an inmate requesting a transfer, the inmate meets with a Classification Officer who reviews the prevailing eligibility criteria for ICC transfers.</p> <p>Note: Inmate transfers for Management or Protection reasons may be initiated by senior institutional staff (e.g., the Warden). Such requests are generally routed directly to Central Office for action, bypassing the reviews that follow.</p> <p>Classification Officers ensure the inmate’s Relatives and References data is complete and contacts at least one family member residing in the requested state to determine support levels (contacts are documented on DC6-130, “Documentation of Verbal Contact”). The inmate also executes DC6-130, “Waiver of Extradition” and DC4-711B, “Consent and Authorization for Use and Disclosure Inspection Release of Confidential Information.” Finally, the inmate is scheduled for a Health Services review to determine long term or extraordinary medical needs. The inmate is also informed of post-release conditions, if present, and sends any court orders to Central Office for their review (prior to submitting a transfer recommendation).</p>	Classification Supervisor
15.3	Reviewed and Approved by ICT	Inmate requests for transfer are reviewed and approved by the Institution Classification Team.	ICT



Sub-Process 10 – Interstate Corrections Compact Activities

Index Number	Activity Label	Activity Description	Actors
15.4	Send Inmate Progress Report Requests to ICC	<p>The Classification Officer generates a copy of the inmate’s latest progress report (screen print of the DC18 screen) and prepares a memorandum for Central Office to describe the various issues and particulars surrounding the transfer request. The memo contains:</p> <ul style="list-style-type: none"> • Release Plan • Name of Requested state • Family member information • Other information that may assist the ICC team in making a determination • Signatures of the Classification Officer, Classification Supervisor, and the Warden (or designee) must be affixed to the request memo 	Classification
15.5	Review Request	<p>The ICC staff at Central Office reviews the information provided. If declined, the Classification Officer is so notified. If eligible, the classification Officer is notified and Inmate is placed in a pending status while awaiting an available opening with the receiving State.</p> <p>Note: A variety of extenuating circumstances (e.g., Florida’s inmate balance with the requested state) could affect when the inmate can transfer.</p>	ICC Staff
15.6	Request ICC Packet	Once a slot is available at the receiving State, the ICC staff requests that the Classification Officer prepare a full ICC packet for submission.	ICC Staff



Sub-Process 10 – Interstate Corrections Compact Activities

Index Number	Activity Label	Activity Description	Actors
15.7	Create ICC Packet	<p>Once notified by Central Office, that an opening is available and the eligible inmate can now transfer, the Classification Officer prepares the ICC packet which consists of:</p> <ul style="list-style-type: none"> • The signed memorandum requesting transfer • DC6-305, “Verbal Contact,” form. • Health Services information (Note: the information will be sealed in the inmate’s medical file.) • Completed DC4-711B, “Consent and Authorization for Use and Disclosure Inspection Release of Confidential Information.” • Any additional documents supporting the transfer (e.g., statements from family members). 	Classification



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Sub-Process 10 – Interstate Corrections Compact Activities			
Index Number	Activity Label	Activity Description	Actors
15.8	Run Background Check	<p>Prior to the inmate’s transfer the Classification Officer:</p> <ul style="list-style-type: none"> Requests a Criminal History report to check for outstanding wants, warrants, and/or detainers. Completes a file audit in accordance with Procedure 601.218. Performs a Conditional Release review to determine eligibility. Notifies the Florida Commission on Offender Review if the inmate has post-release supervision under FPC authority. Informs the inmate about property rules at the gaining state. <p>Prior to the inmate’s transfer, the Sentence Structure Specialist prepares a transfer packet containing:</p> <ul style="list-style-type: none"> Updated inmate photo (full face and profile). Fingerprint card (original only). Signed DC6-130 (Waiver of Extradition). Judgment and Sentence (full commitment packet). Health Summary (within the last 30 days). Ten day supply of inmate medications. A copy of all pertinent inmate medical file information (in a sealed envelope). <p>After inmate transfer, the Sentence Specialist instructs the Inmate Bank to forward all monies to the receiving state, instructs the mail room to forward inmate mail, notifies ICC when the inmate is transferred to the receiving state, and initiates inmate file archive processing (treats as an inactive file).</p>	<p>Classification</p> <p>-Sentence Specialist</p>



Sub-Process 10 – Interstate Corrections Compact Activities			
Index Number	Activity Label	Activity Description	Actors
15.9	Create Summary Sheet and send to other State	Using the information provided by the Classification Officer, the ICC staff creates a summary memorandum and emails it to the requested state for transfer review and approval.	ICC Staff
15.10	Review Summary Sheet and Email Provisionally Approval	The requested state reviews the information provided and either declines or notifies Florida that a provisional approval is granted.	Out of State ICC Staff
15.11	Create Memo and send with Packet	Upon receipt of a provisional approval from the requested state, ICC staff compiles and sends a complete packet of information to the requested state.	ICC Staff
15.12	Create Acceptance Letter and Send back to ICC	If approved, the requested state sends a formal letter of acceptance to ICC staff. Note: A copy of the letter and transfer instructions are provided to the Classification Officer and/or Sentence Structure Specialist at the inmate's current facility, the appropriate reception center, and the Bureau of Victims Assistance.	Out of State ICC Staff
15.13	Create Transport Order	The ICC staff creates a transport order and sends it on to Population Management.	ICC Staff
15.14	Coordinate with Population Management	The ICC staff contacts Population Management staff to arrange for the inmate's transportation to the receiving state.	ICC Staff
15.15	Coordinate Transfer	Population Management coordinates the inmate's transfer with that institutions classification officer.	Population Management
15.16	Manage Transfer	Classification officer manages the transfer similar to releasing an inmate with thorough validation of documents and inmate verification prior to releasing inmate into custody of Transport agent.	Classification
15.17	Transport out of State	Transportation (usually a vendor) is provided to pick up the inmate and transport to the receiving state.	Transfer Agent



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Sub-Process 10 – Interstate Corrections Compact Activities			
Index Number	Activity Label	Activity Description	Actors
15.18	Send Files to Central Office	After Transfer the Classification officer sends Inmate files up to central office for Imaging into IRIS.	Classification
15.19	Create and Send ICC Packet	For requests by other states to transfer inmates to Florida, a packet is prepared and sent to the DC ICC staff in Central Office.	Out of State ICC Staff
15.20	Review Request and Packet	ICC staff reviews the transfer request and accompanying information. ICC staff also checks the inmate parity figures for that state (ICC prefers to keep a fairly equal number of inmates in Florida for each Florida inmate housed in the respective states in accordance with the Interstate Compact).	ICC Staff
15.21	Create Acceptance Letter and Send back to Other State	If approved, ICC sends an acceptance letter back to the requestor indicating that Florida is willing to accept the inmate for incarceration.	ICC Staff
15.22	Coordinate with Transfer Agent, Population Management & Reception Center	The ICC teams (Florida and the requesting state) work closely to arrange for the delivery and reception processing for the inmate to be transferred.	Out of State ICC Staff ICC Staff Population Management Reception Center



Sub-Process 10 – Interstate Corrections Compact Activities

Index Number	Activity Label	Activity Description	Actors
15.23	Inmate Case Management	<p>Housing Florida inmates in other jurisdictions does not relieve Classification Officers of the responsibility to provide on-going case management support (e.g., progress reports). Florida is also responsible to provide any necessary supporting documents to other entities to support their inmate case management requirements.</p> <p>The ICC staff in Central Office coordinates inmate management for inmates housed outside the state and serve as the conduit for other states or entities who require information about their inmates housed in Florida.</p> <p>Note: The ICC staff is also responsible to ensure the Florida inmate sentence structure is accurate and timely (e.g., application of Gain Time, modifications to their sentence based on Florida law). In general, while inmates are housed externally, Florida is still responsible to dynamically manage the inmate.</p>	ICC Staff

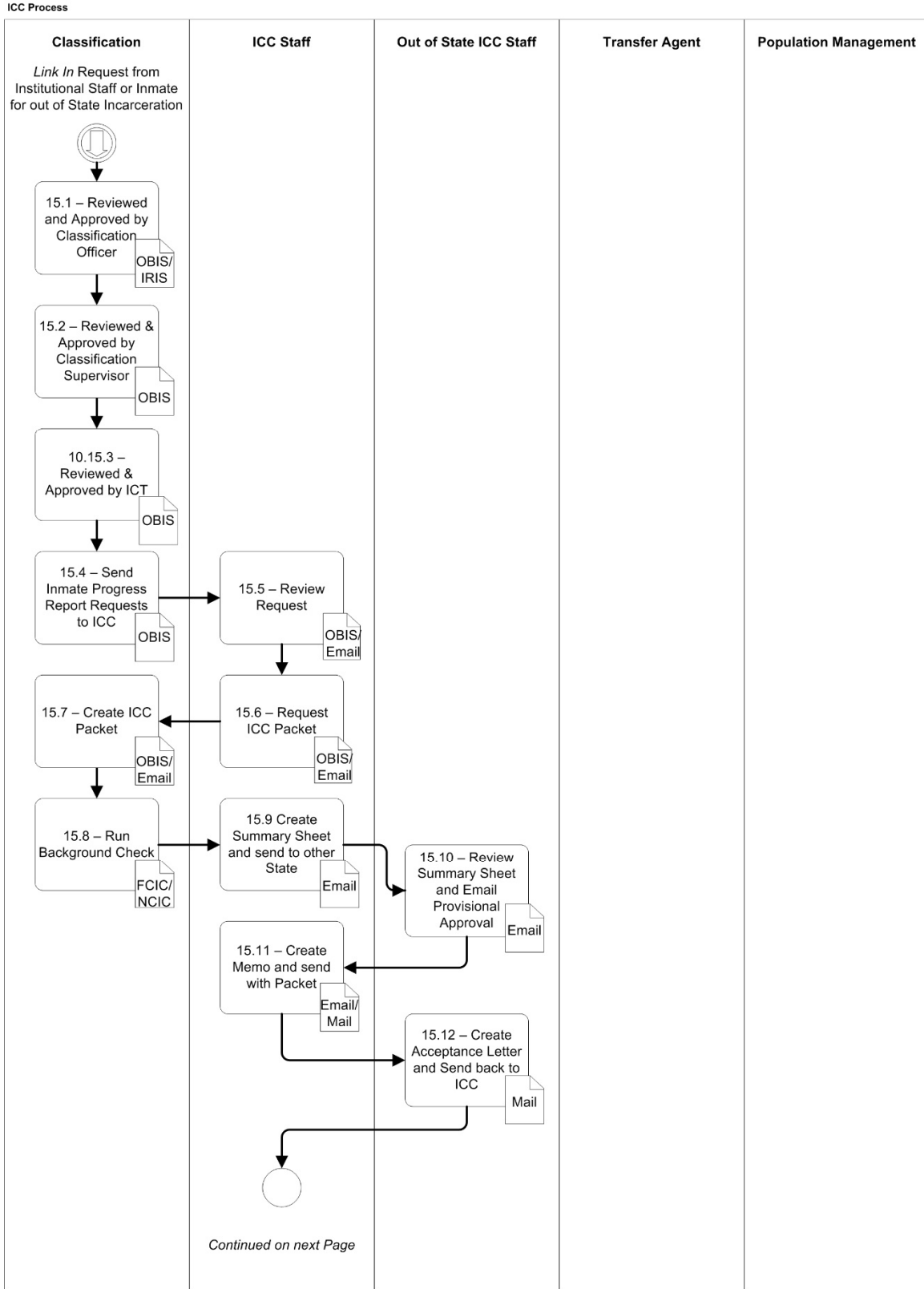


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Figure 2.4-1 Interstate Corrections Compact Sub-Process Workflow



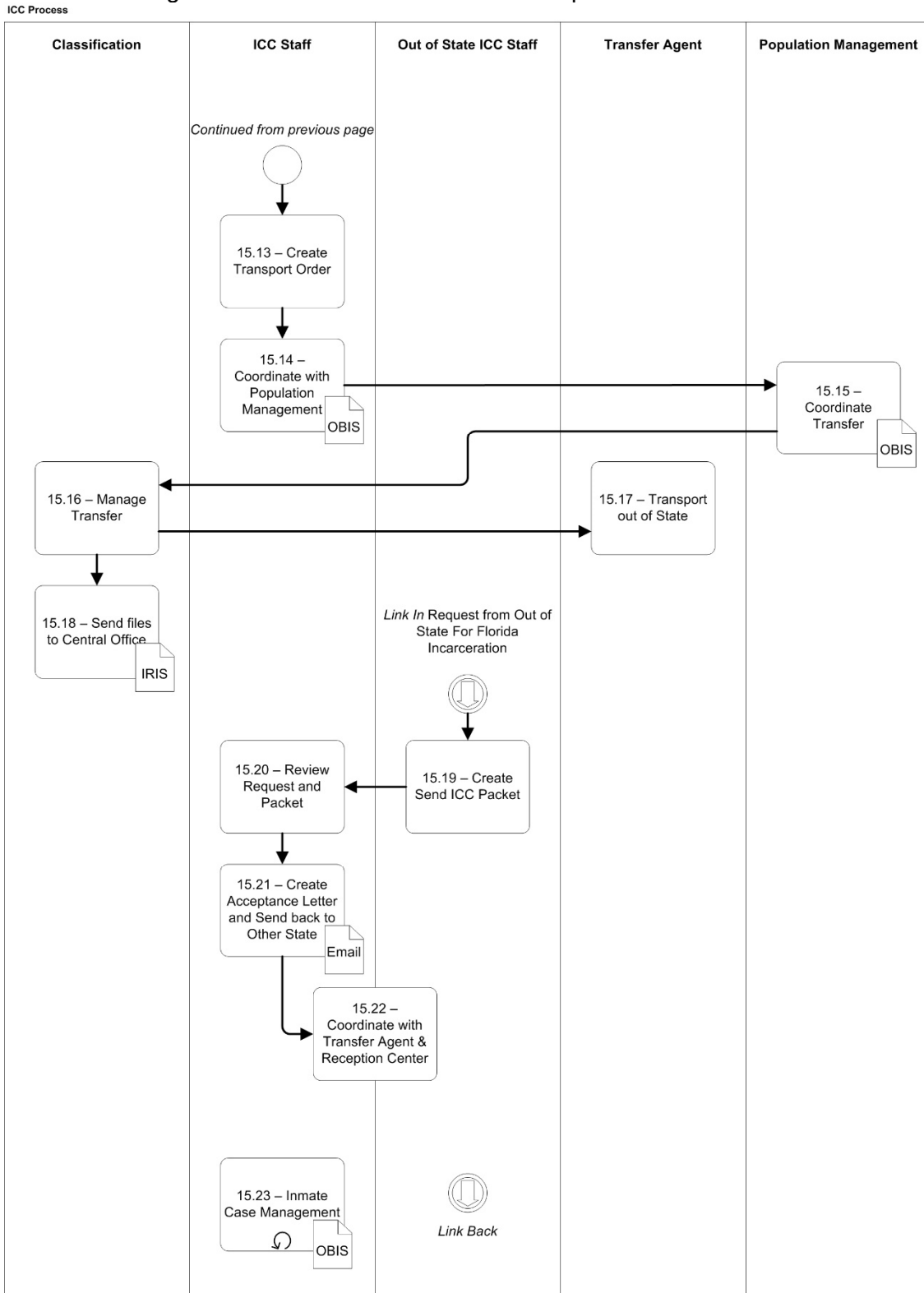


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Figure 2.4-2 Interstate Corrections Compact Sub-Process Workflow





2.5 DRUG TESTING SUB-PROCESS

Table 2.5-1 lists the activities that make up the Drug Testing Sub-Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Diagrams with a plus sign (+) signify a sub-process. A sub-process will have its own activity diagram and contains two numbers separated by a period. The first number corresponds to the original activity number and the second number, after the period, is the sequence order in which that sub-process' activity is performed.

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Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 2.5-1 Drug Testing Activities

Sub-Process 11 – Drug Testing Activities			
Index Number	Activity Label	Activity Description	Actors
20.1	Select Drug Test	<p>The random drug testing program, run by the Inspector General's Office, manages the testing of inmates. The IG's office, each Monday morning, determines which specific drugs (up to four) will be tested for in the upcoming week (tests for cocaine and marijuana are always included so the IG may select 1, 2, or no additional drugs for testing).</p> <p>Note: Inmates are also subject to alcohol testing using standard "blow tubes." In the event of a positive result, inmates are subjected to urinalysis testing as described in this process.</p> <p>Program no longer run out of IG office; it's run out of Institutions at Central office.</p>	Central Office



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Sub-Process 11 – Drug Testing Activities			
Index Number	Activity Label	Activity Description	Actors
20.2	Inmates Selected for Testing	<p>Inmates are subject to random drug testing throughout their incarceration:</p> <ul style="list-style-type: none"> All new inmates (within 90 days of receipt) are tested Random testing for 1% of the entire inmate population on a weekly basis All inmates enrolled in a Substance Abuse Program (SAP) are tested weekly Random testing for 20% of the entire SAP population twice a month For cause at anytime <p>Note: The possibility exists (and is borne out in practice) for an inmate enrolled in SAP to be tested three times in a single week (four if for cause).</p> <p>Each Monday morning, lists of inmates to be tested are created and distributed to each institution. The lists contain specific dates for the administration of the tests (this allows the testing to be spread out over the week rather than requiring all inmates to be tested on the same day). The institutions are responsible to test each inmate on the list within 30 hours of the date indicated on the lists (before or after the date; flexibility is important as it provides an opportunity to test inmates on different shifts without allowing them insight as to when they may actually be tested).</p> <p>Process Improvement: automatic generation of drugs to be tested and random inmate lists.</p>	<p>Central Office</p> <p>Institutional Staff</p>



Sub-Process 11 – Drug Testing Activities			
Index Number	Activity Label	Activity Description	Actors
20.3	Print List at Facility	<p>Drug test administrators (normally a Correctional Officer who must be certified as a tester) receive the week’s list for inmates and drugs at their facility. Each institution’s drug test officer, upon receipt of the inmate list and the drugs to be tested that week, ensures a sufficient quantity of tests are on-hand to perform the tests and schedules the administration of the tests (scheduling is closely held to preclude inmates from being notified of an upcoming test).</p> <p>Note: Drug test kits and/or supplies are distributed and stored at each facility. In cases where the necessary supplies are not on-hand, institutions coordinate within their regions to transfer the appropriate materials to support the testing process. Currently, inventory management is addressed using an Excel spreadsheet which is updated and shared between the regional institution staff.</p>	Security Staff
20.4	Call Inmate in for Test	Inmates are physically moved to an appropriate testing area.	Security Staff
20.5	Provide Sample	Inmates provide a urine sample under observation by the drug test administrator (officers are required to witness the tests to ensure no foreign matter is introduced into the sample and to make sure the inmate actually provides his or her own sample).	Security Staff
20.6	Administer test	<p>The sample is tested immediately in the presence of the inmate using the test kits/strips corresponding to the week’s drugs to be tested.</p> <p>Note: Drug testing involves Chain of Custody issues so it is imperative that the inmate be present for and witness all drug testing.</p>	Security Staff



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Sub-Process 11 – Drug Testing Activities			
Index Number	Activity Label	Activity Description	Actors
20.7	Record test results	<p>Space is provided on the administrator’s list to record the results of each test.</p> <p>If the result is Negative, the inmate is so informed, the sample is disposed of, and the results are recorded on the OBIS printout (the list of inmates to be tested).</p> <p>Test results are entered directly into OBIS.</p>	Security Staff
20.8	Positive Results	<p>If the sample tests positive, the inmate is informed and provided the option to sign a DC1-824, “Affidavit for Admission of Drug Use.”</p> <p>If the inmate executes the DC1-824, the sample is disposed of, the inmate is placed in administrative confinement and a Disciplinary Report (DR) is written (the DC1-824 is attached to the subsequent DR).</p> <p>Note: Although not contained in DC Procedure 108.005, “Drug Testing of Inmates,” in practice, officers often administer a second test when a positive result is observed.</p> <p>Inmates are given a choice to challenge the results of a positive test. If they avail themselves of that option, the test administrator seals the specimen and begins Chain of Custody processing in the inmate’s presence.</p> <p>Note: In response to an inmate’s claim that prescribed medications are the cause of a positive test result, test administrators contact the institution’s medical staff. If the medical confirms the inmate’s claim, the type, amount, and dosage of the medication is documented on the Chain of Custody.</p>	Security Staff



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Sub-Process 11 – Drug Testing Activities			
Index Number	Activity Label	Activity Description	Actors
20.9	Challenge Results	As described previously, inmates may challenge the results of a Positive drug test. If they do so, the Chain of Custody procedure is followed and the inmate is placed immediately in administrative confinement pending confirmation by an independent laboratory.	Inmate
20.10	Goes to Administrative Confinement	Inmates who test Positive and/or challenge a Positive result are placed in Administrative Confinement pending a DR process or the results of an independent laboratory testing regimen.	Inmate
20.11	Send sample to independent lab	When an inmate challenges a Positive test result, the test administrator, following appropriate Chain of Custody provisions, mails the sample to an independent laboratory for testing using a predetermined shipping company. Note: All specimens must be shipped within 48 hours of the original test results.	Security Staff
20.12	Test Sample	An independent laboratory tests the sample(s).	Laboratory
20.13	Results	Results are sent back to the originator.	Laboratory Security Staff
20.14	Notified of Positive Results	Test administrators receive the results from the testing lab. If the results are Positive (confirmed), the DR process is initiated for the inmate. If the results are Negative, the classification staff is notified with a recommendation to release the inmate from Administrative Confinement. The Chief of security (or designee) records the results on the DC1-826 mails the result to Central Office (IG). Test results are entered directly into OBIS.	Security Staff Central Office (IG)



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Sub-Process 11 – Drug Testing Activities

Index Number	Activity Label	Activity Description	Actors
20.15	Accepted Positive Results without Challenging	Inmate decides not to challenge positive test results so sample will not be sent to the lab. The DR process is initiated for the Inmate.	Inmate
9.14	Initiate DR Process (Sub Process)	Initiate DR process. See sub process 9 for further details.	Security Staff

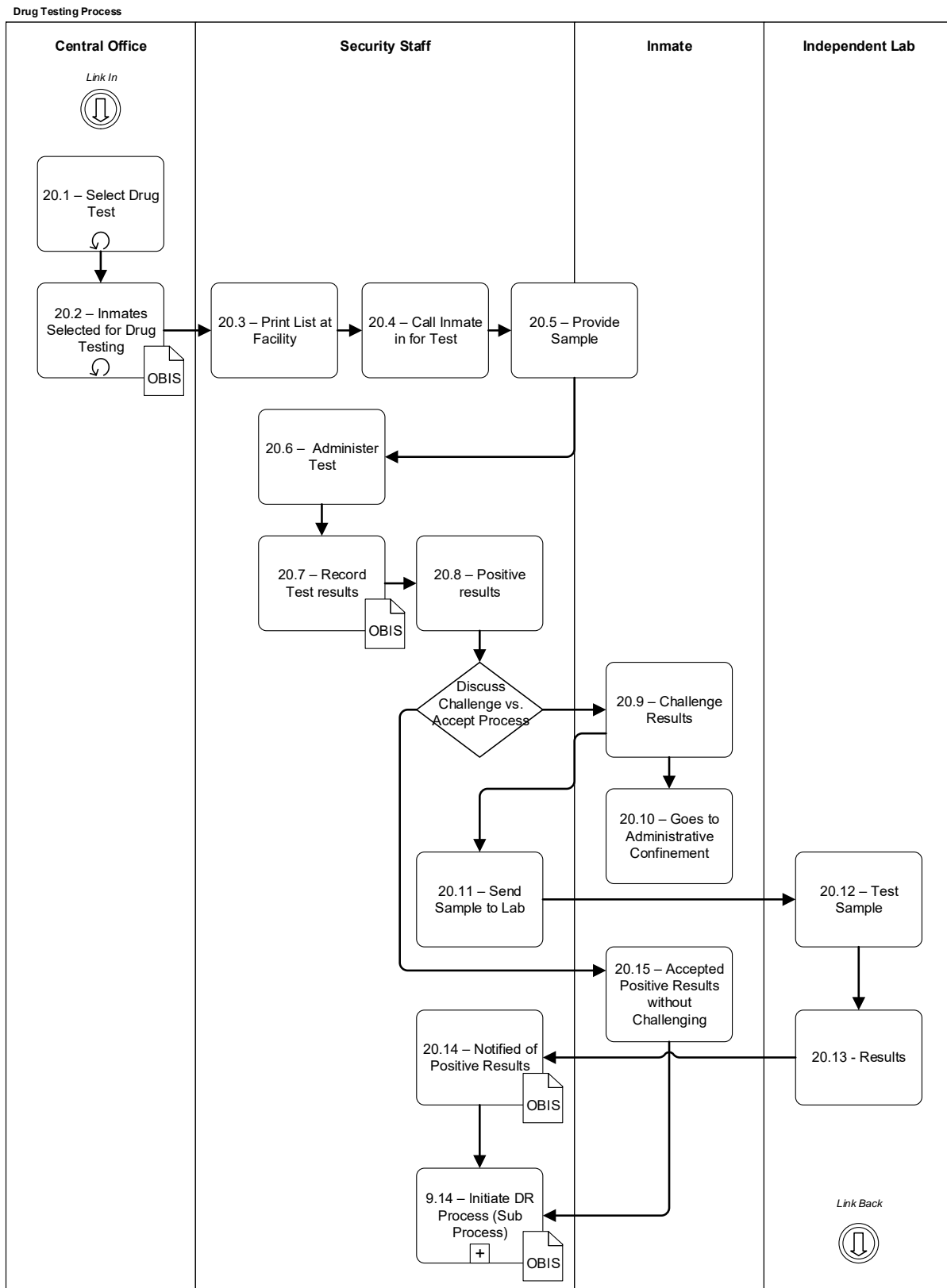


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Figure 2.5-1 Drug Testing Sub-Process Workflow





2.6 VISITOR MANAGEMENT SUB-PROCESS

Table 2.6-1 lists the activities that make up the Visitor Management Sub-Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Diagrams with a plus sign (+) signify a sub-process. A sub-process will have its own activity diagram and contains two numbers separated by a period. The first number corresponds to the original activity number and the second number, after the period, is the sequence order in which that sub-process' activity is performed.

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Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 2.6-1 Visitor Management Activities

Sub-Process 12 – Visitor Management Activities			
Index Number	Activity Label	Activity Description	Actors
23.1	Complete Relatives & Reference Information	<p>During the reception process, classification staff develops and maintains a computerized list of an inmate's immediate family members for placement on the automated visiting record. Placement of a name on the automated visiting record in and of itself is not approval to visit.</p> <p>The inmate is given up to fifteen copies of the Request for Visiting Privileges, Form DC6-111A, and Visitor Information Summary, Form DC6-111B, within 24 hours after arrival at his or her permanent facility. The inmate is responsible for sending the forms to each family member or friend twelve years of age or older, whom the inmate wishes to be placed in his or her approved visiting record. Minors eleven years of age and younger are not required to submit a Request for Visiting Privileges, Form DC6-111B, until they reach 12 years of age.</p> <p>The prospective visitor is required to complete a Form DC6-111A, Request for Visiting Privileges, by filling in each line or inserting "NA" (not applicable) where appropriate.</p> <p>Note: Upon transfer to a permanent institution or facility, each inmate is provided with a visitor</p>	<p>Classification</p> <p>Inmate</p>



Sub-Process 12 – Visitor Management Activities

Index Number	Activity Label	Activity Description	Actors
		information letter containing visiting information specific to that institution or facility to be mailed, at the inmate's expense, to each approved visitor.	
23.2	Verify and Validate Eligibility	<p>Inmate visitor requests are validated by their Classification Officer.</p> <p>Department staff documents all requests for visits and decisions made with regard to visiting and pertinent comments on the automated visiting record.</p> <p>No more than fifteen people, twelve years of age or older, including family and non-family members, are allowed on an inmate's approved visiting record.</p> <p>Inmates are permitted to remove or request to add visitors to their inmate visiting records by completing a Remove/ Add Visitor Request, Form DC6-111C, provided by institutional classification staff. Additions to the visiting record are allowed at any time, up to the limit of fifteen approved visitors. Removals are only permitted every six months. Visitors whose visiting privileges are suspended or revoked are not removed from an inmate's approved visiting list while in the respective status and the inmate is not allowed to replace the visitor with another approved visitor.</p> <p>Note: A person who requests placement on an inmate's visiting record is referred to the inmate concerned. The inmate is responsible for notifying prospective visitors of whether they have been approved or disapproved for visitation.</p>	Classification
23.3	Run Criminal Histories on Visitor list	The institution classification staff conducts criminal history background checks on applicants requesting visiting privileges.	Institutional Staff Classification
23.4	Deny/Approve Visitation Request	<p>The assigned institutional classification officer has the authority to disapprove visiting for applicants with prior negative visiting behavior based on the security threat to the institution, nature of the behavior, and the elapsed time since the incident. Denial of visiting is permanent if the prospective visitor was involved in, or assisted in, an escape or attempted escape from any correctional facility.</p> <p>Visiting is denied if the visitor advocates or has advocated violence or the violation of any law or rule</p>	Classification



Sub-Process 12 – Visitor Management Activities

Index Number	Activity Label	Activity Description	Actors
		or is a danger to the security and good order of the institution.	
23.5	Record Visitor Status	<p>Once a visitor’s status is determined, visitation status is recorded in OBIS by the Classification Officer.</p> <p>Status Codes are:</p> <ul style="list-style-type: none"> A – Approved D – Denied G – Approved (Child) I – Removed by Inmate Request T – Non-Contact V – Removed by Visitor Request X - Deceased <p>Suspension Codes:</p> <ul style="list-style-type: none"> P – Permanent Suspension S – Suspended Z – Temporary Suspension 	Classification
23.6	First Visitation PIN, Picture & Data Input	When a visitor arrives for the first time, they check in at the control center where their identification is verified, visitation approval is validated, a personal identification number (PIN) is provided (the PIN is generated in OBIS when the visitor information is input by the Classification Officer(s) and automatically routed to the Facility Access Secure Tracking (FAST) system), the visitor’s biometric data is captured (hand scanner), the visitor’s photograph is taken, and additional demographic information is input to FAST.	Institutional Staff
23.7	Check if Inmate Allowed Visitors	For various administrative reasons the inmate may not be permitted visitors (e.g., the inmate is in confinement or subject to visitation restrictions as a result of a disciplinary infraction). In those cases, visitation is not allowed.	Institutional Staff



Sub-Process 12 – Visitor Management Activities			
Index Number	Activity Label	Activity Description	Actors
23.8	Review Visitor Incident Reports	For various administrative reasons Incident Reports (DC6-236) are created and reviewed by the Security Staff to determine if future visitation privileges should continue or be revoked.	Institutional Staff
23.9	Recommend Suspensions	Rules 33-601.731 and 33-601.732 contain myriad reasons for visitation privilege suspensions to include misconduct by the inmate or the visitors. In such cases, staff recommends the suspension of visitation privileges.	Institutional Staff
23.10	Review & Approve or Deny Suspensions & Reinstatements	The Warden reviews and then approves or denies visitation suspensions or reinstatements.	Warden
23.11	Revoke or Suspend Visitation Privileges	In accordance with the Warden’s decision, staff update OBIS (which automatically updates FAST) to reflect the proper status for inmate visitation.	Institutional Staff

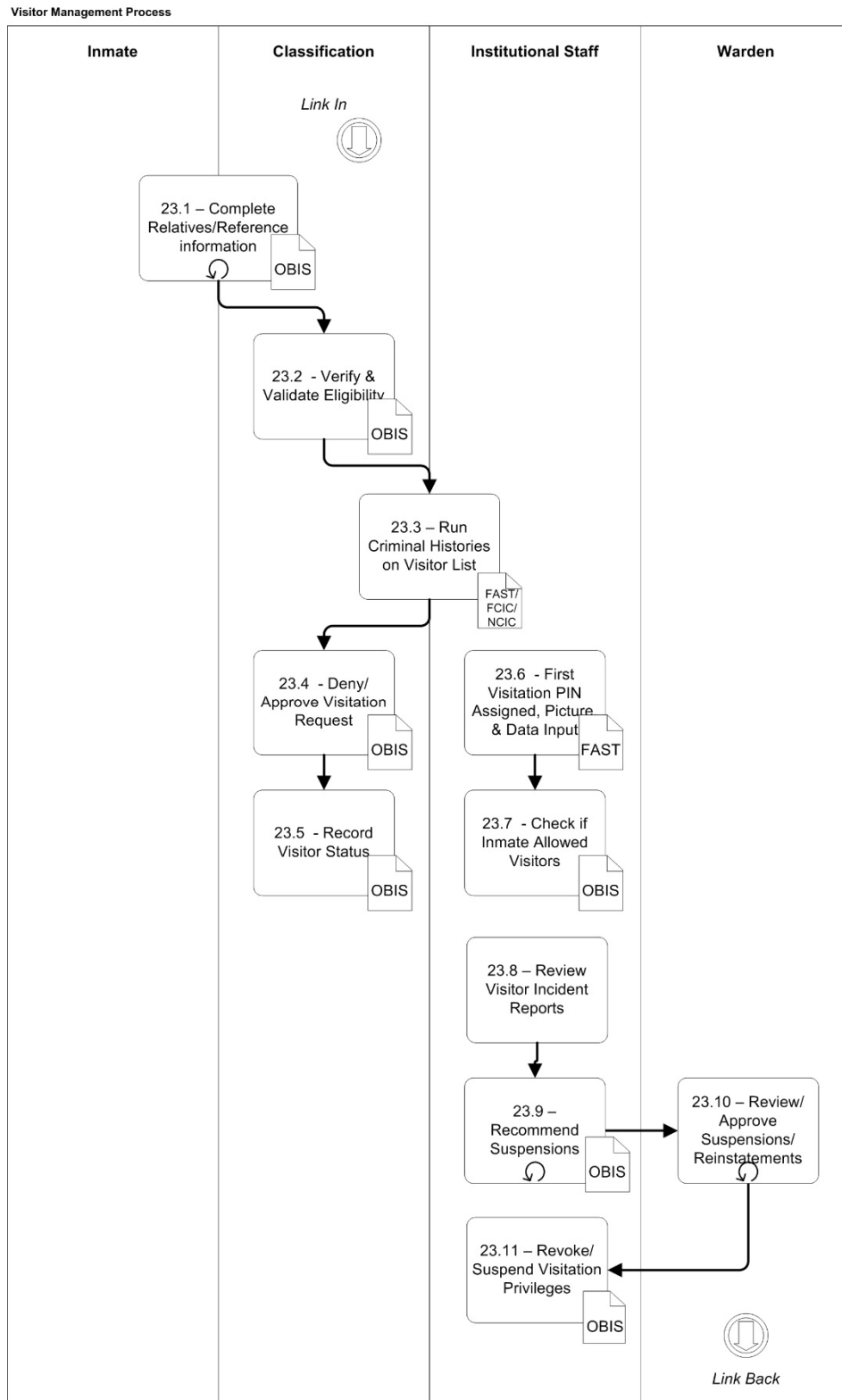


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Figure 2.6-1 Visitor Management Sub-Process Workflow





2.7 ELAPSED TIME

This section describes the time limits or goals required to complete the activities that make up the core and sub-processes.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Limit or Goals Time	Any time limits or goals, from any source – internal or external – pertaining to this activity.
Limit or Goal Source	The source of the limit or goal listed above (Florida Statutes, Department of Corrections policy, etc.)
Speed Bumps	Specific, recurring difficulties that slow the progress of this activity.

Table 2.7-1 Elapsed Time

Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
1.	Review Inbound Inmate Information	N/A	N/A	Highly dependent upon the number of inmates received
2.	Deliver Inmate	N/A	N/A	Highly dependent upon the number of inmates received
3.	Review Inmate Documents	N/A	N/A	Highly dependent upon the number of inmates received
4.	Gain Inmate	N/A	N/A	Highly dependent upon the number of inmates received
5.	Assign Bed	N/A	N/A	Highly dependent upon the number of inmates received
6.	Conduct Search and Seizure	N/A	N/A	Highly dependent upon the number of inmates received
7.	Conduct Property Disposition	N/A	N/A	Highly dependent upon the number of inmates received
8.	Conduct Orientation	N/A	N/A	Usually completed during the first week of inmate receipt at their permanent institution.
9.	Assign Inmate to Classification Team	N/A	N/A	Highly dependent upon the number of inmates received



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Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
	Security Threat Group (STG) Coordinator Assessment (Sub-Process 5)	N/A	N/A	Highly dependent upon the inmate (e.g., number and complexity of tattoos, responses to the STG questionnaire).
10.	Audit Inmate File	N/A	N/A	Highly dependent upon the content and complexity of the inmate file.
11.	Risk & Needs Assessment	N/A	N/A	Highly dependent upon the number of inmates received
12.	Review Custody Level	N/A	N/A	Highly dependent upon the number of inmates received
13.	Validate & Approve Custody Level	N/A	N/A	Highly dependent upon the number of inmates received
14.	Issue Disciplinary Reports	Investigation must begin within 24 hours of the DR. Hearing must be held within 7 working days after the completion of the investigation.	Rule 33-601	The DR process (from beginning to end) is estimated to cost \$187 per DR incident. No breakdown by man-hour is available. Inmates may waive the requirement that does not allow a hearing to commence sooner than 24 hours after notification. Inmate grievances to appeal the DR decision must be filed within 15 days. The Warden has 20 days to review and to provide a response. The inmate has 15 days to appeal the Warden's decision to Central Office.
20.	Drug Testing	+/- 30 hours from scheduled testing date	DC Procedure	Positive results that are challenged by inmates must be shipped within 48 hours of the sampling.



2.8 PAPER DOCUMENTATION

The section describes the paper documents required to complete the activities that make up this process. The reference column refers to the originator and title of policy, procedure, or instruction that contains the form or specifies the content of the document, if any. More than one document may be required to carry out a single activity, so each is listed.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Document Title	Short title, form number or other designation for the document.
Document Description	General description of the document contents and purpose.
Reference or Source	Originator and title of the source instruction or policy.

Table 2.8-1 Paper Documentation

Index Number	Activity Label	Document Title	Document Description	Reference or Source
1.	Review Inbound Inmate Information	Final Transfer List	List of all inmates transferred to a particular institution for intake (IIS0191)	OBIS
3.	Review Inmate Documents	Inmate files (general, health, education)	Health (usually a special "green" folder) – Subject to HIPAA restrictions Education – special education inmates only; require special handling.	Delivered with each inmate
5.	Assign Bed	Housing Officer's Contact Card (DC6-256) Housing Unit Log (DC6-209)	N/A	Hard copy form to record various inmate related activities (e.g., security infractions).



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
7.	Conduct Property Disposition	Inmate Impounded Personal Property List (DC6-220) Inmate Personal Property List (DC6-224) Authorization for Disposition of Mail and Property (DC6-226) Inmate Receipt for Personal Property (DC6-227)	Various documents containing information about inmate property and disposition instructions/authorization, authorization to inmate open mail, and authorization to endorse and deposit monetary instruments on behalf of the inmate.	N/A
8.	Conduct Orientation	Authorization and Release of Information (DC3-214) Inmate Safety Training Documentation (DC2-569) Work Release Centers Rules and Policy Delivery Certificate of Orientation (DC6-126) Letter of Notice (DC6-102) Contact Sheet (DC6-271) Inmate Request (DC6-236)	Various forms and documents used throughout the Department (may vary widely between institutions and work release centers).	N/A
	Security Threat Group (STG) Coordinator Assessment (Sub-Process 5)	Security Threat Individual Group Validation Worksheet (DC6-106A) Security Threat Group Questionnaire (DC6-106C) Incident Reports (DC6-210)	Gang related information interview form. Security threat group suspicion or identification.	STORMS
10.	Audit Inmate File	Inmate File Audit Checklist (DC6-164)	DC checklist to ensure all file audit steps have been completed and to document the review process.	N/A



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
11.	Risk & Needs Assessment	Personalized Program Plan for Work Release Centers, (DC6-118A) Community Facility Health Appraisal (DC4-750) takes the place of a Risk & Needs assessment performed at the Institution	Inmate demographic data, Goals and Objectives, Health Appraisal, and Release Plan.	N/A
14.	Issue Disciplinary Report(s)	DC6-112E, Disciplinary Hearing Worksheet DC6-112A, Disciplinary Investigative Report DC6-256, Contact Card DC6-112D, 24 Hour/Refusal to Appear Waiver Form DC6-112C, Witness Statement Form DC6-112F, Disciplinary Report Worksheet DC6-151, Documentary or Physical Evidence Disposition DC6-112B, Witness Disposition Form DC6-117, Corrective Consultation of Inmate DC6-2028, Disposition of Videotape or Audiotape Evidence ISS0150, Charging Disciplinary Report (OBIS) ISS0152, Disciplinary Report Corrective Consultation of Inmate (DC6-117)	Miscellaneous DR process forms Corrective Consultations (CCs) may be used to affect discipline in lieu of a formal DR process.	Rule 33-601.313 OBIS Reports



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
20.	Drug Testing	Reasonable Suspicion Testing Tracking (DC1-827) Inmate Scannable Drug Testing Control Card (DC1-826) Acknowledgement of Beverage (DC1-823) Affidavit for Admission of Drug Use (DC1-824)	N/A	N/A
21.	Transport Inmate	Transportation Request (DC6-2041)	Request to move an inmate from one location to another.	
23.	Manage Visitors	Request for Visiting Privileges (DC6-111A) Remove/Add Visitor Request (DC6-111C) Visitor Screening Matrix (DC6-111D)	Visitors must fill out a visiting request form and be screened. Inmates must authorize visitation.	N/A
28.	Operation Inmate Bank	Inmate Trust Fund Deposit Form Reversal of Co-Payment (DC4-695) Inmate Trust Fund Special Withdrawal (DC2-304)	Deposit slip for inmate accounts. Reversal of medical co-payments. Special trust fund withdrawal request.	N/A
31.	Transfer Inmate	Work Release Centers - Type B Furlough Request (DC4-819) Transfer Order List (OBIS – IIS0191)	N/A	N/A



2.9 BUSINESS SYSTEM DATA ENTRY & DATA TRANSFER

This section describes the business systems that are employed directly (touched) or indirectly (data transfer) in the course of the core and sub-processes.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Business System	The name or designation of the system touched (if any).
Purpose or Intent	The business objective accomplished by using the system or systems.
Mode	Choose one; entry is made by a person, transfers are from system to system (including tape).

Table 2.9-1 Business System Data Entry & Data Transfer

Index Number	Activity Label	Business System	Purpose or Intent	Mode
1.	Review Inbound Inmate Information	OBIS	Inbound inmate information is provided to allow gaining institutions insight for inmate intake planning.	Report
4.	Gain Inmate	OBIS	Gaining institution logs the inmate into their facility.	Update
5.	Assign Bed	OBIS	Inmates are assigned beds.	Entry
9.	Assign Inmate to Classification Team	OBIS	Each inmate is assigned to a particular Classification Officer for case management purposes.	Entry
10.	Security Threat Group (STG) Coordinator Assessment (Sub-Process 5)	STORMS	If appropriate, inmates are questioned related to possible gang affiliation and their tattoos are photographed and stored in STORMS.	Entry
12.	Risk & Needs Assessment	OBIS	Inmates are interviewed and assessed for programmatic needs (e.g., education, vocation, drug abuse treatment) and their internal and external risk scores (Custody, Housing, and Internal Management) are determined.	Entry
14.	Validate & Approve Custody Level	OBIS	Approval process for Custody scoring.	Query Entry
15.	Issue Discrepancy Report(s)	OBIS	(ADIOS) – Records and tracks the DR process.	Entry Update Query



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Index Number	Activity Label	Business System	Purpose or Intent	Mode
16.	Calculate and apply Gain time	OBIS	Monthly application of awarded Gain Time (affects the inmate's tentative release date). OBIS also has to forfeit gain time, for example when a DR is processed. This is done automatically with entry of the penalty. The fact is, applying gain time is never an issue. Forfeitures can be highly problematic.	Entry
20.	Drug Testing	OBIS	Results of institutional drug testing program(s) are recorded.	Entry Update Query
21.	Transport Inmate	OBIS	Transfer requests result in transportation orders as do myriad transportation needs.	Entry
30.	Manage Work Assignment	OBIS	Record job assignments.	Entry Update
32.	Release Inmate	OBIS	Release Officer case management (see core process for Release for additional information).	Entry Update Query Report



2.10 PROCESS ISSUES & RECOMMENDATIONS

This section lists the issues that have arisen while analyzing this core process. These are the difficulties that result in an activity losing its effectiveness, degrading its efficiency and hindering its adaptability. Each activity can have more than one issue associated with it.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Issue	Short description for the issue.
Impact	Impacts or consequences of the issue (e.g., confusion, delay, error, incident).
Recommendation	Recommendation for addressing the issue or reducing its impact (if any).

Table 2.10-1 Process Issues & Recommendations

Index Number	Activity Label	Issue	Impact	Recommendation
5.	Assign Bed	Beds must be assigned manually to each inmate.	The manual assignment of each bed to an inmate is time consuming and seems ripe for automation.	Automate all bed assignments. Bed assignments have grown increasingly complex due to the goals of reducing in-cell violence. Often, bed assignments come down to a decision made by the housing sergeant or the Officer in Charge based on a review a multiple factors and personal characteristics of inmates for secure cell housing. Open bay housing doesn't rise to this level.
7.	Conduct Property Disposition	Property management is repeated throughout the incarceration period.	Labor intensive, lost articles, possible legal ramifications	Investigate an inventory management system.



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Index Number	Activity Label	Issue	Impact	Recommendation
20.	Drug Testing	<p>Closely resembles the Bureau of Substance Abuse programs.</p> <p>Drug testing materials (kits, strips) are managed using Excel spreadsheets;</p> <p>Results are written on test schedules, transferred to bubble sheets, and mailed to Central Office.</p>	<p>Duplicative work.</p> <p>Regional coordination of supplies is necessary.</p> <p>Supplies may expire.</p> <p>Duplication of effort to record results, mailing fees.</p>	<p>IG Drug Testing program may be better suited for management within the Bureau of Substance Abuse. Requires additional investigation.</p> <p>Centralized inventory management system.</p> <p>Give testing officers access to the OBIS screen (DC86) to record results and cut out the entire recording/ mailing process.</p>
21.	Transport Inmate	Highly complex system (resource management); done manually.	Labor and institutional knowledge intensive.	Investigate transportation management system.



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Index Number	Activity Label	Issue	Impact	Recommendation
23.	Manage Visitors	Visitors are fully processed before checking to see if the inmate may receive visitors. Sex Offender status is shown on the last screen.	Visitors are fully processed (photo, demographic data capture, identification) before learning that the inmate may not be visited that particular day. Also, sex offenders may not be visited by children and that information is displayed on the last FAST screen.	Investigate changes to FAST to discern actual workflow processing and modify the application to support the findings.



**State of Florida
Department of Corrections
Office of Information Technology**

Institutions Core Business Process Analysis

Core Process A: Receive Inmate Process

Author:	North Highland
Vendor:	The North Highland Company
Version:	5.0
Creation Date:	01/16/2008
Last Accessed:	9/14/2021 12:56 PM
File Name:	Institutions - Business Process Analysis - Receive Inmate Process - v5.0



Document Control

Change Record

Date	Author	Version	Change Reference
1/18/2008	North Highland	0.01 (Draft)	Created
3/21/2008	North Highland	1.0 (Draft)	Final Draft
4/14/2008	North Highland	2.0	Final Deliverable
6/6/2008	North Highland	3.0	Updated Final Deliverable
10/30/2016	North Highland	4.0 (Draft)	Updated documents reflecting any business process changes from the 2008 study
11/18/2016	North Highland	5.0	Updated documents reflecting FDC feedback on draft document

Review

Name	Role	Date
Chuck Beckett	North Highland Quality Assurance	10/28/2016
FDC	Client	11/10/2016
Jennifer Nichols	North Highland Quality Assurance	11/17/2016



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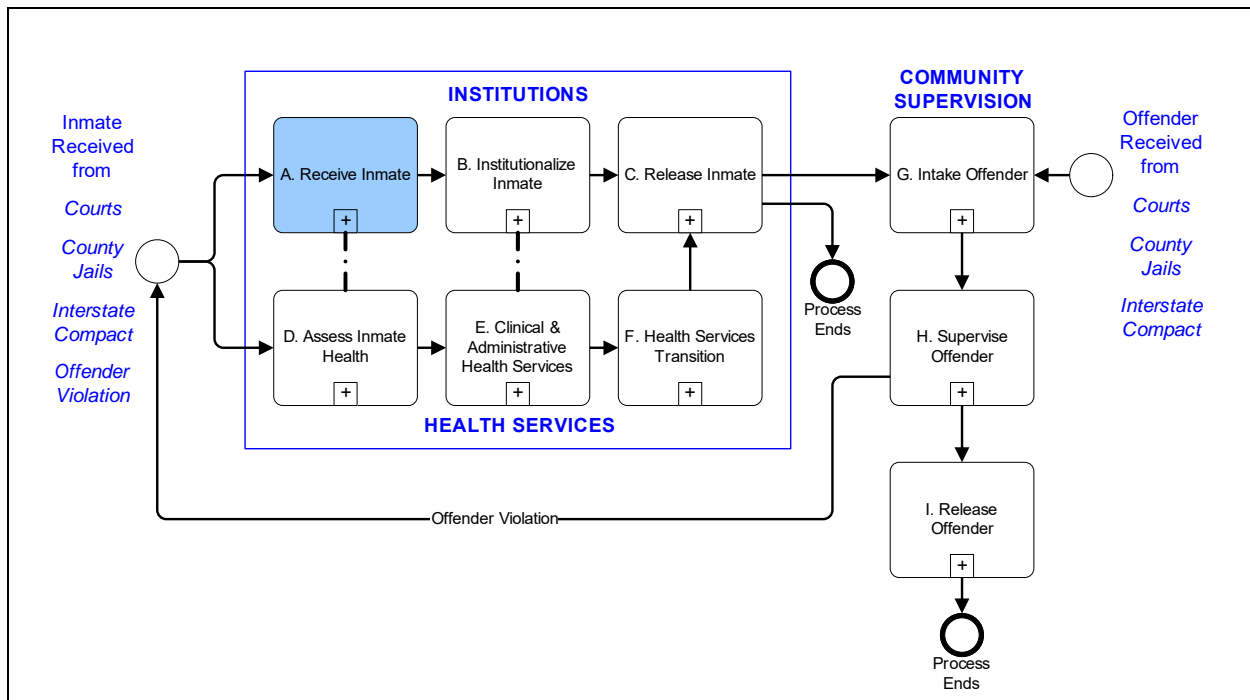
1 DC CORE BUSINESS PROCESSES

1.1 THE PURPOSE AND SUBJECT OF THIS ANALYSIS

The Department of Corrections (Department, DC) is carrying out an analysis of its major business processes. The primary intent of this activity is to establish the foundation for the development of a new business system, which will replace the Offender-Based Information System (OBIS); the Computer Assisted Reception Process (CARP) system was subsumed by OBIS after the completion of the 2008 analysis. This analysis will also result in a set of functional and technical requirements for the new business system.

The figure below shows the entire DC set of nine core business processes examined during this project, identified by the letters A through I, and the general sequence in which they are performed. The box highlighted in blue indicates the core business process presented in this document.

Figure 1.1-1 Department of Corrections Core Business Processes





2 ASSESS INMATE RECEPTION PROCESS

2.1 OVERVIEW

2.1.1 Purpose and Objectives of this process

The purpose of the Receive Inmate (Inmate Reception) core process is to physically receive an inmate from the County Sheriff's Office or designated transporting agent and place the inmate in the custody of the Florida Department of Corrections. The State of Florida receives approximately 30,000 inmates per year in six reception centers (five male, one female).

Offenders are transported from a county jail or from other authorized locations and entered into one of six Reception Centers located throughout the State (five male reception centers and one female centers). Each inmate is accompanied by official commitment papers and other official documents mandated by section 944.17, Florida Statutes. At intake, the inmate is identified as a new receipt, recidivist, or a violator. An inmate is processed, tested, evaluated by Health Services, assessed for program needs, and his / her custody (security risks) is determined. Custody is determined by reviewing the seriousness of the offense, length of sentence, time remaining to serve, prior criminal history, escape history, prison adjustment, and other factors. Based on key assessment results gathered during the reception process, the inmate is then transferred to a permanent facility.

The objectives of this process are:

- Review and validate inmate commitment papers for custody acceptance
- Search and seizure of personal property
- Inmate Orientation
- Testing and assessment of Mental, Physical, Educational, Vocational, Substance Abuse Treatment and Medical needs
- Assessment of Security Risk Level
- Assignment to permanent Institution
- Transfer of inmate to permanent Institution

2.1.2 Beginning and Ending Points

Beginning Point:

- Commitment paper review

Ending Point:

- Transfer of inmate to Institution



2.2 ACTIVITIES & WORKFLOW DIAGRAMS

Table 2.2-1 lists the activities that make up the Inmate Offender Core Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Diagrams with a plus sign (+) signify a sub-process. A sub-process will have its own activity diagram and contains two numbers separated by a period. The first number corresponds to the original activity number and the second number, after the period, is the sequence order in which that sub-process' activity is performed.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 2.2-1 Inmate Reception Activities

Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
1.	Arrival of Potential Inmate	<p>Inmates arrive at one of six DC Reception Centers (NWFRC, RMC, Sumter-Annex, CFRC, SFRC, and FWRC).</p> <p>Youthful offenders, 17 and under, are received at Sumter C.I., though Sumter is not a dedicated reception center.</p> <p>Inmates are normally delivered to the reception centers in their geographical locations by the county Sheriff's offices (reception center personnel poll each Sheriff's Office on Friday afternoon to project potential reception workload for the following week). Inmates may also be received for initial DC entry from other states or federal officers.</p>	<p>Sheriff's Officer</p> <p>Transfer Agent</p> <p>T&R Officer</p>



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Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
2.	Review Commitment Papers	<p>Each inmate is accompanied by a file of documents (“Commitment Papers”) containing information about the inmate’s sentence, criminal history, fingerprint card, court documents, etc. Inmate files are physically separated from the inmates (inmates are NEVER allowed physical access to their files) and delivered to a Transportation and Receiving (T&R) Officer.</p> <p>The T&R Officer reviews the inmate’s commitment papers to determine if the inmate may be held legally by the Department of Corrections. The Officers also perform a perfunctory check of the sentence to determine if an inmate’s sentence may have expired prior to arrival (e.g., credited jail time exceeds the inmate’s sentence). Any issues are brought to the immediate attention of Classification staff members.</p> <p>Note: The commitment paper review process is conducted at the same time the inmates are physically removed from the transport vehicle.</p> <p>The transport vehicle staff is required to remain at the reception center until all inmates are gained by the Department.</p> <p>The Department is currently working with the Clerks of Court to facilitate electronic transmission of commitment paperwork as imaged documents.</p>	Reception Center T&R Officer



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Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
3.	Conduct Search and Seizure	<p>Inmates disembark from the transport vehicle. Inmate clothing and belongings are taken from the inmate and the reception center T&R officers search for and seize any and all contraband materials.</p> <p>After being searched, inmate property is placed in a box and sealed with tape for subsequent property disposition processing.</p> <p>Inmates are then guided through a metal detector and escorted to the “bull pen” to await further processing during which the inmates are called out for multiple interviews (see below).</p>	<p>Reception Center T&R Officer</p>
4.	Gather, Query, and Validate Basic Inmate Information	<p>The T&R Officers review the commitment papers and try to determine if the inmate has previously been issued a Department of Corrections number (DC#). The DC# may be included in the commitment papers or the T&R Officers may use demographic information in OBIS to locate a pre-existing number from the commitment papers or by asking the inmate.</p> <p>Note: In some cases, the commitment papers are reviewed and the DC# is located absent the physical presence of the inmate (RMC) or, the inmate may be questioned to assist in the process (CFRC)</p>	<p>Reception Center T&R Officer</p>
5.	Locate or Assign DC Number	<p>The T&R Officer(s) resolve(s) the inmate’s status as a recidivist or a new receipt to the Department by either locating a previous DC# or assigning a new number.</p> <p>Note: An inmate may have a previous DC# from probationary supervision, having never been physically incarcerated.</p>	<p>Reception Center T&R Officer</p>



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Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
6.	Gain Inmate	<p>Using the DC#, either previous or new, the T&R Officer “gains” the inmate using OBIS (gain means to acknowledge receipt of the inmate to the Department of Corrections).</p> <p>Note: Once all inmates are “gained” by T&R, the transport vehicle staff are permitted to leave. Any inmates that may not be gained by the Department are returned to the transport vehicle or held for further investigation.</p> <p>Once T&R gains the inmates, a Receipt Sheet is generated and printed at numerous locations to facilitate further inmate reception processing. A housing label is also created and attached to the inmate’s Housing Record.</p>	Reception Center T&R Officer
7.	Gather Initial inmate Demographic information	<p>The inmate is interviewed by T&R staff members to capture height, weight, and to verify the inmate’s identity (questions are asked about DC#, social security number, date of birth, etc.).</p>	Reception Center T&R Officer
8.	Notified that Inmate is Youthful Offender	<p>During intake, the T&R Officer(s) determine if the inmate may be considered a Youthful Offender. This determination is used to ensure the inmate is placed in the appropriate housing unit (youthful offenders are segregated from the general population).</p> <p>Note: Youthful Offender status may be court ordered and documented in the commitment paperwork or may be assigned according to the Department’s internal rules (age 24 or less).</p> <p>This process step functionality has been subsumed by OBIS.</p>	Reception Center Housing Sgt T&R Officer



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Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
9.	Inmate File Creation/Update	<p>Throughout the entire reception process (and throughout an inmate's incarceration), forms, receipts, and other documentary artifacts are created which are placed in a physical inmate file. Violators may already have an inmate file; a new file is created for new inmates.</p> <p>Up to three distinct files may be created: Inmate File, Inmate Health File, and an Inmate Special Education File. Each file is stored in dedicated and secure file rooms. Access to an inmate's file is controlled and depends upon authorization and need. Inmates are never allowed access to their files.</p> <p>Information is also routed to a pool of clerks where inmate data is keyed into the Offender Based Information System (OBIS).</p>	Reception Center Staff
10.	Gather & Add additional Inmate Demographic Information	<p>The inmate is interviewed by T&R staff members to capture next of kin and other Demographic information.</p> <p>Time of arrest.</p> <p>Immigration Status.</p> <p>Scars/Marks/Tattoos.</p> <p>Initial STG Screening – Referred to STG Officer if necessary.</p> <p>Physical Characteristics.</p>	Reception Center T&R Officer
	Initial Health Screening (Core Process D)	Using the Receipt Sheet, inmates are called into the Medical area to determine immediate care information, extract blood, perform a DNA test (if necessary), and to capture and document Scars, Marks and Tattoos.	Reception Center Nurse



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Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
11.	Fingerprinting (live scan)	<p>Using the Receipt Sheet, inmates are called, one at a time, to a Live Scan device to capture their fingerprints. Fingerprints are transmitted, electronically, to the Florida Department of Law Enforcement (FDLE) for matching using the Automated Fingerprint Identification System (AFIS). FDLE returns the inmate’s Criminal History by causing the information to be printed at a dedicated Department of Corrections’ printer at the reception center.</p> <p>This process also serves to notify FDLE of the inmate’s physical incarceration by the Department of Corrections.</p> <p>AFIS is called BioScan and includes the capture of an inmate’s photo which is transmitted to FDLE along with a full set of fingerprints.</p> <p>Note: This system is separate and distinct from the RapidID system discussed in activity 17 below.]</p>	Reception Center T&R Officer
12.	Retrieve and Input Criminal History Information	<p>Reception Center staff retrieves the Criminal History printouts and type in any information that is missing or incorrect into the Department’s Offender system (OBIS).</p> <p>Note: For any missing inmate criminal history printout, a classification clerk manually retrieves the criminal history from FDLE using (E-Agent).</p>	Reception Center Classification Officer Classification Clerk



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Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
13.	Conduct Inmate Property Disposition	<p>Inmates physically deposit the belongings that were boxed up during the search and seizure process onto a table in the presence of a property officer. The property officer goes through each item to determine if the material is allowed to be retained by the inmate. Contraband is seized. Inmates are given the option to keep allowable material, dispose of their property, to mail their property, at the inmate's expense, or to store their property for up to 30 days in the property room. Property that remains past 30 days is disposed of by the property room staff. Each inmate is provided with a disposable razor, toothbrush, and toothpaste.</p> <p>Note: The inmate's banking account will be charged for the cost of the mailing. If insufficient funds are available, a lien may be placed against the inmate's account to recoup the cost of mailing.</p> <p>Future-state improvement: property management system.]</p>	Reception Center Property Officer
14.	PREA Interview	<p>Sexual Risk Indicator (SRI) is completed. Inmates are interviewed and asked a series of questions, regarding sexual preference, and if he/she was a victim or perpetrator of sexual abuse.</p>	Classification Officer



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Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
15.	Assign Reception Center Bed	<p>Inmates are assigned a bed in the Reception Center by a Housing Officer (RMC) or during the initial interview (CFRC) according to their housing level. Youthful Offenders are assigned to segregated facilities. At a reception center, beds are maintained/tracked in OBIS.</p> <p>Note: Inmates are initially assigned to an appropriate custody bed within close proximity to the reception processing center to facilitate their attendance at various appointments during their first 5-7 days at the Reception Center. Once the reception process is complete, inmates may be transferred to other housing (e.g., Annex) within the Reception Center facility where they await assignment to their permanent institution.</p> <p>This process step functionality has been subsumed by OBIS.</p> <p>The Inmate Behavioral Assessment System (IBAS) has been incorporated into OBIS to inform bed assignments (includes sexual predator/prey/security data and PREA constructs.).</p> <p>PREA risk factors are identified through SRI (Sexual Risk Indicator) which is related to iBAS. SRI affects iBAS but iBAS does not affect SRI.</p>	Reception Center Housing Officer
16.	Haircut, Shave, Shower, and Uniform Inmate	<p>Each inmate is assessed to determine whether they meet the Department's grooming standards. If not, the inmate is given a haircut. Inmates are required to shave all facial hair.</p> <p>Inmates shower and are issued a standard uniform and shoes.</p>	Reception Center T&R Officer



Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
17.	Create Photo ID Card	<p>Inmates are photographed, front and profile view, and an inmate identification card is created.</p> <p>The photographer also creates a printed copy of the inmate’s photos (front and profile) which is later glued to a form and placed in the inmate’s file.</p> <p>Inmate fingerprints (two-print) are run against NCIC/FCIC using RapidID system.</p> <p>Inmate photos are sent to Central Office for quality control checks and verification of limited demographic information.</p> <p>Note: In some facilities, photos are taken with digital cameras, cropped (Photoshop), and uploaded.]</p>	Reception Center Staff
18.	Activate ID & Inmate Trust Account (Sub Process)	<p>Inmates ID Cards are activated along with their Inmate Trust account.</p> <p>Note: The inmate ID card also serves as the inmate’s banking debit card. The debit card may be activated immediately (CFRC) or at some later point (RMC – Inmates are required to visit the Housing Officer during proscribed hours to have their cards activated).</p> <p>Any money for an inmate coming from a county jail is sent by check in the inmate’s file (which comes along with the inmate to reception). FDC reception staff no longer make bank deposits at the Bank of America (BoA) to be credited to the inmates’ accounts. All deposits are sent to Central Office where BoA scanners and software process the checks.</p> <p>Reception Center personnel create a spreadsheet which indicates which funds are to be associated with which inmate along with a DC form; the form and the spreadsheet are sent to Central Office for processing.</p>	Reception Center Property Sgt Housing Sgt



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Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
19.	Conduct Orientation (including PREA orientation)	All inmates attend an Orientation program during which medical history forms are completed and preliminary educational assessments are performed. Inmates are also informed of Department rules. The results of the assessments are entered into OBIS. Paper documents are placed in the appropriate inmate file (general file, Health file, education file). Reception inmates are shown a PREA Orientation film and sign DC6-134C, "Acknowledgement of Receipt of Orientation on the Prison Rape Elimination Act (PREA)". Documentation of PREA Orientation is entered on the IM02.	Reception Center Orientation Staff
20.	Enter Sentence Structure Information (Sub Process)	The inmate commitment papers are reviewed by Classification staff to calculate the inmate's sentence and are input to the system. Extraordinary cases are referred to the Central Office for resolution/guidance.	Reception Center Sentence Specialist
21.	Conduct Educational Testing (TABE)	The Adult Basic Education (TABE) test is administered to each inmate to determine educational needs (e.g., pursuit of a GED).	Reception Center Classification Officer
22.	Conduct Special Education Assessment	Every inmate, aged 22 years and one day or less, is assessed for Special Education needs by an education specialist. If the inmate's special education needs are verified, the inmate MUST be transferred to a permanent facility offering a special education program and enrolled in the program within 10 days. The result of the assessment is entered into OBIS. Paper documents are placed in the education file.	Reception Center Classification Officer Education Specialist
23.	Conduct Substance Abuse Assessment	Inmates are assessed for substance abuse issues and offered enrollment in a substance abuse program (subject to availability at their permanent facility). Assessments may be facilitated/guided/captured by SPECTRUM and DSSI.	Reception Center Classification Officer



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Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
24.	Vocational Needs Assessment	<p>Inmates are assessed to determine their needs for Vocational training. Inmates 21 years old and under will take the “Aptitude Interest Inventory Vocational Assessment”. Vocational needs may cause the inmate to be transferred to the specific facility.</p> <p>This process step functionality has be subsumed by OBIS.</p>	<p>Reception Center Medical Classification Officer</p>
	Assess Inmate Health (Core Process D)	<p>Inmates are assessed to determine their needs for medical, dental, and psychological treatment. Immediate needs may cause the inmate to be transferred to the medical facility.</p> <p>Spectrum inmates undergo additional mental health screenings: MoCA, ABE-IC and PCL-Civilian. The PCL-Civilian will start sometime in January and is replacing another screening previously conducted during the Spectrum pilot called TSC-40.</p>	<p>Reception Center Medical Personnel (Health Services)</p>
25.	Security Threat Group (STG) Coordinator Assessment (Sub Process)	<p>Throughout the inmate’s reception processing (and throughout their incarceration), Corrections Officers and other staff are constantly assessing the inmate for external tattoos, behavior, and/or self-disclosed gang membership or participation. Inmates identified as potential gang members are interviewed by the Reception Center’s Security Threat Group Coordinator(s). Using a standard questionnaire, STG Coordinators solicit and document information about gang activity, gang profiles, and capture photographs of the tattoos. All the data is then recorded in the Department’s STORMS system.</p>	<p>Reception Center STG Coordinator</p>



Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
26.	Inmate Phone List Management (Sub Process)	<p>Inmates are provided a form to request up to ten phone numbers that they may be authorized to call (the form requires a complete phone number, including area code, first and last name, and a complete mailing address with zip code of the person to be called). The form may be provided during their Orientation session or during their initial meeting with their Classification Officer.</p> <p>The inmate phone list is returned to inmate’s Classification Officer and checked to ensure the names on the list adhere to Department of Corrections guidelines (e.g., inmates may not call victims of their crimes, sexual predators may not call children).</p> <p>Once reviewed by the Classification Officer, the list is sent to the on-site phone vendor staff for verification. The phone vendor performs a reverse phone look-up and verifies the information on the list is correct (and does not include cell or business phones). The vendor then inputs the inmates’ authorized numbers into the vendor’s system to allow the inmate to make calls.</p> <p>The phone list is returned to the Classification Officer by the vendor (indicating which numbers were validated and which ones were not). In some cases, the Classification Officer allows the inmate to modify or correct the invalid information, in other cases the inmate must wait six months to modify the list.</p> <p>Inmate voice recognition is part of the system.</p>	<p>Orientation Staff</p> <p>Classification Officer</p> <p>Phone Vendor Staff</p>
27.	Search DNA Database & Submit Sample	<p>Every inmate is required to submit a DNA sample. During reception, the OT23 (OBIS) screen (previous inmates) or the FDLE DNA database record is reviewed to determine if a sample is required. If so, a DNA sample is taken and submitted using a DNA test kit (and thumb print).</p>	<p>Classification Officer</p> <p>Health Services</p>



Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
28.	Review all information for Risk & Needs Assessment (Sub Process)	<p>Following completion of the assessment activities described above, inmates meet with a Classification Officer who performs two distinct functions during the same interview.</p> <p>Using OBIS, the Classification Officer determines, based on myriad criteria, the overall Risk and Needs profile for the inmate. Two critical risk factors are assessed: Internal (the risk that the inmate poses to staff or to a facility) and External (the risk that the inmate poses to the public or as a potential escapee; this may impact the inmate’s ability to work outside the facility).</p> <p>The outcome of the Risk and Needs assessment may impact the assignment of an inmate to a permanent facility offering the programs recommended by the Classification Officer.</p> <p>This function will still take place in OBIS. IRMS and Spectrum are additions and did not eliminate all of this.</p> <p>IRMS and CINAS were developed in 2009 and launched on March 1, 2010. They replaced the OBIS-based Risk and Needs system. This older system was conducted through CARP at the reception center. The launch of IRMS and CINAS did not replace CARP; that is the current initiative separate from just the risk and needs assessments processes.</p> <p>Spectrum is not currently the sole needs system. The pilot began on March 1, 2016. It is currently fully launched at CFRC and FWRC and only partially launched at all other permanent facilities. Spectrum currently runs parallel to CINAS.</p>	Reception Center Classification Officer
29.	Determine Custody Level	Based on the inmate’s criminal history or prior behavior while incarcerated, the Classification Officer(s) determine 1 of 5 external Custody levels: community (1) through maximum (5 – Death Row).	Reception Center Classification Officer



Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
30.	Validate & Approve Custody Level	<p>A Classification Supervisor reviews and validates, approves, or changes the custody level.</p> <p>An internal web-based appointment system (unconnected to FDC email system) called CAOSS is used as a perfunctory workflow tool; it notifies various staff members that they have to do something to some kind of work item.</p> <p>CAOSS was not developed solely for custody. In fact, CAOSS will only mirror the IM05 OBIS appointment screen and does not offer functionality within the web application to complete the majority of appointments as they are still based solely in OBIS.</p> <p>CAOSS was developed to replace team management. The web application talks with OBIS DC42 screen – all updates are performed in the CAOSS web application). CAOSS also provides a mechanism for transfer to other web application for the completion of web-based appointments (IRMS, CINAS, Spectrum).</p>	Reception Center Classification Supervisor
31.	Review & Approve Custody level	An Inmate Classification Team (ICT) comprised of the Classification Supervisor, the Chief Correctional Officer, and an Assistant Warden/Warden approves or recommends changes to the preliminary custody levels	Reception Center ICT Classification Supervisor Chief Correctional Officer Assistant Warden
32.	Review & Determine Final Custody Level	If the custody level is community or minimum (which would allow an inmate to be assigned outside the physical confines of a facility) or if the custody level suggested by the system (OBIS) is modified, the State Classification Office (Central Office) makes the final custody determination.	Reception Center State Classifications



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Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
33.	Assignment for Institutional Placement	<p>The Classification Supervisor reviews the inmate's Risk and Needs profile and identifies 3 potential Institutions as the inmate's permanent facility.</p> <p>Review custody, security profile, medical profile, and all needs assessments and recommend three appropriate facilities.</p>	Reception Center Classification Supervisor
34.	Conduct Team Decision	The ICT makes a final determination of the inmate's permanent facility. This decision must be made before an inmate may be assigned to a permanent facility.	Reception Center Classification Supervisor Warden Chief of Security
35.	Provide Institutional Beds Allocation	The Population Management office in Central Office manages all bed space throughout the Corrections system. Based on projected needs, the Population Management Officer in Central Office allocates beds to the Reception Centers for assignment of inmate beds in their permanent facilities.	Central Office Population Management
36.	Allocate Inmate to Institution	Based on the Team Decision and the allocations received from Population Management, inmates are assigned to their permanent facility.	Reception Center Classification Supervisor
37.	Final File Compilation	<p>Ensure inmate file is put together.</p> <p>Review to make sure all documents are completed and in file.</p> <p>Collect education, religious, property files, etc.</p> <p>Prepare file for transfer.</p>	Clerk Typist Classification Officer
38.	Coordinate Travel of Inmate to Institution (Sub Process)	Once inmates are assigned to a specific facility, the Population Management staff at Central Office schedules the inmates for physical transport to their permanent facility. Population Management staff work closely with the T&R Officers in the Reception Centers and at each institution to schedule inmate movement.	Central Office Population Management T&R Officer
39.	Transfer Inmate	<p>The inmate and a physical copy of the inmate's records are transferred to the assigned facility.</p> <p>General Comment: FDC would like to dispense with physical (paper) inmate files/records.</p>	Reception Center T&R Officer



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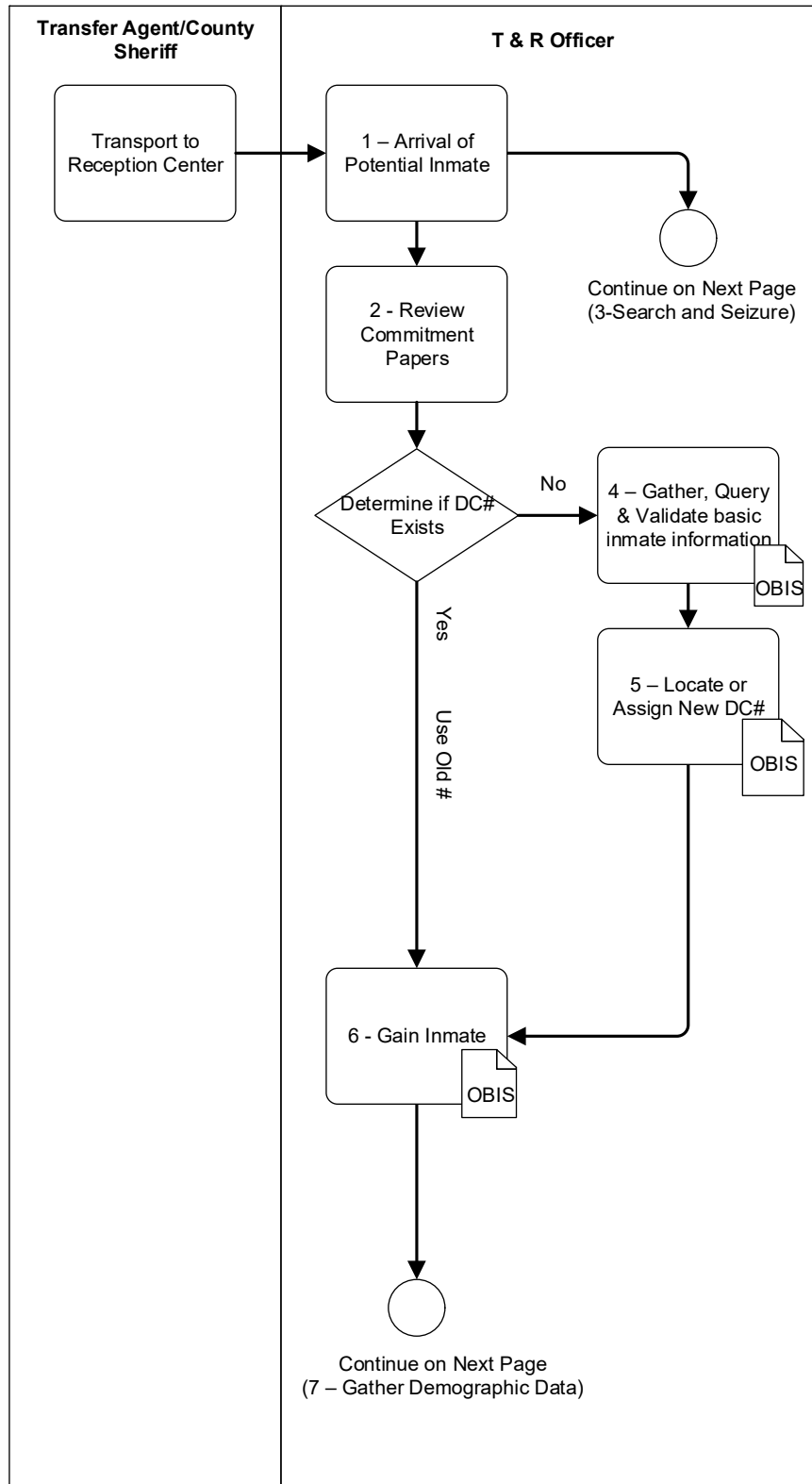
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Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
40.	Send Inmate Documents to Central Office	The inmate's commitment papers (2 copies), a fingerprint card, and the Sentence Structure Coding Sheet are sent to Central Office for auditing	Reception Center Records Staff
41.	Audit Inmate File	Inmate commitment papers are forwarded to Central Office (Sentence Structure) for audit and imaging in IRIS.	Central Office



Figure 2.2-1 Receive Inmate As-Is Workflow



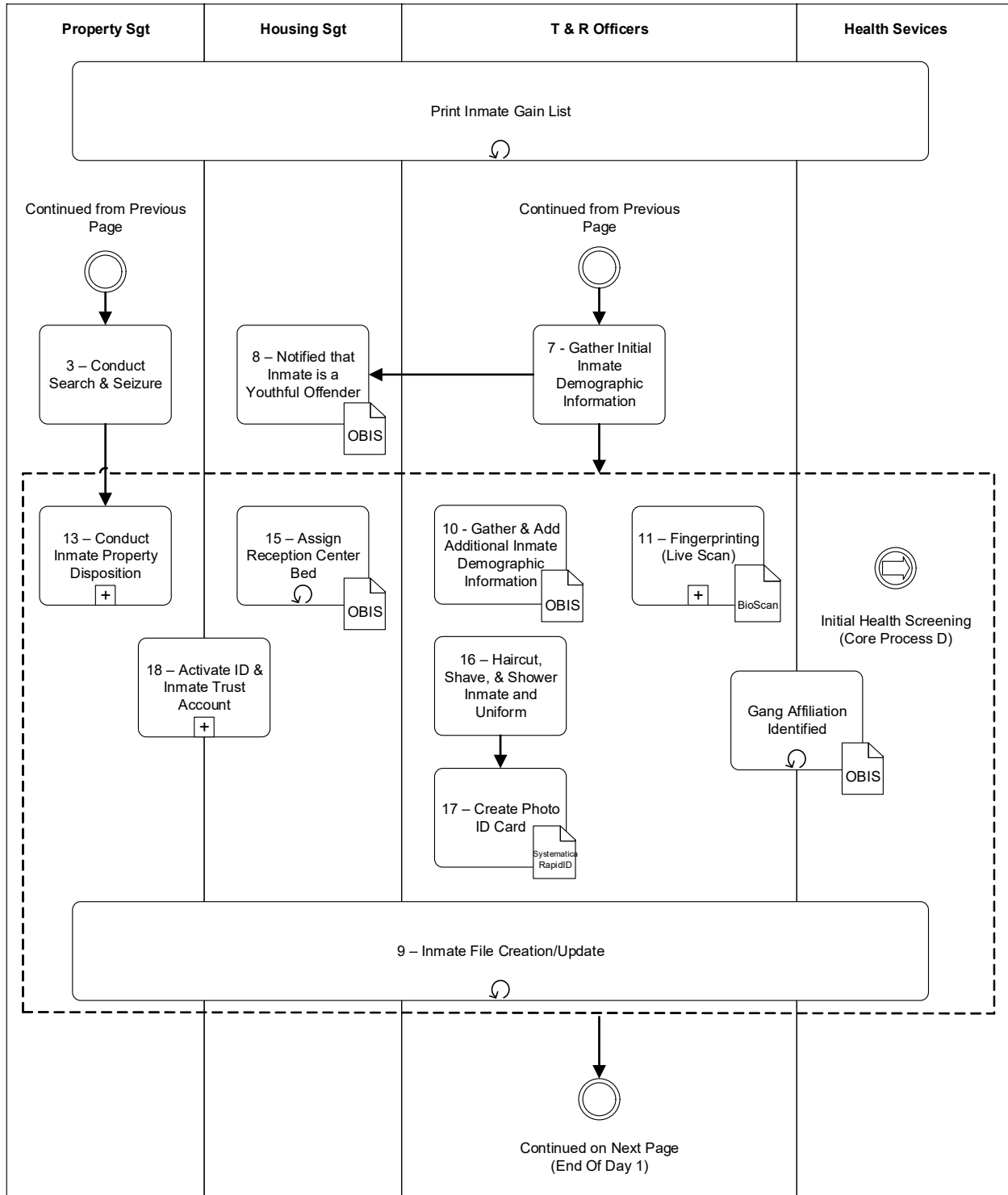


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Figure 2.2-2 Receive Inmate As-Is Workflow



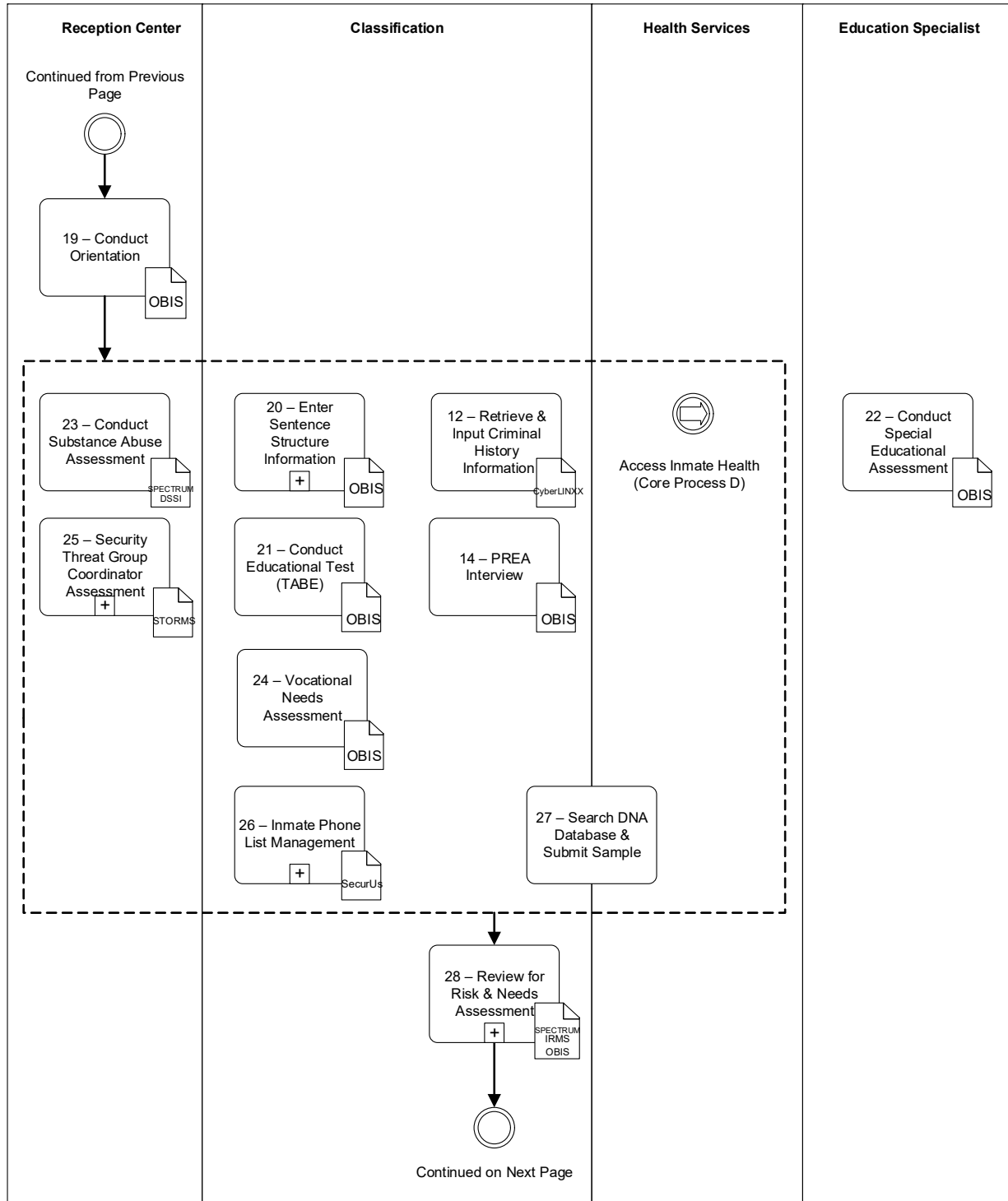


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Figure 2.2-3 Receive Inmate As-Is Workflow



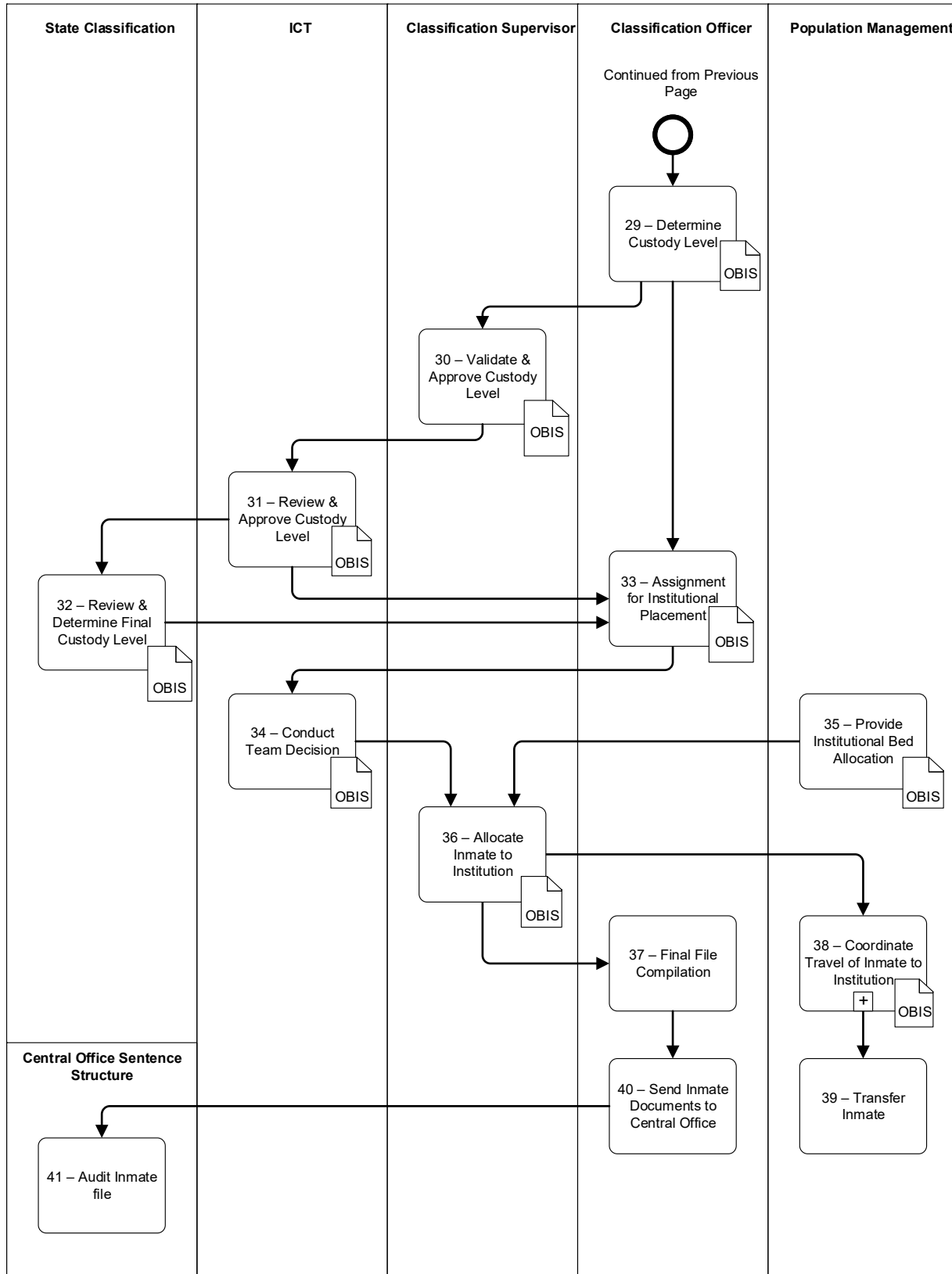


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Figure 2.2-4 Receive Inmate As-Is Workflow





2.3 FCIC/NCIC SUB-PROCESS

Table 2.3-1 lists the activities that make up the FCIC/NCIC Sub-Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Diagrams with a plus sign (+) signify a sub-process. A sub-process will have its own activity diagram and contains two numbers separated by a period. The first number corresponds to the original activity number and the second number, after the period, is the sequence order in which that sub-process' activity is performed.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 2.3-1 FCIC/NCIC Activities

Sub-Process 1 – FCIC/NCIC Activities			
Index Number	Activity Label	Activity Description	Actors
12.1	Live Scan Fingerprinting of Inmate	<p>During the reception process, inmates are fingerprinted using a Live Scan device (fingerprints are captured digitally rather than inked and rolled on a 10-print card) that is connected to the Florida Department of Law Enforcement (FDLE).</p> <p>The Live Scan process serves a twofold purpose:</p> <ol style="list-style-type: none"> 1. Initiation of a Criminal History Search 2. Notifies FDLE that the inmate is in the custody of the Department of Corrections. <p>AFIS is now called BioScan and includes the capture of an inmate's photo which is transmitted to FDLE along with a full set of fingerprints.</p>	T & R Officer



Sub-Process 1 – FCIC/NCIC Activities			
Index Number	Activity Label	Activity Description	Actors
12.2	Search Criminal History	<p>The submission of the Live Scan information (digitized fingerprints and rudimentary demographic information) causes a query to be executed against FDLE's Automated Fingerprint Identification System (AFIS) and Computerized Criminal History (CCH) system (the inmate's fingerprints are used to positively identify the inmate using AFIS' automatic matching algorithms; no human intervention is required for this match). As a result of this process, the inmate's criminal history records (if present) are printed to a designated printer in the reception center.</p> <p>Note: There is periodically a significant delay (up to 3 days) between the submission of an inmate's fingerprints and the generation of the criminal history printout. The reason for this delay is not fully understood. Anecdotal evidence suggests that it may be caused by a mismatch between the inmate's demographic data (e.g., date of birth, social security number) and/or the AFIS matcher's inability to automatically locate and verify the inmate's fingerprints.</p> <p>As part of the FDLE criminal history search, a query is spawned to search the National Crime Information Center (NCIC). The results are included in the criminal history data returned by FDLE for the inmate.</p>	FDLE
12.3	Request Information Manually	<p>As noted previously, an inmate's criminal history record may not print in a timely fashion due to some vagaries in the FDLE system. In those cases, record management personnel log into E-Agent to request copies of the missing criminal history reports. Specialists use a variety of data elements to perform the search such as date of birth, social security numbers, previous DC number, etc.</p> <p>This may also support ad-hoc queries (e.g., release processing).</p>	Classification
12.4	Print Criminal History	<p>Whether the result of the automated Live Scan process or the records specialist's manual query, computer history information is routed to a designated printer in the respective institution.</p>	Institutional Staff



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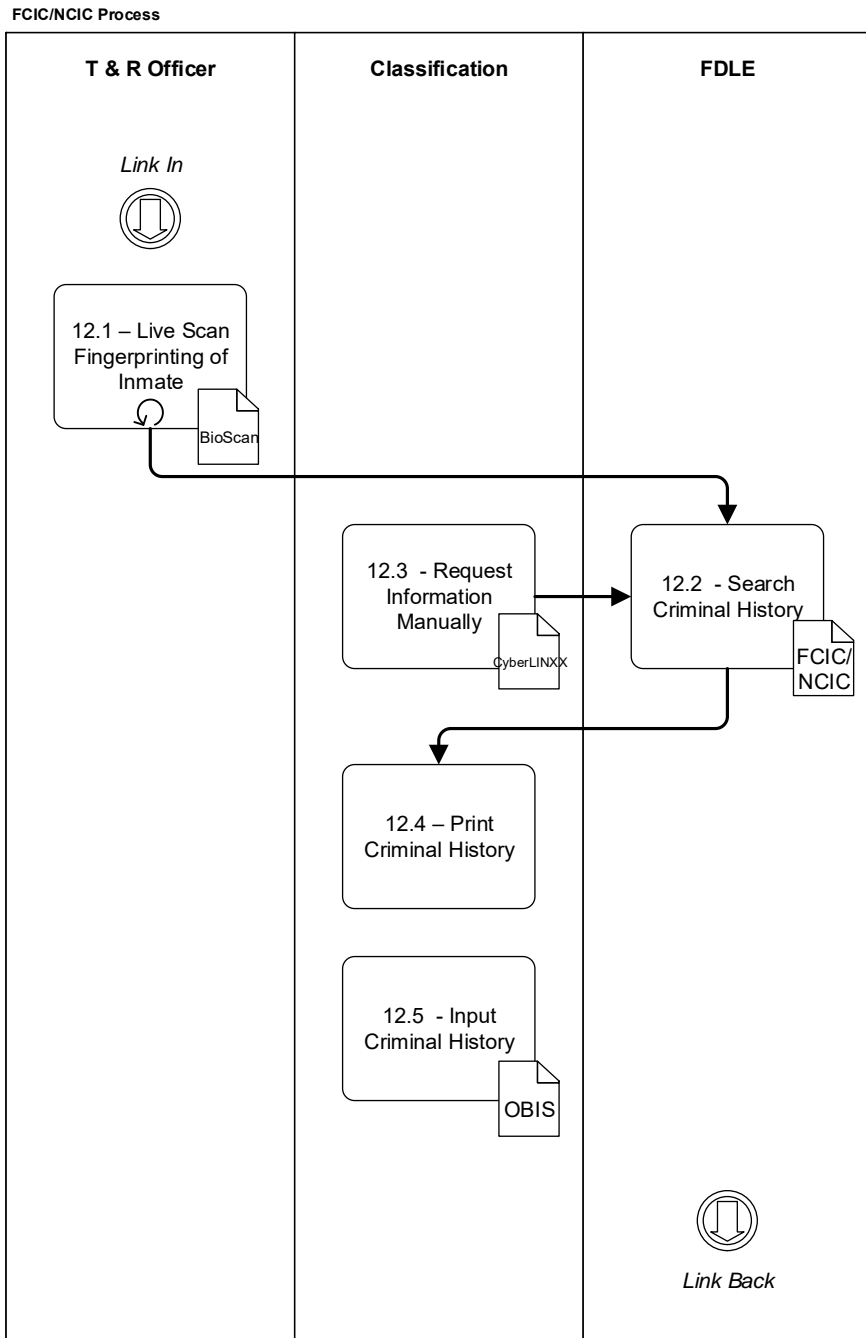
Sub-Process 1 – FCIC/NCIC Activities			
Index Number	Activity Label	Activity Description	Actors
12.5	Input Criminal History	<p>The criminal history printouts are placed in the inmate's file and used in subsequent processing to manually enter/update applicable data elements in OBIS.</p> <p>Note: Some institutions (RMC) rely upon staff to compile the reports into the inmate file and to also enter the criminal history in OBIS. In other places (CFRC), a records specialist places the criminal histories into the respective inmate files and then routes the files to other staff for data input.</p>	Classification



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Figure 2.3-1 FCIC/NCIC Sub-Process Workflow





2.4 PROPERTY MANAGEMENT SUB-PROCESS

Table 2.4-1 lists the activities that make up the Property Management Sub-Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Diagrams with a plus sign (+) signify a sub-process. A sub-process will have its own activity diagram and contains two numbers separated by a period. The first number corresponds to the original activity number and the second number, after the period, is the sequence order in which that sub-process' activity is performed.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 2.4-1 Property Management Activities

Sub-Process 2 – Property Management Activities			
Index Number	Activity Label	Activity Description	Actors
14.1	Seizure of Property	<p>During reception (initial incarceration) or as the result of a transfer, Inmates disembark from the transport vehicle. Inmate clothing and belongings are taken from the inmate and T&R officers search for and seize any and all contraband materials.</p> <p>Note: At reception, inmate property is placed in a box and sealed with tape for subsequent property disposition processing.</p> <p>Throughout incarceration, inmates are subject to property inspection by the security staff. Random search and seizures are conducted, contraband items are removed from the inmate's possession, and inmates are subject to disciplinary actions as a result of this process.</p> <p>Note: Inmate property may be removed for periods of time (e.g., when an inmate is placed in confinement) and stored in the property room.</p>	T&R Officer Property Sgt



Sub-Process 2 – Property Management Activities			
Index Number	Activity Label	Activity Description	Actors
14.2	Inventory of Property	<p>Inmates physically deposit their belongings onto a table in the presence of a T&R property officer. Contraband is seized. Inmates are given the option to keep allowable material, dispose of their property, to mail their property (at the inmate’s expense), or to store their property for up to 30 days in the property room. Property that remains past 30 days is disposed of by the property room staff. Property is labeled with inmate information and date of reception.</p> <p>Inmate belongings are always subject to inspection by institution staff.</p>	<p>T&R Officer</p> <p>Property Sgt</p> <p>Inmate</p>
14.3	Check Against Allowable Items List	<p>Whether during reception, transfer, or any search process, the property officer goes through each item to determine if the material is allowed to be retained by the inmate using a property allowance list as a guide. An “Inmate Personal Property List,” DC form DC6-226, is used to inventory each item along with the inmate’s requested disposition for the item.</p> <p>Note: The allowable property lists differ from institution to institution.</p>	<p>T&R Officer</p> <p>Property Sgt</p>
14.4	Take Possession of Allowed Property	<p>Inmates are permitted to retain allowable items.</p> <p>Note: Depending upon the institution, physical storage limits may require inmates to dispose of otherwise allowable items (e.g., all items must fit in an inmate’s locker).</p>	<p>Inmate</p>



Sub-Process 2 – Property Management Activities

Index Number	Activity Label	Activity Description	Actors
14.5	Mail	<p>Inmates are afforded an opportunity to mail non-contraband items outside of the facility (to the person designated on the inmate’s notification record). Inmates sign DC form DC6-226, “Authorization for Disposition of Mail and Property.”</p> <p>Note: The DC6-226 form addresses multiple issues related to inmate mail and property including but not limited to, authorization to open an inmate’s mail, accept and endorse monetary instruments for deposit in the inmate’s trust fund account, and to use the inmate’s trust fund balance to pay the Department for any outstanding debts should the inmate escape.</p> <p>Note: The inmate’s trust fund bank account will be charged for the cost of the mailing. If insufficient funds are available, a lien may be placed against the inmate’s account to recoup the cost of mailing.</p> <p>Note: The placement of liens against an inmate account to recoup the cost of mailing is not consistent across institutions.</p>	Property Sgt
14.6	Destroy Property	<p>Inmates are given the option to destroy (or simply throw away) property that exceeds institutional limits or is otherwise unallowable.</p> <p>Note: In some cases, items such as shoes or clothing in good repair may be retained by the institution for subsequent issue to inmates being released.</p>	Property Sgt
14.7	Give to Local Charity	<p>In some locations, charitable organizations or other facilities (e.g., Sheriff’s Boys Camp) may make use of property that inmates would otherwise throw away. If this option is available, inmates may choose to donate their excess or unallowable property.</p>	Property Sgt
14.8	Impound Property	<p>Inmates are given an option to store their excess property for up to 30 days in the institution’s property room. Inmates are told that unclaimed property or property which is not disposed of (e.g., mailed) within 30 days will be destroyed or given away.</p> <p>Inmates sign and are given a copy of DC form DC6-227, “Receipt for Personal Property.” Inmates may also sign and receive a copy of DC form DC6-220, “Inmate Impounded Personal Property List.” A copy of the DC6-220 is placed in the inmate’s Personal Property file.</p>	Property Sgt



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Sub-Process 2 – Property Management Activities

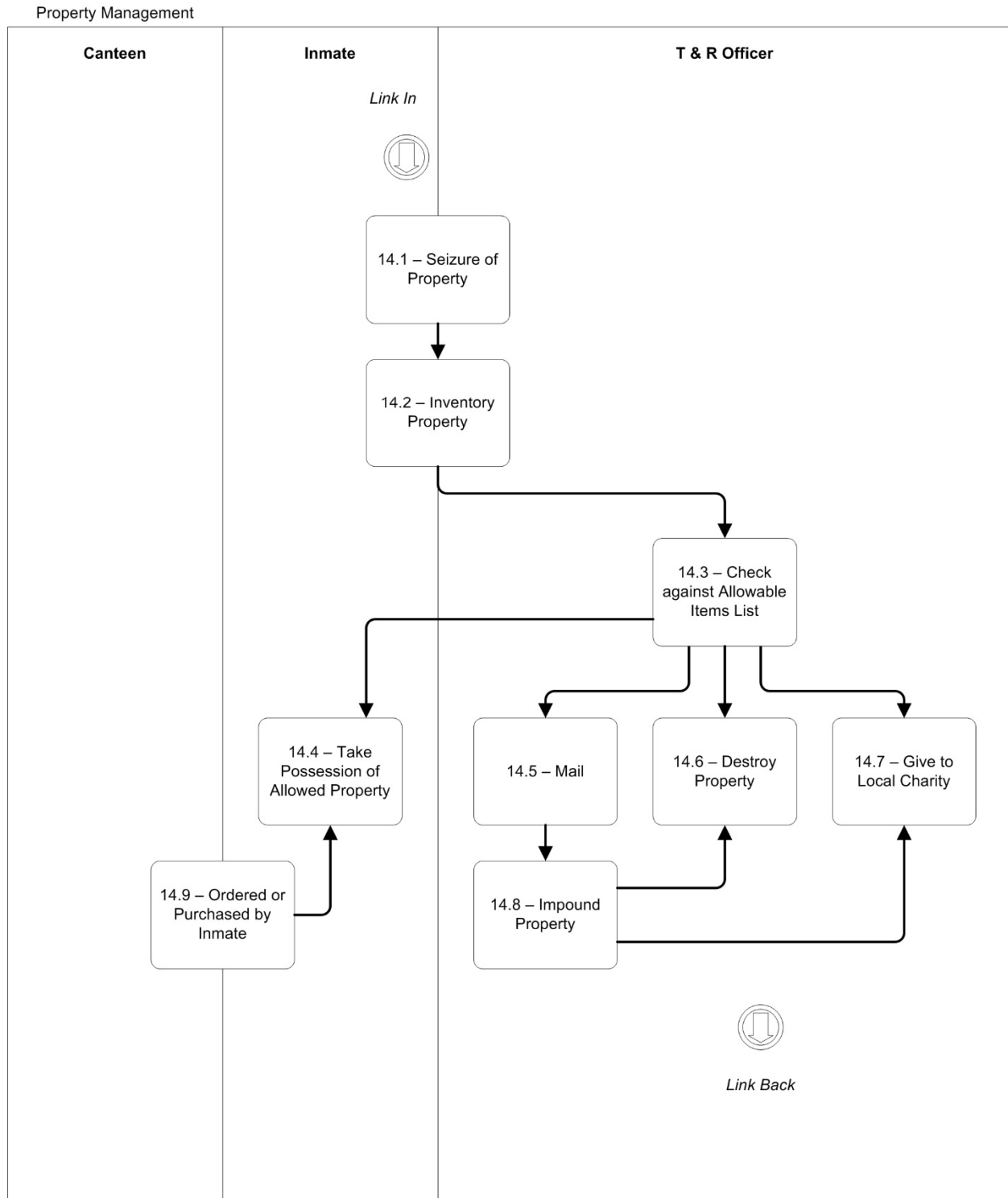
Index Number	Activity Label	Activity Description	Actors
14.9	Ordered or Purchased by Inmate	<p>Throughout their incarceration, inmates are permitted to purchase items from the canteens located in each institution. In some cases, canteens do not maintain an inventory of special items (e.g., sneakers) but allow inmates to place orders for such items (in some cases, the cost of such items exceeds the weekly canteen spending limits imposed by the Secretary and inmates are required to complete a request to place a special order).</p> <p>Note: Regardless of the inmate's ability to purchase from the canteen ("normal" or "special" items), at no time are they permitted to exceed the Department's maximum inmate property allowance).</p>	Property Sgt



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Figure 2.4-1 Property Management Sub-Process Workflow





2.5 INMATE TRUST FUND SUB-PROCESS

Table 2.5-1 lists the activities that make up the Inmate Trust Fund Sub-Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Diagrams with a plus sign (+) signify a sub-process. A sub-process will have its own activity diagram and contains two numbers separated by a period. The first number corresponds to the original activity number and the second number, after the period, is the sequence order in which that sub-process' activity is performed.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 2.5-1 Inmate Trust Fund Activities

Sub-Process 3 – Inmate Trust Fund Activities			
Index Number	Activity Label	Activity Description	Actors
18.1	Create Inmate Trust Account & Activate Inmate ID	<p>Each inmate is provided, during reception processing, with a bank account (“Inmate Trust Fund Account”) for use while incarcerated (inmates, other than those serving in work release, are precluded from possessing cash; it is considered contraband). The primary use of the inmate’s bank account is to purchase items from the canteens within each institution.</p> <p>Inmate banking activity is tied to the inmate photo ID card and functions as a debit instrument. Once the inmate receives a photo ID, the card must be activated to allow its use within the Department.</p> <p>Note: Some institutions remove all the ID cards from the inmate’s physical custody and activate a “stack” of cards all at once. In other locations, inmates must report to a specified location to have their card activated.</p> <p>Any money for an inmate coming from a county jail is sent by check in the inmate’s file (which comes along with the inmate to reception). FDC reception staff no longer make bank deposits at the Bank of America (BoA) to be credited to the inmates’ accounts. All deposits are sent to Central Office where BoA scanners and software process the checks.</p>	<p>Institution Staff</p> <p>Inmate Bank (Central Office)</p>



Sub-Process 3 – Inmate Trust Fund Activities			
Index Number	Activity Label	Activity Description	Actors
		Reception Center personnel create a spreadsheet which indicates which funds are to be associated with which inmate along with a DC form; the form and the spreadsheet are sent to Central Office for processing.	
18.2	Place Lien on Account	<p>During reception processing, inmates are provided an opportunity to dispose of their property by mailing it to an outside address. The cost of the mailing is borne by the inmates. Should the inmate’s bank account lack sufficient funds to pay the mailing fees, a lien may be placed on the inmate’s account to be recovered at a later date.</p> <p>Note: Different rules were evident regarding the placement of liens on inmate accounts at different facilities. At RMC, liens were typically placed on the inmate’s accounts (T&R, Property Management section). At CFRC, no liens were processed (the Property Management staff indicated that the placement of liens was not permitted by Department rules). Further discussion with the Inmate Banking staff (Central Office) indicated that the placement of liens was considered normal practice.</p> <p>Liens may also be placed for destruction of property, destruction of food, replacement ID cards, and nicotine patches.</p> <p>There are exceptions that disallow the placement of liens on inmate accounts (e.g., medical co-payments). Refer to rule 33-203.201 for a complete discussion.</p>	T&R Officer
18.3	Deposit funds into Inmate Trust Account	<p>Funds are placed into inmate accounts by relatives/friends, or other entities. In general, money orders must be sent to the Department’s Bureau of Finance and Accounting for processing along with a standard deposit slip (DC form DC2-303) or electronically using Western Union’s, “Quick Collect” service or JPay Correctional Payment Services.</p> <p>All fund transfers are accomplished using JPay; funds are no longer processed by Central Office staff.</p>	Inmate Relatives Central Office Finance & Accounting



Sub-Process 3 – Inmate Trust Fund Activities			
Index Number	Activity Label	Activity Description	Actors
18.4	Use ID Card at Canteen	<p>Inmates “swipe” their ID card to make purchases at the canteens. Weekly total expenditures are limited by the Secretary. Inmates who wish to spend more money than is allowed by policy must complete a DC2-304, “Inmate Trust Fund Special Withdrawal.”</p> <p>Note: Many items that are authorized for inmate purchase are not physically stocked in the canteens. In addition, some items, such as tennis shoes, sweat shirts, and pajamas may exceed an inmate’s weekly draw. The items are purchased quarterly from Access Catalog Ordering Company.</p>	Inmate
18.5	Co-Pay Charge on Inmate Trust Account	Except during reception processing, inmates are charged a \$4 co-pay fee for each non-emergency medical appointment. Inmates who received Veterans Administration (VA) disability payments are not charged medical co-pays.	Health Services
18.6	Service Fees	<p>Inmate Trust Fund accounts are subject to a \$6 monthly fee for any month in which there is account activity. Inmates are also charged a \$0.50 fee for every deposit. Inmates at Work Release Centers are assessed a \$1.00 fee for each weekly cash draw (these fees are waived for Honorably Discharged Veterans of the United States Armed Forces).</p> <p>Inmates are charged a fee totaling 1% of their weekly canteen purchases.</p>	Central Office Finance & Accounting
18.7	COPS Payments	Inmates on Work Release must deposit their full pay to their Inmate Trust Fund account. The Finance and Accounting bureau will deduct the cost of subsistence and transportation, any restitution payments, a 10% savings hold, and any Court Ordered Payment (see COPS processing for additional information) amounts.	Central Office Finance & Accounting
18.8	Account Statements	Inmates are provided a monthly account statement. If the inmate thinks the statement is wrong, form DC6-236, “Inmate Request,” must be submitted no later than 60 days after the first statement on which the suspected error occurred.	Central Office Finance & Accounting
18.9	Send Balance to Offender	When released, any funds remaining in the inmate’s account (as long as the account has a balance in excess of \$1.00) are sent to the inmate at the address given by the inmate during the release process within 45 days of release.	Central Office Finance & Accounting



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Sub-Process 3 – Inmate Trust Fund Activities

Index Number	Activity Label	Activity Description	Actors
	upon Release	Note: Any time an inmate escapes and is not captured within 30 days, funds are sent to the person identified on the inmate's notification record. If the person cannot be located, the funds are held for five years and, if unclaimed, transfer to the state.	

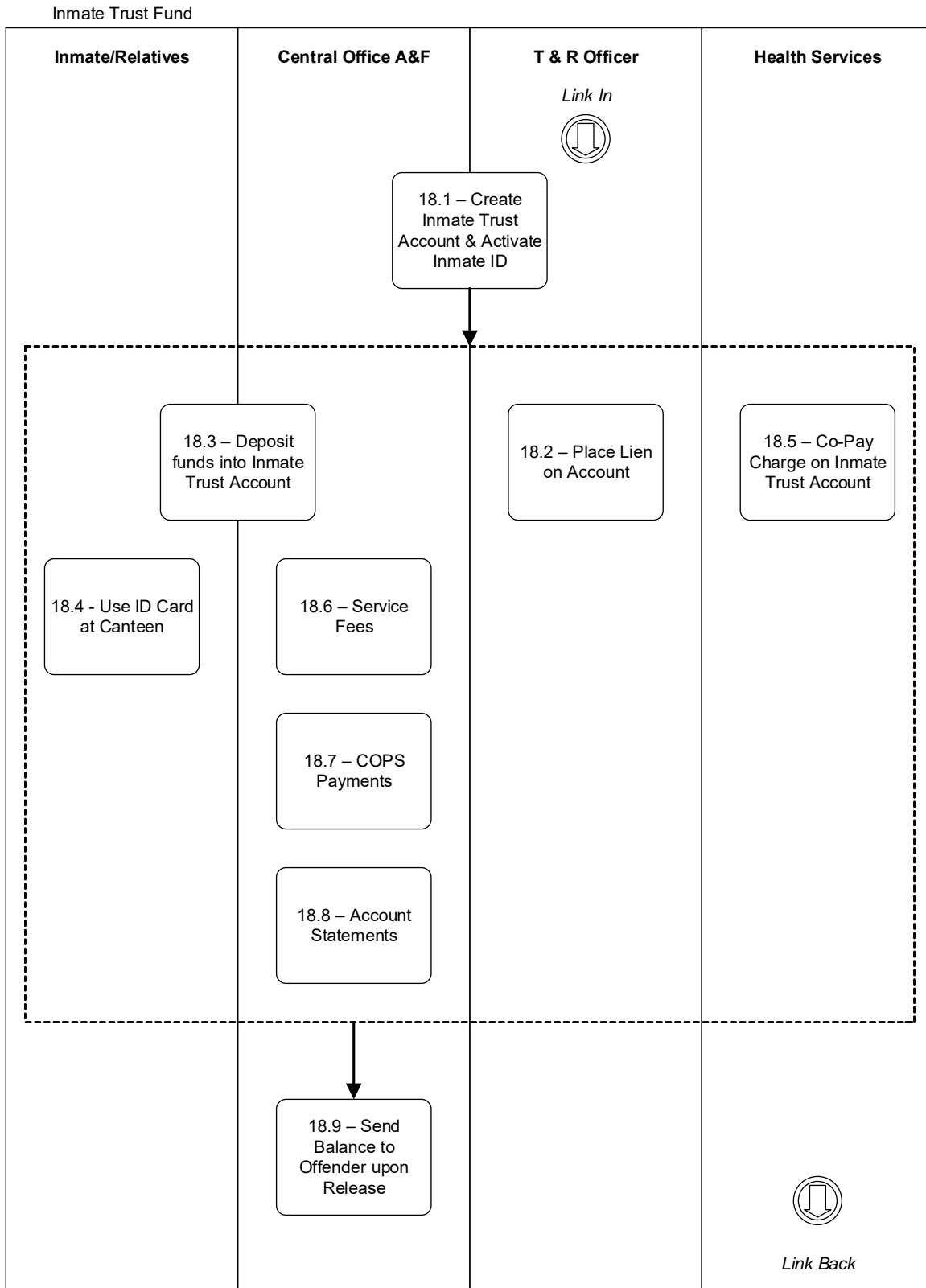


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Table 2.5-2 Inmate Trust Fund Sub-Process Workflow





2.6 SENTENCE MANAGEMENT SUB-PROCESS

Table 2.6-1 lists the activities that make up the Sentence Management Sub-Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Diagrams with a plus sign (+) signify a sub-process. A sub-process will have its own activity diagram and contains two numbers separated by a period. The first number corresponds to the original activity number and the second number, after the period, is the sequence order in which that sub-process' activity is performed.

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Actors	The job or role title of the individuals having a primary role for that activity

Table 2.6-1 Sentence Management Activities

Sub-Process 4 – Sentence Management Activities			
Index Number	Activity Label	Activity Description	Actors
20.1	Review Commitment Package	Each inmate is accompanied by a file of documents (“Commitment Papers”) containing information about the inmate’s sentence, criminal history, a fingerprint card, court documents, etc. Inmate files are physically separated from the inmates (inmates are NEVER allowed physical access to their files) and delivered to a Transportation and Receiving (T&R) Officer. Note: In some jurisdictions, a “Commitment Checklist” is used as a cover sheet for the commitment papers as required by rule 33-12, F.A.C. The T&R Officer reviews the inmate’s commitment papers to determine if the inmate may be held legally by the Department of Corrections. The Officers also perform a perfunctory check of the sentence to determine if an inmate’s sentence may have expired prior to arrival (e.g., credited jail time exceeds the inmate’s sentence). Any issues are brought to the immediate attention of Classification staff members. Note: The commitment paper review process is conducted at the same time the inmates are physically removed from the transport vehicle. The transport vehicle staff is required to remain at the reception center until all inmates are gained to the department.	Reception Center T&R Officer Sentence Specialist



Sub-Process 4 – Sentence Management Activities			
Index Number	Activity Label	Activity Description	Actors
20.2	Need Additional Information	If additional information is required from the courts, the T&R or Classification staff contacts the Clerk of the Courts and/or County Sheriff's Department for additional information and documents the contact.	T&R Officer Classification Staff Sentence Specialist
20.3	Take Custody	<p>If preliminary sentence information supports the receipt of the inmate by the Department, T&R assumes physical custody and updates OBIS to gain the inmate.</p> <p>If the receiving staff can locate an inmate's DC#, the inmate is received under that number. If not, a new number is created for the inmate (an inmate could have a DC# assigned by Community Corrections without ever having been an inmate housed in a DC facility). If duplicate number assignment occurs, Admission and Release staff are involved and this may also involve P/P depending on the nature of the inmate's history.</p> <p>Note: There are facilities available in OBIS to combine inmate records should the same individual be coded with two or more different DC numbers. Also, when an inmate is received, his/her DC# prefix (0 is for first time inmates, A is for their second period of incarceration, B is for the third, etc.) is increased. However, if the inmate is being processed for violating parole or probation for a prior release, the prefix remains the same.</p>	T&R Officer
20.4	Coding	Sentence specialist staff analyzes the commitment packet and completes the DC6-303 form, "Prison Commitment Checklist." If no DC6-303 is completed by the delivery agent, the receiving officer initiates a DC6-303.	Reception Center Sentence Specialist
20.5	Loading	The sentence specialist staff reviews and enters information on the Code Sheet into OBIS.	Reception Center Sentence Specialist
20.6	Review Sentence Calculations	The inmate commitment papers are reviewed by senior classification staff to validate that the inmate's sentence calculation were input correctly into the system.	Reception Center Sentence Specialist Classification Supervisor



Sub-Process 4 – Sentence Management Activities			
Index Number	Activity Label	Activity Description	Actors
20.7	Sentence Guidance	Extraordinary cases are referred to the Central Office for resolution/guidance.	Central Office
20.8	Sentence Structure Audit	All inmate sentences are audited by Central Office staff.	Central Office
20.9	Sentence Updates & Case Management	<p>During an inmate’s incarceration, modifications may occur to their sentence structure (e.g., reductions, award of additional credit for time served, court, and/or legislative actions).</p> <p>Changes are all processed in central office. No facility staff have the security access or clearance to make these changes in OBIS. Their role is review of changes after the fact.</p>	Sentence Specialist Classification Supervisor

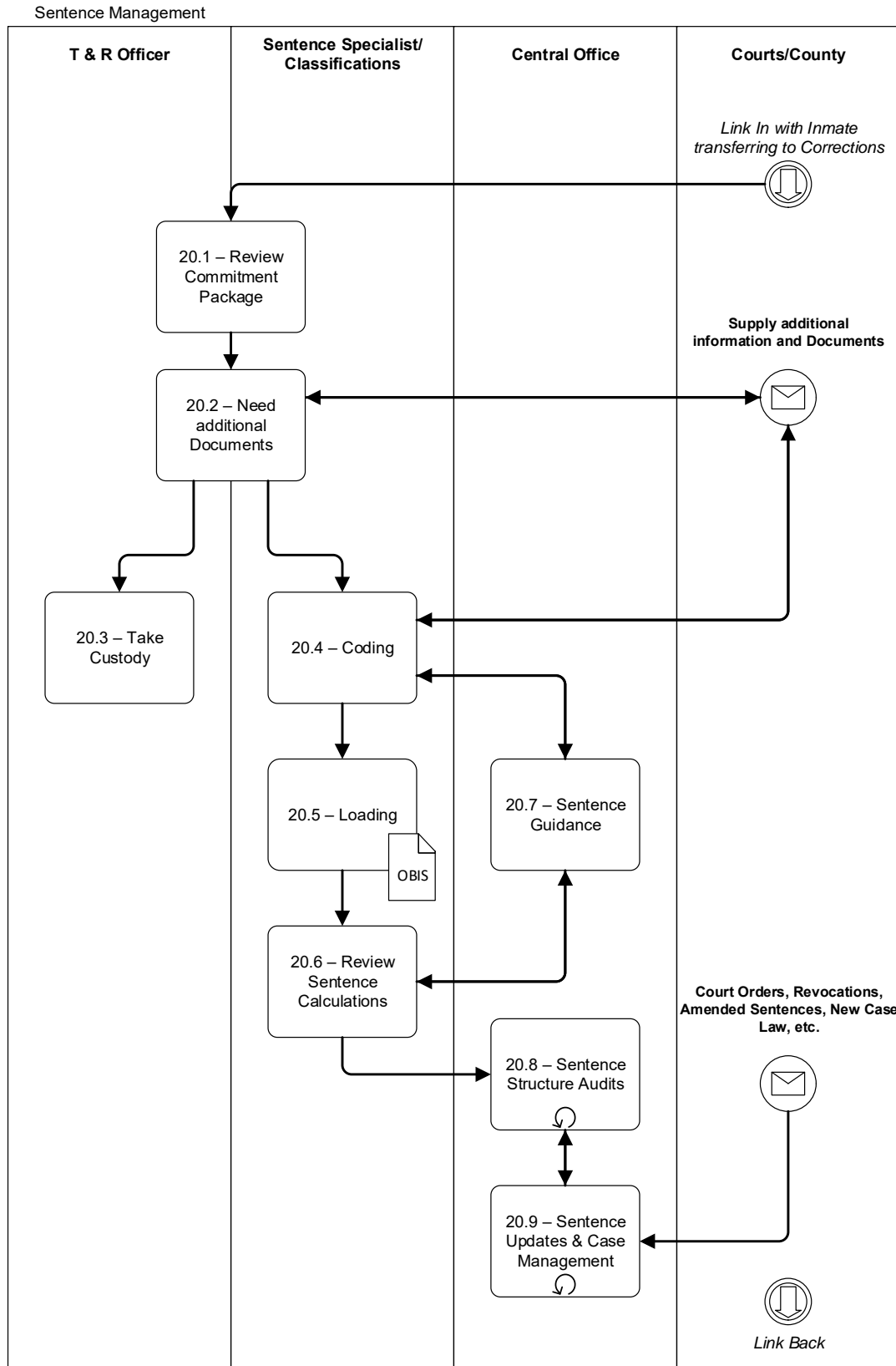


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Figure 2.6-1 Sentence Management Sub-Process Workflow





2.7 SECURITY THREAT GROUP (STG) SUB-PROCESS

Table 2.7-1 lists the activities that make up the Security Threat Group (STG) Sub-Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

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Table 2.7-1 Security Threat Group (STG) Activities

Sub-Process 5 – Security Threat Group			
Index Number	Activity Label	Activity Description	Actors
25.1	Security Threat Group (STG) Affiliation Suspected	<p>From reception through incarceration through release, every Department staff member is responsible to identify potential security threat group affiliation. Suspicion may stem from:</p> <ul style="list-style-type: none"> • inmate responses to certain questions in the risk and needs assessment (OBIS); • the observation of gang-specific scars, marks and tattoos on an inmate's body; • gang related literature, symbols, or paraphernalia found in an inmate's property or on her/his person; • information obtained from the inmate/offender file, investigative records, court records, staff information, reliable informant information, verified news media accounts, self-admission, inter-agency information, intelligence sharing, or historical data from other jurisdictions; • related information obtained from the inmate's file, to include pre-sentence investigations, court documents, law enforcement documents; or documented history. 	Institution Staff



Sub-Process 5 – Security Threat Group			
Index Number	Activity Label	Activity Description	Actors
		<p>This process step functionality is reflected in the Inmate Behavioral Assessment Scale (IBAS) subsystem.</p> <p>There are currently no STG questions in the new Risk and Needs assessment processes (IRMS/SPECTRUM).</p>	
25.1 (cont.)	Security Threat Group (STG) Affiliation Suspected	<p>“It is the responsibility of every staff member to identify and report, via an “Incident Report,” DC6-210, or via email, security threat group suspects or activity to the security threat intelligence coordinator.” (DC Procedure 602.045, “Security Threat Management Program”)</p> <p>Note: Security Threat Group identification/affiliation encompasses more than just “gang” relationships. As stated in DC Procedure 602.045:</p> <p>“Means of security threat individual identification may include, but not be limited to:</p> <ul style="list-style-type: none"> • an inmate/offender who has the potential to or has committed acts that threaten the safety of others and may threaten the orderly operations or the security of the institution/probation office; • an inmate/offender who has a history of criminal offenses that are infamous or heinous in nature and who has the potential to disrupt the orderly operation of an institution/probation office; • in the absence of any demonstrated history, an individual that, by nature of her/his unique resources, training, skills, or documented statements of intent, displays a clear and compelling potential for significant security or safety-threatening activity; • an inmate’s responses to certain questions in the computer assisted reception process; • an inmate’s responses to certain questions in the risk and needs assessment; • documented history; or • related information obtained from the inmate/offender’s file.” <p>A security threat may be present whenever an inmate is identified as having knowledge, skills, or abilities</p>	Institution Staff



Sub-Process 5 – Security Threat Group			
Index Number	Activity Label	Activity Description	Actors
		<p>that could be a threat to the operation of a facility. Examples of this may include:</p> <ul style="list-style-type: none"> • ex-correctional officer; • ex-police officer; • specific military training such as demolition; and/or <p>certain military experience such as Rangers, Special Forces, etc.</p>	
25.2	Enter Tattoo Description	<p>Inmates are called out during the reception process (Day 1) for a medical/health screening by Health Services. As part of this screening, Health Services staff members identify scars, marks, and tattoos and record descriptive information to document physical appearance in OBIS.</p> <p>Note: Capturing tattoo descriptions is not limited to the reception process; DC staff may document identifying information at any time.</p>	Health Services DC Staff
25.3	Schedule Appointment with STG Coordinator	When threat group affiliation is suspected or observed during the reception process (or at any time during an inmate’s control by the Department), inmates are scheduled to meet, one on one, with a specially trained Security Threat Group (STG) coordinator.	T&R Officers
25.4	Photograph all Relevant Information	Digital photographs are taken of the inmate’s tattoos by the STG coordinator (the subject’s last name and DC number are used to identify the file name and is depicted in the photo by the use of labels or the inmate ID card). All information, property/evidence, and originals of all documents obtained are digitally photographed or scanned.	T&R Officers
25.5	Interview of Inmate by STG Coordinator	The inmate is interviewed by a specially trained STG coordinator using the “Security Threat Group Questionnaire,” DC6-106C.	STG Coordinator



Sub-Process 5 – Security Threat Group			
Index Number	Activity Label	Activity Description	Actors
25.6	Enter Interview Data	The results of the interview process and the digital photographs (and scanned images) are input to the Security Threat Operational Review and Management System (STORMS) application for further assessment by Central Office (Security Threat Intelligence Unit).	STG Coordinator
25.7	Quarterly Review of Institutional Security Threats	Staff appointed by the security threat intelligence coordinator meet quarterly (and as necessary) to review and update: <ul style="list-style-type: none"> • Trends • Activities • Incidents • Submissions • Training Needs • Other Security Threat management issues 	STG Team
25.8	Release Notification	DC Procedure 602.045 states: <p>“The Security Threat Intelligence unit will notify local and state law enforcement agencies of all security threat gang members being released from an institution to their respective cities/counties.”</p> <p>The unit generates notifications from STORMS for each of the 67 counties on a monthly basis. Notifications are provided for each county in which the released inmate will reside and, if different, each county in which the inmate was arrested (these notices are created in STORMS and emailed using Outlook; the unit maintains a list of email addresses for each contact).</p> <p>In addition, the unit provides monthly notices to parole and probation officers in the respective jurisdictions (these notices are generated by OBIS and printed directly to the respective office(s) using the designated OBIS printer identification).</p>	Security Threat Intelligence Unit

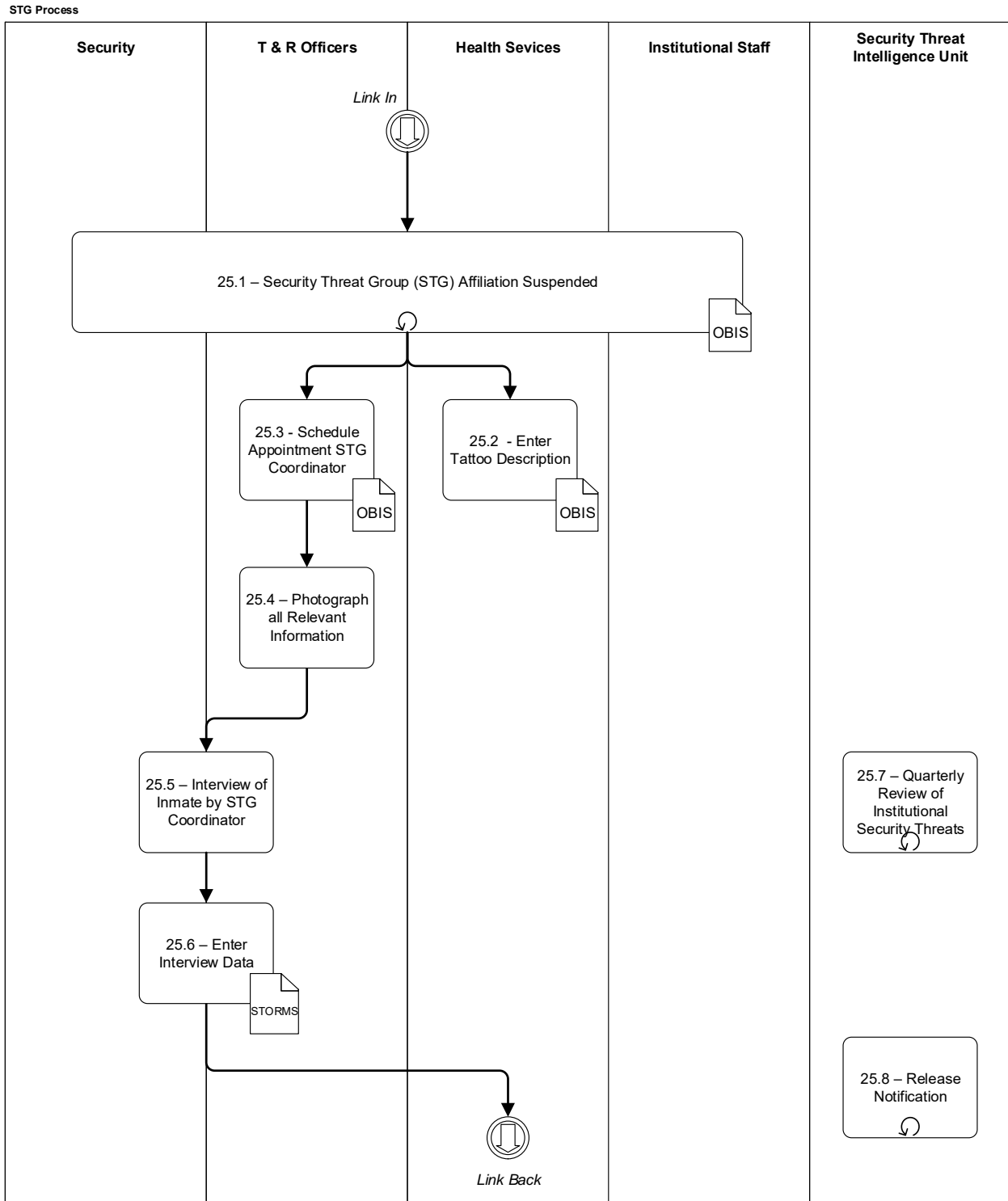


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Figure 2.7-1 Security Threat Group (STG) Sub-Process Workflow





2.8 INMATE PHONE MANAGEMENT SUB-PROCESS

Table 2.8-1 lists the activities that make up the Inmate Phone Management Sub-Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Diagrams with a plus sign (+) signify a sub-process. A sub-process will have its own activity diagram and contains two numbers separated by a period. The first number corresponds to the original activity number and the second number, after the period, is the sequence order in which that sub-process' activity is performed.

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Table 2.8-1 Security Inmate Phone Management Activities

Sub-Process 6 – Inmate Phone Management Activities			
Index Number	Activity Label	Activity Description	Actors
26.1	Give Inmate Phone List Form	<p>Inmates are provided DC form DC6-223 (Revised 9/07), "Inmate Telephone Agreement and Number List," to request authorization to call up to ten different phone numbers (the form may be provided to the inmate during Orientation or during their initial meeting with their Classification Officer).</p> <p>Inmates provide telephone numbers, name of persons to be called, addresses of persons to be called, and the relationship of the persons to be called.</p> <p>"All requests must list complete phone number, including area code, first and last name of the person, complete mailing address (including zip code) and the relationship of the person. Cell phone and business numbers are not permitted."</p> <p>Note: The DC6-223 indicates that the "mailing" address must match but it may be more appropriate to require a match on the billing address.</p>	Classification Inmate



Sub-Process 6 – Inmate Phone Management Activities			
Index Number	Activity Label	Activity Description	Actors
		DC Procedure 602.013, “Automated Inmate Telephone Use,” more fully describes this process. Inmate voice recognition is part of the system.	
26.2	Review and Validate list with Inmate	Inmates submit the phone list to their Classification Officer who reviews the content for accuracy and completeness (this activity is intended to coincide with the creation of the inmate’s list of relatives and references). Inmates are counseled that they may only change their phone list once every six months and that once approved, a copy of the list will be placed in the inmate’s file (there is no entry made in OBIS to document the phone list). Note: In some instances, depending on the individual Classification Officer, inmates are provided an opportunity to correct and resubmit their lists, in others, they are not. Classification Officers (or their designees) check the phone list entries to ensure that it does not contain unauthorized entries (e.g., victims). Unauthorized entries are stricken and the list is forwarded to the phone vendor for additional validation.	Classification
26.3	Checks Name, Address, and Number	Phone vendor administrators perform a reverse phone look-up to ensure the provided information matches (name, address) and that the phone number is assigned to a residence rather than to a cell or business entity. Vendor staff mark each entry on the phone list as either “OK” or “BNA” (validation failed due to (B)usiness, (N)ame, and/or (A)ddress mismatch) and return the list to the Classification Officer. Valid numbers (“OK”) are entered into the vendor’s telephone management system.	Vendor Staff
26.4	Requests Inmate Corrections or Denies	Classification Officer reviews the phone list validation results with the inmate. Note: In some instances, the Classification Officer returns list with directions on what needs to be corrected and allows the inmate to make corrections and resubmit	Classification



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Sub-Process 6 – Inmate Phone Management Activities			
Index Number	Activity Label	Activity Description	Actors
		their list. In other cases, inmates are told they must wait six months before submitting a new list.	
26.5	Enters List into Phone System	Inmates are provided an opportunity to change their authorized phone list every six months or in accordance with other criteria contained in DC procedure 602.013. Phone vendor personnel enter validated numbers into the phone management system.	Vendor Staff
26.6	Issue PIN	The Classification Officer provides each inmate with a unique number (Personal Identification Number, "PIN") used to access and utilize the phone system.	Classification
26.7	Monitor % Calls Routinely	The Institutional Staff will routinely monitor recorded Inmate Calls.	Institutional Staff
26.8	Copy Placed in Inmate File	The final phone list (DC6-223) is placed in the inmate's file in accordance with DC procedure 601.220, "Institutional Inmate Records." Note: Some Classification Officers provide a physical copy of the form to the inmate.	Classification

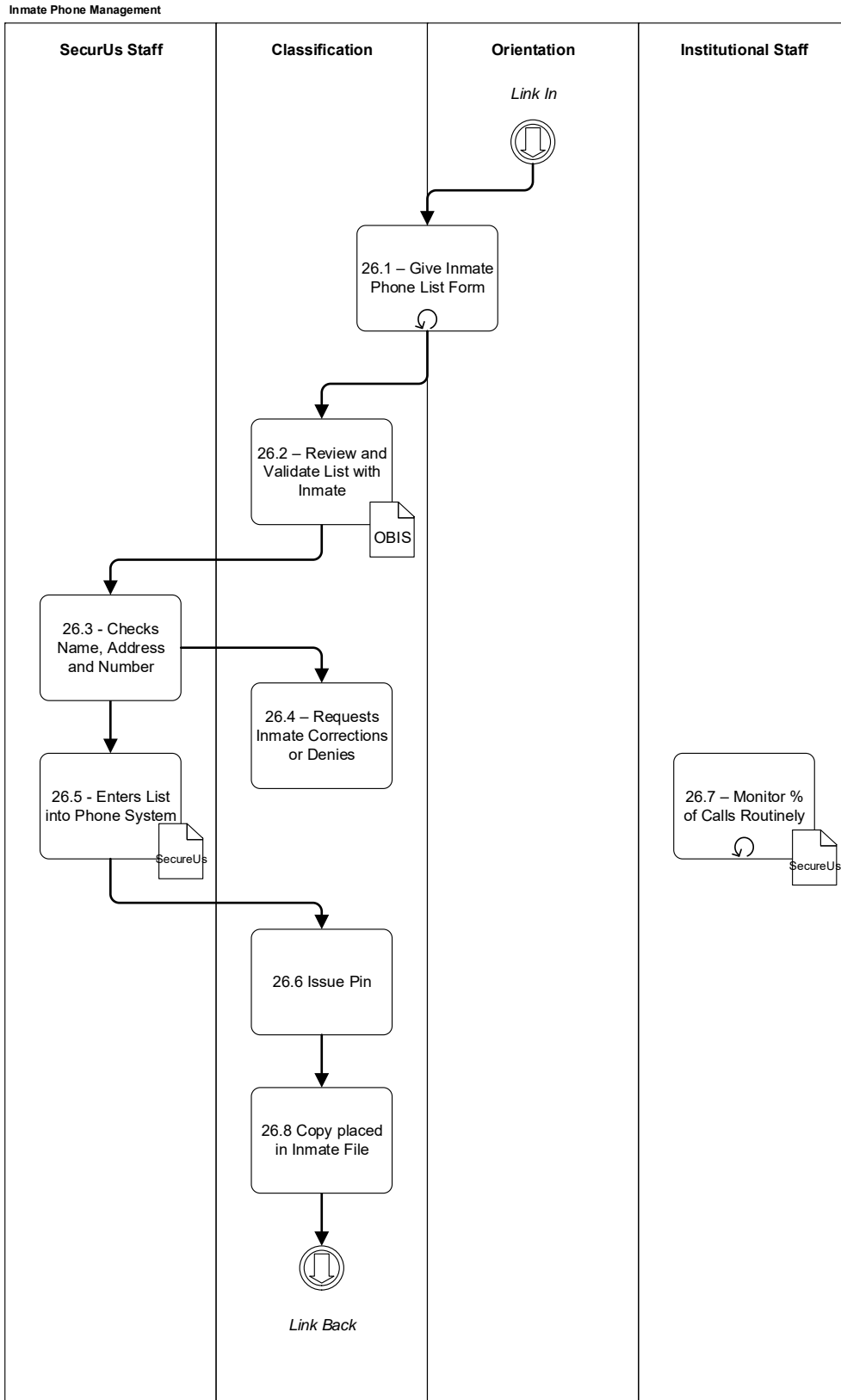


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Figure 2.8-1 Inmate Phone Management Sub-Process Workflow





2.9 RISK & NEEDS SUB-PROCESS

Table 2.9-1 lists the activities that make up the Risk & Needs Sub-Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

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Table 2.9-1 Risk & Needs Activities

Sub-Process 7 – Risk & Needs Activities			
Index Number	Activity Label	Activity Description	Actors
28.1	Review Sentence	<p>Inmate sentence structure and particulars are reviewed to determine the nature of the inmate's offense(s) as part of the Risk and Needs assessment.</p> <p>Note: For the purposes of this sub-process document, the focus is on Risk (internal and external) leading to the calculation/assignment of the inmate's IM, HO, and Custody levels (1-5).</p> <p>Two OBIS subsystems address Risks (IRMS – Inmate Risk Management System) and Needs (SPECTRUM). Each subsystem has been built with a web front-end, but both subsystems rely upon OBIS for underlying data storage and retrieval.]</p>	Classification



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Sub-Process 7 – Risk & Needs Activities			
Index Number	Activity Label	Activity Description	Actors
28.2	Review Previous Information	<p>OBIS may contain information about the inmate from previous periods of incarceration. The inmate’s behavior (e.g., DRs, escape attempts, Close Management status) will inform the overall Risk classification for the inmate. Classification Officers review all pertinent information and validate or update the system content.</p> <p>Note: There are three inmate assessment factors that directly influence the placement of the inmate at particular facility:</p> <ul style="list-style-type: none"> • Inmates verified to be in need of Special Education (must be placed in an institution with a program meeting their needs within 10 days of being verified). • Inmates with special medical needs. • Inmates deemed to be Youthful Offenders. 	Classification
28.3	Interview Inmate	Classification Officers interview each inmate to solicit information about their work history, education level, and other demographic data such as alien status and/or security threat group (STG) affiliations to support the Risk calculation.	Classification



Sub-Process 7 – Risk & Needs Activities			
Index Number	Activity Label	Activity Description	Actors
28.4	Calculate IM Level	<p>Using inputs such as inmate’s sentence, criminal history, DR history, STG affiliation, previous CM status (e.g., whether the inmate was in CM at the time of their previous release), age, and education level, the system (OBIS) calculates the inmate’s Internal Management (IM) score.</p> <p>Note: The purpose of scoring the inmate for Internal Management (and their associated Housing score) is to understand the risk the inmate poses to the institution, its staff, and other inmates. The IM and HO score will also determine the nature of work assignment that the inmate may receive.</p>	Classification
28.5	Calculate HO Level	The system uses the information gathered to create the IM score and additional data such as the inmate’s conviction of a felony while in DC custody, any Level 3 escape(s) and an IM score of 5 to determine the inmate’s Housing (HO) score.	Classification
28.6	Calculate Custody Level	<p>Custody scoring is influenced by all the factors associated with IM and HO scoring and also considers whether the inmate’s crime involved sexual offenses, the inmate’s alien status, whether any outstanding detainers are in place, the inmate’s IM score (4/5), and the HO score (5).</p> <p>Note: The Custody score is meant to address the risk that the inmate poses outside the institution whether on a work squad on institution grounds or while working in the community (and the level and type of required supervision) to include the risk of the inmate attempting to escape.</p>	Classification
28.7	Verify Special Ed (SE-V)	An inmate that is verified (SE-V) to be in need of special education is placed in facility with a Special Education program. The inmate is enrolled within 10 days of being verified as a Special Education candidate.	Education Specialist



Sub-Process 7 – Risk & Needs Activities			
Index Number	Activity Label	Activity Description	Actors
28.8	Manage Youthful Offender	Youthful Offenders are placed in a Youthful Offender facility or in an institution that provides segregated Youthful Offender housing.	Classification
28.9	Evaluate Medical Needs	Inmates with special medical needs are transferred to a facility that provides appropriate medical care and support.	Health Services
28.10	Assign Facility	Inmates are assigned to a facility that meets their, HO and Custody risk scores (see exceptions/clarifications above).	Classification
28.11	Assign Housing	Once they reach their permanent facilities, inmates are assigned housing (beds) that comport with their HO scores.	Classification
28.12	Assign Job	Inmate risk scores directly affect the assignment of inmates to certain jobs both inside and outside the institution.	Classification

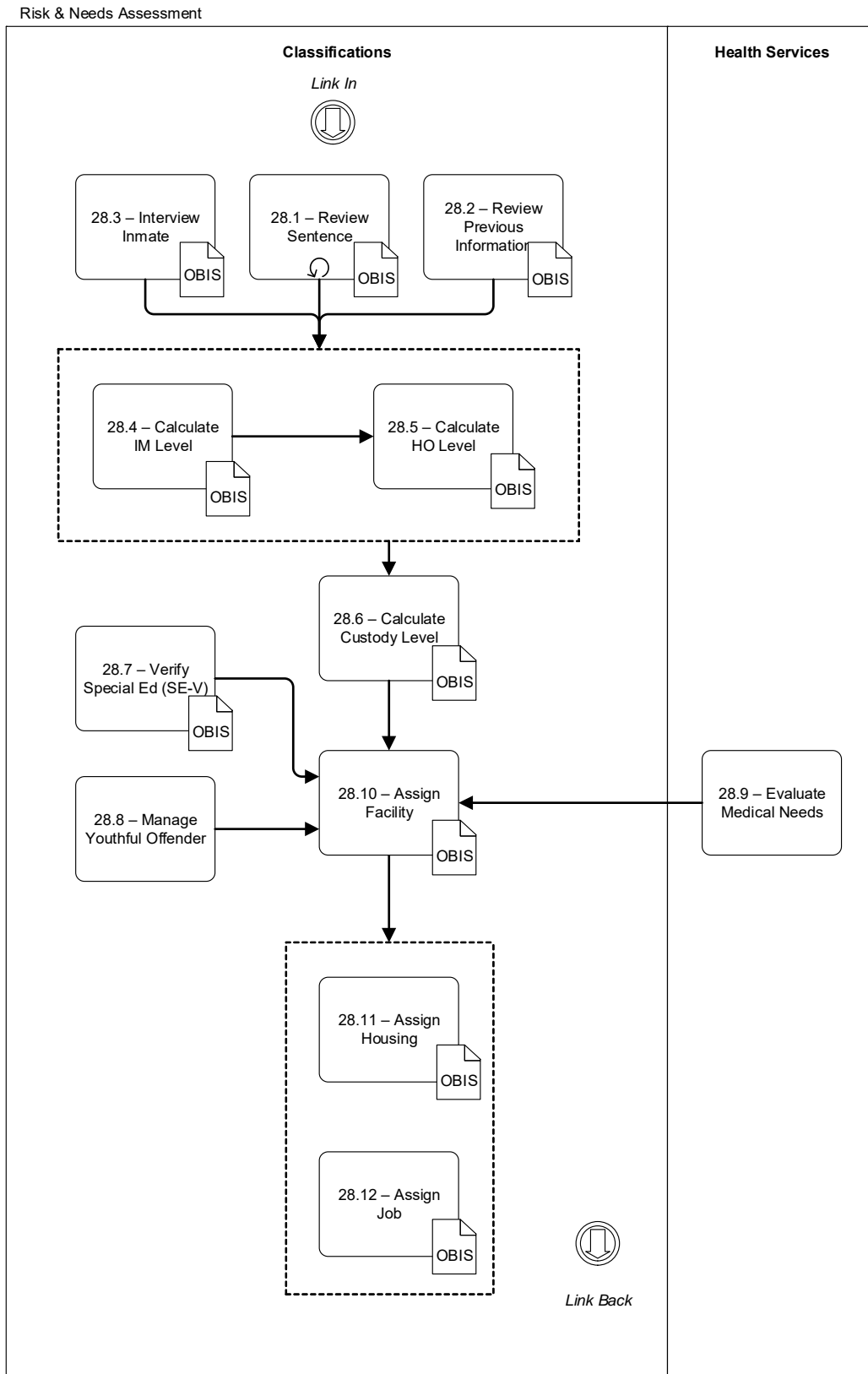


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Figure 2.9-1 Risk & Needs Sub-Process Workflow





2.10 TRANSPORTATION MANAGEMENT SUB-PROCESS

Table 2.10-1 lists the activities that make up the Transportation Management Sub-Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

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Table 2.10-1 Transportation Management Activities

Sub-Process 8 – Transportation Management Activities			
Index Number	Activity Label	Activity Description	Actors
37.1	Transport	<p>Inmates arrive at one of six DC Reception Centers (NWFRC, RMC, Sumter-Annex, CFRC, SFRC, and FWRC).</p> <p>Youthful offenders, 17 and under, are received at Sumter C.I., though Sumter is not a dedicated reception center.</p> <p>Inmates could be transported to the reception centers because they are new inmates or they could be current inmates being moved from once facility to another (to include movement to the Reception and Medical Center). For new inmates: Inmates are normally delivered to the reception centers in their geographical locations by the county Sheriff's offices (reception center personnel poll each Sheriff's office on Friday afternoon to project potential reception workload for the following week). Inmates may also be received for initial DC entry from other states or federal officers.</p> <p>For current inmates: Inmates may be moved for medical reasons or upon reassignment to a new permanent facility.</p>	<p>T&R Officer</p> <p>County Sheriff</p> <p>Transfer Agent</p>



Sub-Process 8 – Transportation Management Activities			
Index Number	Activity Label	Activity Description	Actors
37.2	Reception Center Bed Assignment	<p>For new inmates: Inmates are assigned a bed in the Reception Center by a Housing Officer (RMC) or during the initial interview (CFRC) according to their housing level. Youthful Offenders are assigned to segregated facilities. At a reception center, beds are maintained/tracked in OBIS.</p> <p>Note: Inmates are initially assigned to an appropriate custody bed within close proximity to the reception processing center to facilitate their attendance at various appointments during their first 5-7 days at the Reception Center.</p> <p>For current inmates: Inmates are assigned a bed while awaiting transportation to another facility or within the medical facility (for medical appointments).</p>	T&R Officer Housing Officer
37.3	Reception Center Annex Bed Assignment	<p>For new inmates: Once the reception process is complete, inmates may be transferred to other housing (e.g., Annex) within the Reception Center facility where they await assignment to their permanent institution.</p> <p>Note: Reception Center beds are maintained in OBIS.</p>	T&R Officer Classification
37.4	Resource Management	<p>T&R Officers manage transportation resources to support the movement of inmates throughout the Corrections environment to include physical assets (buses, vans, cars) and human assets (drivers). The “AtRoad” application provides a real time view of vehicles in motion using GPS technology.</p> <p>Note: AtRoad provides support for vehicle maintenance records but is not utilized in that fashion.</p> <p>There is currently no application/system in place to support in-motion vehicle tracking.</p>	T&R Officer



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Sub-Process 8 – Transportation Management Activities			
Index Number	Activity Label	Activity Description	Actors
37.5	Schedule Management	Scheduling buses and drivers and inmates for movement between facilities is an onerous task and the specific timing and routes for such movement must be closely held to prevent unauthorized disclosure. In many cases, T&R officers, using spreadsheets, paper and pencil, and their own wits are manually accomplishing this highly complex work.	T&R Officer
37.6	Manage Facility Profile	Given input by facilities management personnel, Population Management maintains (in OBIS) a complete profile of every DC institution to include the all beds by type.	Population Management
37.7	Create Institutional Placement Request	<p>Taking into consideration custody, inmate management, inmate program needs, and inmate medical needs, the Classification team selects up to three facilities for inmate placement (“team out”). This step is required before an inmate can be assigned to a facility.</p> <p>Note: While three locations are selected for inmate placement, for all practical purposes, inmates are placed depending on a wide spectrum of institutional needs not directly related to the needs of the inmate.</p>	Classification



Sub-Process 8 – Transportation Management Activities			
Index Number	Activity Label	Activity Description	Actors
37.8	Create Institutional Allocation List	<p>Population Management reviews, on a weekly basis, reception center inmate counts for those inmates that have completed their reception processing and allocates facilities/beds to each reception center for inmate placement. There is constant communication between the reception centers and Population Management to address as many special needs as possible (e.g., a reception center encounters an unusual need for psychologically restricted beds).</p> <p>Note: The process undertaken by Population Management to accomplish this task is both complex and beyond the scope of this document. The key point to take into consideration is that allocations are given to the reception centers based on institutional needs rather than inmate needs and the centers are expected to meet those allocations.</p>	Population Management Classification Supervisor
37.9	Assign to Institution	Classification Supervisors receive their allocations from Central Office (Population Management) and assign specific inmates to specific facilities.	Classification Supervisor
37.10	Request Medical Transfer	Inmates requiring specialized health care not available at current location will require a transfer. Health Services will send Population Management a SYSM (DC Mail) message within OBIS requesting the medical transfer.	Health Services
37.11	Create Transfer Request	Population Management will create the Transfer Request which will be sent out to Institution identifying Inmate, transfer location and date requested.	Population Management



Sub-Process 8 – Transportation Management Activities

Index Number	Activity Label	Activity Description	Actors
37.12	Transfer for Medical Issues	Inmates are transferred to the Reception and Medical Center (RMC) for health care or may be assigned to a specific institution meeting their extraordinary medical care needs. In either case, Population Management provides for their transportation in close coordination with Health Services.	Population Management Health Services
37.13	Transport	<p>Once inmates are assigned to a specific facility, the Population Management staff at Central Office schedules the inmates for physical transport to their permanent facility. Population Management staff work closely with the T&R Officers in the Reception Centers and at each institution to schedule inmate movement.</p> <p>The inmate and a physical copy of the inmate's records are transferred to the assigned facility.</p>	Population Management T&R Officer



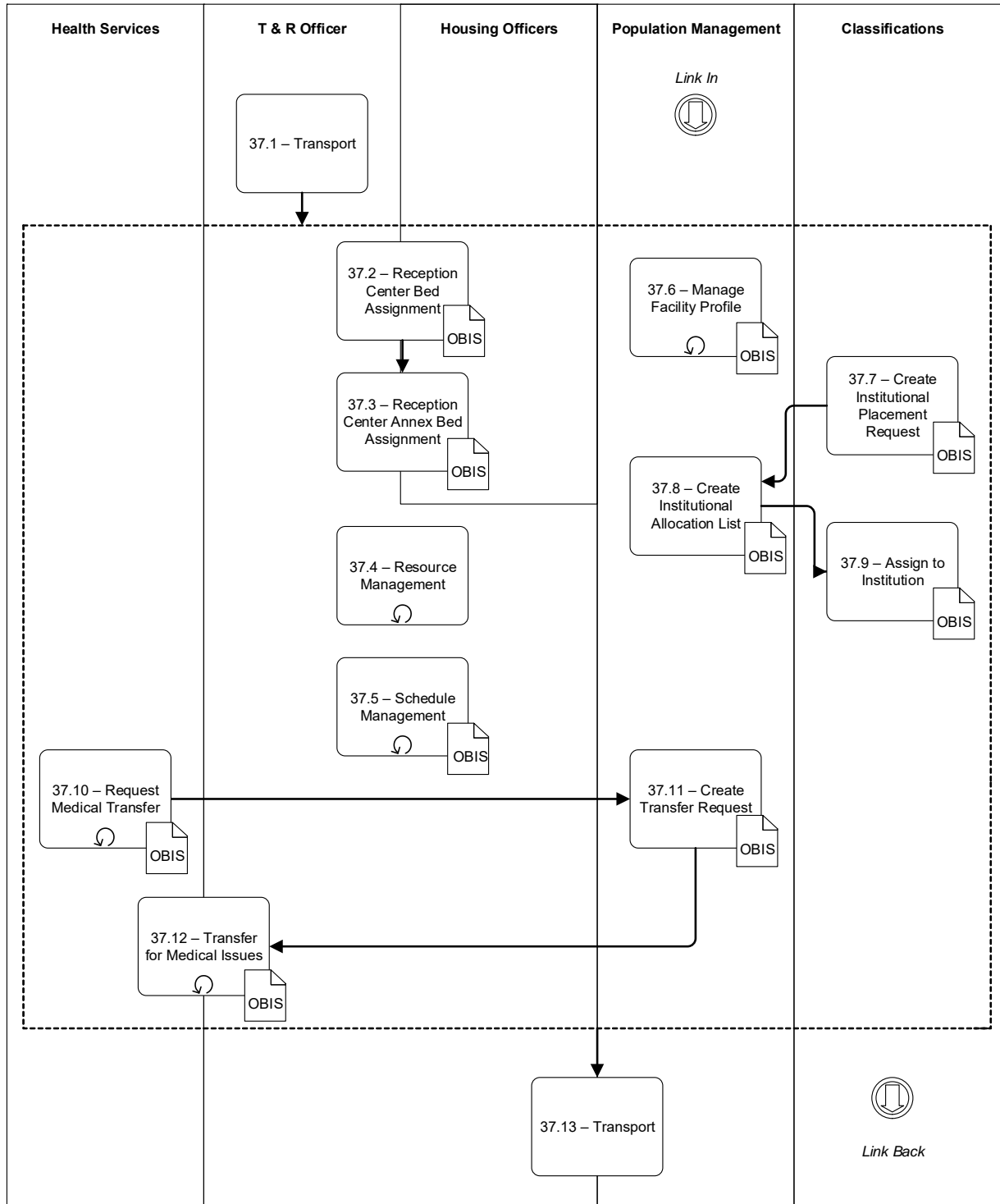
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Institutions Business Process Analysis



Figure 2.10-1 Transportation Management Sub-Process Workflow

Transportation Management





2.11 ELAPSED TIME

This section describes the time limits or goals required to complete the activities that make up the core and sub-processes.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Limit or Goal Time	Any time limits or goals, from any source – internal or external – pertaining to this activity.
Limit or Goal Source	The source of the limit or goal listed above (Florida Statutes, Department of Corrections policy, etc.)
Speed Bumps	Specific, recurring difficulties that slow the progress of this activity.

Table 2.11-1 Elapsed Time

Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
1 - 17	DAY 1 Activity	N/A	All Reception Centers perform the first 17 activities on Day 1 of Inmate arriving. Subsequent intake activities occur over the next 4-5 days.	Special handling for Death Row Inmates, those that create disciplinary challenges, youthful offenders, or those that present emergency medical issues.
	Initial Health Screening	N/A	All inmate reception activities are performed as quickly as possible; the intent of the Reception process is to get inmates in and out as expeditiously as possible.	The capture of scars, marks, and tattoos may cause delays in the inmate processing directly related to the number of each. In addition, CFRC inmates are fully clothed by the time they reach the health screening staff so they must disrobe and then dress again to support this process.
12	Retrieve and Input Criminal History Information	N/A	All inmate reception activities are performed as quickly as possible; the intent of the Reception process is to get inmates in and out as expeditiously as possible.	The time to retype or update inmate criminal history data using a printed document as the source material is estimated to fall between 60,000 and 120,000 man hours per year.



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Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
16	Assign Reception Center Bed	N/A	All inmate reception activities are performed as quickly as possible; the intent of the Reception process is to get inmates in and out as expeditiously as possible.	The current, manual bed assignment process is done differently at RMC and CFRC. Scrolling through the OBIS bed screen may take additional time for the officer processing the inmate, especially if the officer is forced to search out available beds sprinkled among many emergency beds listed in the system.
19	Conduct Orientation	N/A	Normally conducted on Day 2 with all following activities accomplished over the next 3 – 5 days but the sequence varies at each Reception Center for activities 19 - 36.	N/A
22	Conduct Special Education Assessment	10 Days	Department of Education Grant Requirement	If the inmate's special education needs are verified, the inmate MUST be transferred to a permanent facility offering a special education program and enrolled in the program within 10 days.



2.12 PAPER DOCUMENTATION

The section describes the paper documents required to complete the activities that make up this process. The reference column refers to the originator and title of policy, procedure, or instruction that contains the form or specifies the content of the document, if any. More than one document may be required to carry out a single activity, so each is listed.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Document Title	Short title, form number or other designation for the document.
Document Description	General description of the document contents and purpose.
Reference or Source	Originator and title of the source instruction or policy.

Table 2.12-1 Paper Documentation

Index Number	Activity Label	Document Title	Document Description	Reference or Source
2.	Review Commitment Papers	Commitment Package Initial Commitment Audit (DC6-162) Court Ordered Payments calculation worksheet	<ul style="list-style-type: none"> • * Uniform Commitment, Judgment, and Sentence (including a certified copy of the indictment or information) • * Sheriff's Certificate (as described in S. 921.161) • * Copy of Probably Cause Affidavit (or copy of Arrest Report) • * Copy of Sentencing Guidelines Score sheet • * Copy of Restitution Order • * Name and Address of Victim(s) • * Printout of current FCIC/NCIC Criminal History • Pre-Sentence Investigation Report • Health Information Transfer Summary (DC4-871) • Classification Information Transfer Summary (DC4-870) Required Documentation (Rule 33-12, F.S. 944.17, 921.161)	Delivered with each inmate



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
6.	Gain Inmate	Daily Intake List Individual inmate information labels	All inmates received are listed on the Daily Intake report (also known as the "receipt sheet"). Labels are printed for each inmate who may be attached to the Housing Card and/or to identify the inmate's physical file.	N/A
10.	Inmate File Creation/Update	Social Security Number Identification Verification Statement (DC6-133)	All inmates are required to provide their true SSAN (aliens are excepted)	N/A
11.	Gather & Add additional inmate Demographic information	Prior Incarceration Statement (DC6-304)	Inmates are required to declare if they have ever been incarcerated in Florida or under Community Control, house arrest, or on probation and to supply their DC#, if known.	N/A
12.	Fingerprinting (live scan)	Fingerprint Card	AFIS printed tenprint card	AFIS
13.	Retrieve and Input Criminal History Information	Criminal History printout (FCIC/NCIC)	AFIS/CCH generated criminal history data	AFIS



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
14.	Conduct Property Disposition	Inmate Impounded Personal Property List (DC6-220) Inmate Personal Property List (DC6-224) Authorization for Disposition of Mail and Property (DC6-226) Inmate Receipt for Personal Property (DC6-227) Approved Items for New Commitment Inmates (RMC Main Unit Property Room)	Various documents containing information about inmate property and disposition instructions/authorization, authorization to inmate open mail, and authorization to endorse and deposit monetary instruments on behalf of the inmate.	N/A
15.	Assign Reception Center Bed	Housing Officer's Contact Card (DC6-256)	Hard copy form to record various inmate related activities (e.g., security infractions).	Delivered with inmate to the housing officer.
17.	Create Photo ID Card	Inmate Identification Card Initial Inmate Identification Card Request (DC6-222)	Identification and financial transactions (debit card) agreement and activation.	N/A



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
19.	Conduct Orientation	Acknowledgement of Receipt of Orientation (DC6-134A) Inmate Orientation Handbook (NI1-091) Individual Inmate Schedule Alternative Substance Abuse Programs Miscellaneous Inmate information questionnaire Florida Department of Corrections Health Appraisal (DC4-707) Substance Abuse Screening Worksheet Acknowledgement of Receipt of Grievance Orientation (DC1-307)	Inmates indicate that they have received orientation and materials regarding DC Rules and Regulations and a copy of the Inmate Orientation Handbook. Inmates are given their reception center schedules for the remainder of the reception process. Inmates are provided information about available Substance Abuse programs. Inmates fill out a questionnaire about their age, high education level, and job experience. Family, Social, and Medical History information is captured using a standard form. Inmates are screened for substance abuse history.	N/A
20.	Enter Sentence Structure Information	Commitment Package Sentence Structure Coding Sheet (DC4-310)	Information gleaned from the commitment package is coded and entered into OBIS.	Delivered with each inmate



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
21.	Conduct Educational Testing	The Adult Basic Education (TABE) score card ("bubble" sheet)	Score sheet for inmate educational testing	TABE
25.	Security Threat Group (STG) Coordinator Assessment	STG Questionnaire	Threat group related questionnaire used during inmate STG interview process	STORMS
26.	Inmate Phone List Management	Inmate Telephone Agreement and Number List (DC6-223, Revised 9/07)	Inmate phone list form	Provided at Reception Center (Orientation Staff or Classification Officer)
27.	Search DNA Database and Submit Sample	Florida Department of Law Enforcement DNA Convicted Offender Database Swab Collection Kit (FDLE/Form# FOR-005)	DNA Collection kit (swab, mailing packet, instructions) to provide a DNA sample for those inmates not already typed in the FDLE system.	N/A
39.	Send Inmate Packet to Central Office	Commitment Package Release Data Calculation worksheet	Each inmate is accompanied by a file of documents ("Commitment Papers") containing information about the inmate's sentence, criminal history, fingerprint card, court documents, etc.	Delivered with each inmate



2.13 BUSINESS SYSTEM DATA ENTRY & DATA TRANSFER

This section describes the business systems that are employed directly (touched) or indirectly (data transfer) in the course of the core and sub-processes.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Business System	The name or designation of the system touched (if any).
Purpose or Intent	The business objective accomplished by using the system or systems.
Mode	Choose one; entry is made by a person, transfers are from system to system (including tape).

Table 2.13-1 Business System Data Entry & Data Transfer

Index Number	Activity Label	Business System	Purpose or Intent	Mode
5.	Locate or Assign DC Number	OBIS	Search for any existing inmate information based on DC#.	Query
6.	Gain Inmate	OBIS	The inmate is “gained” (taken into custody) by the Department through	Transfer
8.	Add/Update inmate Demographic information	OBIS	Demographic inmate data is collected and input to OBIS (e.g., height, weight, social security number, date of birth).	Entry
9.	Notified that Inmate is Youthful Offender	OBIS	The commitment papers OR the Department may categorize an inmate as a Youthful Offender and the housing officer is notified to ensure the inmate is placed in a Youthful Offender dorm.	Entry Query
10.	Inmate File Creation/Update	OBIS	Hardcopy documents are printed out of OBIS and placed in the inmate’s file.	Report
11.	Initial Health Screening (Core Process D)	OBIS	See Initial Health Screening (Core Process D)	
12.	Fingerprinting (live scan)	AFIS	Inmate fingerprints are captured using a live-scan device connected to FDLE.	Entry Update



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Index Number	Activity Label	Business System	Purpose or Intent	Mode
13.	Retrieve and Input Criminal History Information	AFIS, Computerized Criminal History (CCH), E-Agent, OBIS	Using the fingerprints and/or demographics from activity 12, FDLE returns a printout of the inmate's criminal history information which is then typed into OBI.	Query Report Entry
15.	Assign Reception Center Bed	OBIS	Identify available beds and assign a bed to each inmate.	Query Entry
17.	Create Photo ID Card	Systematica	Inmate demographic data (from the receipt sheet) is entered and the inmate's photo is captured into the photo system and an inmate identification card is created.	Entry Output
18.	Activate Inmate Bank Account and ID Card	Inmate Trust System	Inmate demographic data (from the receipt sheet) is entered into the Inmate Trust System, Canteen System and the inmate's identification card is activated.	Entry Output
20.	Enter Sentence Structure Information	OBIS	Coders and Loaders review inmate commitment paperwork and enter the inmate's preliminary sentence data into the system.	Entry
21.	Conduct Educational Testing	OBIS	Scantron ("bubble") sheets are used and scanned to record and enter inmate educational testing results.	Entry
22.	Conduct Special Education Assessment	OBIS	Inmates aged 22 years and 1 day or less are assessed for Special Education placement needs.	Entry
23.	Conduct Substance Abuse Assessment	OBIS	Inmate drug history and needs for substance abuse programs are entered.	Entry
24.	Vocational Needs Assessment	OBIS	Inmate vocational needs are captured and entered.	Entry
25.	Security Threat Group (STG) Coordinator Assessment	STORMS/OBIS	Inmates are assessed for possible affiliation with gangs or other security threat groups.	Entry
26.	Inmate Phone List Management	Phone Vendor (SECURUS)	Inmate phone lists are provided, in hard copy, to the phone system vendor for input to their system.	Entry



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Index Number	Activity Label	Business System	Purpose or Intent	Mode
28.	Review all information for Risk and Needs Assessment and Perform Initial Inmate Interview	OBIS	Capture and input relatives, references, other social and/or demographics about each inmate.	Entry
29.	Determine Custody Level	OBIS	Based on information entered into the system, OBIS derives a Custody score. This activity validates the inmate's Custody, Internal Management, and Housing scores. Classification Officers may override the system scores but this will require further review and approval.	Entry
30.	Validate & Approve Custody level	OBIS	This activity validates the inmate's Custody, Internal Management, and Housing scores and is performed by a Classification Supervisor.	Query Update
31.	Review & Approve Custody level	OBIS	Inmate Classification Teams may override the system scores but this will require further review and approval.	Query Update
32.	Review & Determine Final Custody level	OBIS	Any modifications to the Custody level or the assignment of Community or minimum custody must be approved by Central Office.	Query Update
33.	Assignment for Institutional placement	OBIS	The ICT selects up to three facilities for the inmate's initial permanent facility.	Entry
34.	Conduct Team Decision	OBIS	The ICT approves up to three facilities for the inmate's initial permanent facility.	Entry
35.	Provide Institutional Beds Allocation	OBIS	Central Office (Population Management) allocates beds to Reception Centers for permanent inmate assignments.	Transfer
36.	Allocate Inmate to Institution	OBIS	Inmates are assigned to their permanent facility.	Entry
37.	Coordinate Travel of Inmate to Institution	OBIS	Population Management coordinates the scheduling of buses and inmates to physically transport the inmates.	Entry



2.14 PROCESS ISSUES & RECOMMENDATIONS

This section lists the issues that have arisen while analyzing this core process. These are the difficulties that result in an activity losing its effectiveness, degrading its efficiency and hindering its adaptability. Each activity can have more than one issue associated with it.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Issue	Short description for the issue.
Impact	Impacts or consequences of the issue (e.g., confusion, delay, error, incident).
Recommendation	Recommendation for addressing the issue or reducing its impact (if any).

Table 2.14-1 Process Issues & Recommendations

Index Number	Activity Label	Issue	Impact	Recommendation
9.	Notified that Inmate is Youthful Offender	<p>Youthful Offender status may be court ordered and documented in the commitment paperwork or may be assigned according to the Department's internal rules (age 24 or less).</p> <p>The current OBIS system does not lend itself to a robust Youthful Offender management process (a single character identifier is available to flag an inmate).</p>	<p>The inability to identify, track, and report on Youthful Offenders is precluding the Department from effectively managing Youthful Offender inmates. A lack of appropriate identification data inhibits the Department's ability to certify, decertify, recertify, and track these inmates. Furthermore, no internal tracking system is in place to provide audit trail data (who made a particular decision and why) and prevents automated notification for reviews (e.g., someone overrides a system generated classification).</p>	<p>Central Office has presented a proposal to address this issue. Please speak with Bill Maust and Julie Jean.</p>



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Index Number	Activity Label	Issue	Impact	Recommendation
12.	Fingerprinting (live scan)	<p>Following the livescan processing of an inmate on Day 1 of the Reception process, a printed copy of the inmate's criminal history is produced (if available).</p> <p>A records specialist places the criminal history in the inmate's file for subsequent input to OBIS by other staff.</p> <p>Many times after inmate fingerprints are scanned, the system doesn't automatically print out the criminal history of the newly gained inmate.</p>	<p>In some cases, FDLE does not return the criminal history report for two or three days. In those cases, the records specialist retrieves the inmate's criminal history using E-Agent.</p> <p>Time is wasted trying to track missing criminal histories and often times the missing reports show up in the specialist's printer two or three days later; these duplicate copies are discarded.</p>	<p>More information required: Analyze the technical processes concerning the requests for criminal history data from FDLE, determine what, if anything, is causing the delays, and address the issue.</p>



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Index Number	Activity Label	Issue	Impact	Recommendation
13.	Retrieve and Input Criminal History Information	<p>Following the livescan processing of an inmate on Day 1 of the Reception process, a printed copy of the inmate's criminal history is retrieved from The Florida Department of Law Enforcement (if available)</p> <p>A records specialist places the criminal history printout in the inmate's file for subsequent input by other staff. DC staff members (record specialists, sentence specialists, and classification officers) enter the criminal history data into OBIS (or correct existing OBIS data based on the criminal history provided by FDLE).</p>	<p>Information which is available via digital media from FDLE is being printed out and retyped into OBIS. As a result, large amounts of staff hours are being wasted.</p> <p>This issue is certainly more complicated than may be easily described in this document; suffice it to say that waiting for FALCON to resolve the whole courts/FDLE/DC data interchange process is unnecessary. A straightforward, livescan-based, digital retrieval of criminal history data and a subsequent OBIS file upload process could fix this process.</p>	<p>Create an electronic interface with FDLE to transfer AFIS/CCH data.</p> <p>Time savings (man hours) are estimated to be 60,000 – 120,000 hours per year given the current inmate receptions and workload.</p>



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Index Number	Activity Label	Issue	Impact	Recommendation
14.	Conduct Property Disposition	The receipt, storage, and release of Inmate property is a manual process. No automated mechanism is in place to track inmate property.	Consumes considerable Security staff time to receive, store, ship, and return Inmate property. In addition, while incarcerated at their permanent facility and during transfers throughout the Corrections' environment, inmate property is repeatedly inventoried and manually checked against a paper inmate property list.	Implement an inventory management system to allow for more accurate property management.



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Index Number	Activity Label	Issue	Impact	Recommendation
15.	Assign Reception Center Bed	<p>The bed assignment process in OBIS is managed in different ways in different facilities. Furthermore, beds must be assigned manually to each inmate.</p>	<p>At RMC, a stack of Housing Cards is given to a Housing Sgt. who then assigns each inmate to a bed meeting their housing/custody levels. At CFRC, inmates are assigned to a bed during their initial interview (at the reception window) by the T&R officer(s).</p> <p>In the first case (RMC), an inmate with a physical infirmity may be assigned to an upper bunk into which he may not be able to climb; the assignment must be changed when the inmate reaches his housing unit. The CFRC process seems to address this issue as the T&R officer can readily see most, if not all, physical attributes which may necessitate appropriate bed assignments (e.g., overweight inmates might be better placed in a lower bunk).</p> <p>The manual assignment of each bed to an inmate is time consuming and seems ripe for automation.</p>	<p>Have OBIS automatically assign an available bed to an inmate once they are gained into the system.</p> <p>The Inmate Behavioral Assessment System (IBAS) has been incorporated into OBIS to inform bed assignments (includes sexual predator/prey/security data and PREA constructs.).</p>



Index Number	Activity Label	Issue	Impact	Recommendation
17.	Create Photo ID Card	<p>Inmate data is not automatically loaded into Photo ID system when inmate is gained.</p> <p>Inmate identification forms are created by printing inmate photos and then gluing them to a standard printed document.</p>	<p>The photographer must manually type in Inmate demographic data.</p> <p>The manual process of printing inmate photographs and then gluing the results to an existing document is time consuming.</p>	Transfer, electronically, the inmate data in OBIS to Systematica.
25.	Security Threat Group (STG) Coordinator Assessment	<p>Scars, Marks, and Tattoos are captured by Health Services personnel during the reception process. The descriptions they input are non-standard, often incomplete, and irretrievable.</p> <p>Health Services personnel are also tasked to identify potential gang related tattoos and markings, a task, in most cases, for which they have not been trained.</p>	<p>Ostensibly, the reason to capture Scars, Marks, and Tattoos is twofold:</p> <ol style="list-style-type: none"> 1. Inmate Identification 2. Identify Gang Affiliation <p>In the first instance, a search within OBIS will not result in a match unless the search criteria match the input criteria.</p> <p>In the second case, Health Services personnel are not adequately trained to reliably identify vast numbers of potential gang related tattoos. They are also extremely busy trying to accomplish their real purpose at reception, inmate health screening.</p>	<p>Reassess the data needs and usage to inform or influence subsequent decision making (e.g., facility/bed assignments).</p> <p>Reassess the efficacy of having untrained personnel conduct this activity.</p> <p>Assess whether this activity may be delayed until the inmates reach their permanent facility.</p>



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Index Number	Activity Label	Issue	Impact	Recommendation
26.	Inmate Phone List Management	Inconsistencies exist between written Department procedures, standard Department forms, and instructions to the phone vendor and classification officers regarding phone list processing (e.g., matching criteria).	The <i>possibility</i> exists that inmate phone list authorizations are inconsistent throughout the Department of Corrections' facilities. There is the <i>potential</i> that an inmate may be authorized to make calls in conflict with Department rules and procedures.	Modify existing policies and procedures to remove ambiguity and provide clear guidance. Include Inmate Phone List information in OBIS.
35.,38.	Population Management (Beds, Transport)	The management of inmate beds and the transportation of inmates between facilities are, for the most part, retained within the heads of certain key Department employees. Inmate movement is highly complex and difficult to understand.	A significant amount of time is being spent by T&R officers and Central Office personnel to manage the Department's beds and transportation resources. The skill and knowledge required to successfully manage these processes are embodied in individuals rather than in an automated system. Continuing to operate in such a manner <i>may</i> expose the Department to significant hardship should something happen to key personnel.	Investigate the use of a transportation management application (to include bed management).



State of Florida
Department of Corrections
Office of Information Technology

Community Corrections Core Business Process Analysis

Core Process H: Supervise Offender Process

Author:	North Highland
Vendor:	The North Highland Company
Version:	4.0
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Document Control

Change Record

Date	Author	Version	Change Reference
1/23/2008	North Highland	0.01 (Draft)	Created
4/7/2008	North Highland	2.0	Revised from Jenny Nimer feedback
10/30/2016	North Highland	3.0 (Draft)	Updated documents reflecting any business process changes from the 2008 study
11/18/2016	North Highland	4.0	Updated documents reflecting FDC feedback on draft document

Review

Name	Role	Date
Chuck Beckett	NH Quality Control Review	10/28/2016
FDC	Client Review of draft document	11/10/2016
Tad McDonald	NH Quality Control Review	11/17/2016



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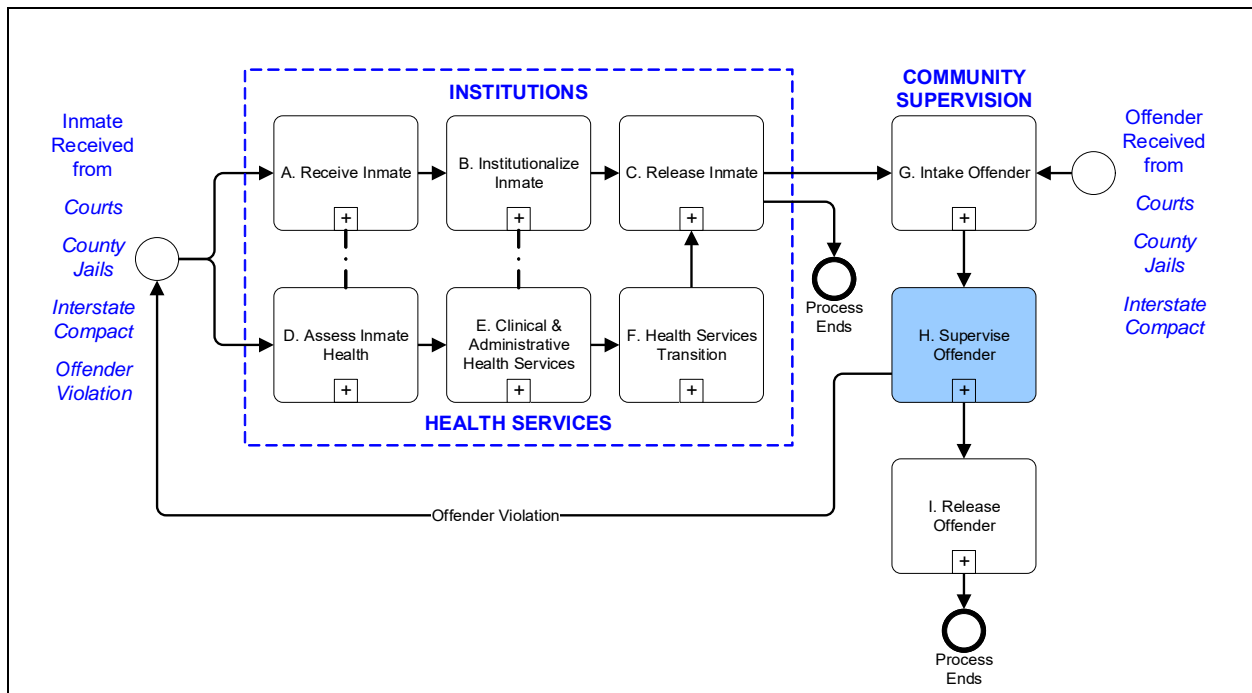
1 DC CORE BUSINESS PROCESSES

1.1 THE PURPOSE AND SUBJECT OF THIS ANALYSIS

The Department of Corrections (Department, DC) is carrying out an analysis of its major business processes. The primary intent of this activity is to establish the foundation for the development of a new business system, which will replace the Offender-Based Information System (OBIS); the Computer Assisted Reception Process (CARP) system was subsumed by OBIS after the completion of the 2008 analysis. This analysis will also result in a set of functional and technical requirements for the new business system.

The figure below shows the entire DC set of nine core business process examined during this project; identified by the letters A through I, and the general sequence in which they are carried out. The box highlighted in blue indicates the core business process presented in this document.

Figure 1.1-1 Department of Corrections Core Business Processes





Florida Department of Corrections

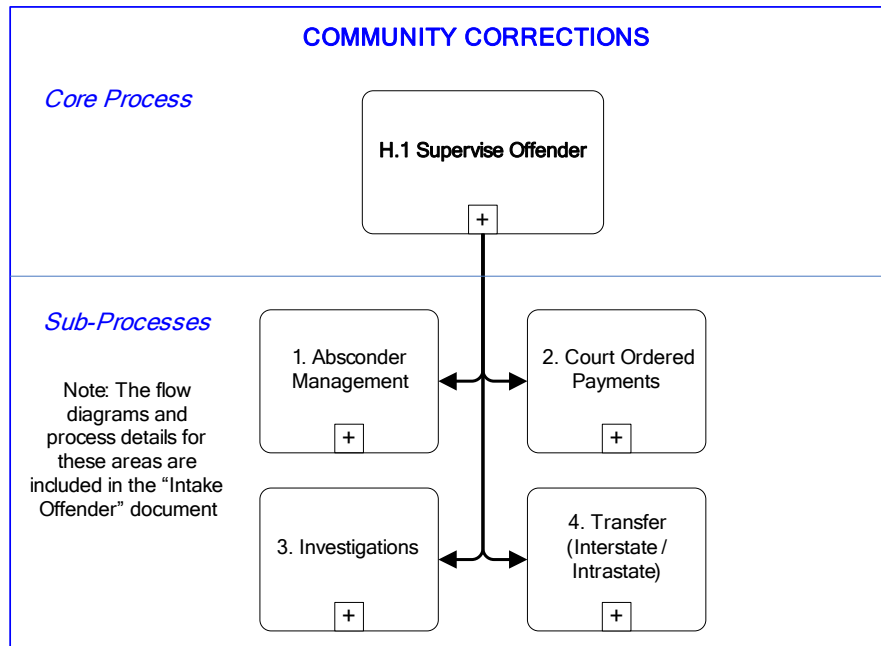
Community Corrections Business Process Analysis



For clarity and convenience, the Community Corrections Supervise Offender process has been divided into four numbered sub-processes. Since these sub-processes; Absconder Management, Court Order Payments, Investigations and Transfer could occur in any of the three core processes; Intake, Supervise or Release each of the numbered sub-processes is described in detail in the Intake process document.

The figure below identifies the Supervise Offender core in relation to the four sub-processes.

Figure 1.1-2 Supervisor Offender Core Business Processes





2 SUPERVISE OFFENDER

2.1 OVERVIEW

Community supervision in Florida is provided to adult offenders who are sentenced to a supervision type imposed by: a criminal court, the Florida Commission on Offender Review, or a contractual agreement between the State Attorney’s Office, the offender, and the Florida Department of Corrections. Community supervision includes monitoring and enforcing standard and special conditions imposed by the court or Commission; referring offenders to community resources for assistance with job placement, treatment, education, or other need; conducting drug tests to monitor for substance abuse, using electronic monitoring to monitor whereabouts of offenders, reporting violations to the court or Commission; and using other specialized supervision approaches.

Supervision types are divided into Original Sentence, Post Prison Release and Other Supervision Types. These represent the actual types of supervision imposed by the court or the Commission. As of June 30, 2016:

- 136,950 offenders on Active or Active-Suspense Community Supervision
 - 131,336 serving an original sentence
 - 5,614 on Post-Prison Release
 - 0 on other types of supervision
- 4,526 Offenders on electronic monitoring
 - 2,339 Global Positioning under Jessica Lunsford Act
 - 2,187 Other Global Positioning
- Region III has the highest active supervised population with 69,811 offenders
- The average Probation sentence is 4.1 years (includes life sentences)

Table 2.1-1 Active Community Supervision Offender Population – June 2016

Supervision Type	Active		Active - Suspense		Total	
I. Original Sentence						
Probation Total	87,139	81.7%	26,090	86.2%	113,229	82.7%
Probation	69,611	65.2%	21,034	69.5%	90,645	66.2%
Administrative	1,303	1.2%	490	1.6%	1,793	1.3%
Drug Offender Probation	12,477	11.7%	3,355	11.1%	15,832	11.6%
Sex Offender Probation	3,748	3.5%	1,211	4.0%	4,959	3.6%
Community Control Total	6,487	6.1%	2,699	8.9%	9,186	6.7%
Community Control	6,343	5.9%	2,631	8.7%	8,974	6.6%
Sex Offender Comm. Control	144	0.1%	68	0.2%	212	0.2%
Pretrial Intervention Total	8,514	8.0%	407	1.3%	8,921	6.5%
Pretrial Intervention	6,219	5.8%	168	0.6%	6,387	4.7%
Drug Offender PTI	2,295	2.2%	239	0.8%	2,534	1.9%
Original Sentence Total	102,140	95.7%	29,196	96.5%	131,336	95.9%
II. Post - Prison Release						
Florida Parole	335	0.3%	64	0.2%	399	0.3%



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Other State Parole	1,686	1.6%	78	0.3%	1,764	1.3%
Supervised Community Release	0	0.0%	0	0.0%	0	0.0%
Provisional Release	1	0.0%	1	0.0%	2	0.0%
Conditional Release	2,329	2.2%	795	2.6%	3,124	2.3%
Control Release	0	0.0%	37	0.1%	37	0.0%
Administrative Control Release	0	0.0%	2	0.0%	2	0.0%
Conditional Medical Release	11	0.0%	0	0.0%	11	0.0%
Admin. Conditional Release	0	0.0%	0	0.0%	0	0.0%
Addiction Recovery	192	0.2%	83	0.3%	275	0.3%
Post-Prison Release Total	4,554	4.3%	1,060	3.5%	5,614	4.1%
Other Supervision Types*	0	0.0%	0	0.0%	0	0.0%
GRAND TOTAL	106,694	100.0%	30,256	100.0%	136,950	100.0%
Supervision type unavailable = 6						

2.1.1 Purpose and Objectives of this Process

The purpose of the core process Community Corrections – Supervise Offender is to supervise offenders commensurate with their court ordered conditions, and address the needs of the offender, thereby protecting the community.

The objectives of this process are to:

- Monitoring and supervise offenders on a schedule that adheres strictly to the terms and conditions of the Probation Order.
- Identify needs/resources
- Motivate and assist
- Perform field work on a regular basis
- Manage violations of supervision
- Manage offender transfer requests
- Manage the various investigations that are requested (Presentence investigation, pretrial investigation, inmate release investigation, absconder investigation, etc.)
- Document appropriate OBIS screens and case notes across all supervision activities

2.1.2 Beginning and Ending Points

Beginning Point:

- Intake offender at Field Office

Ending Point:

- Release offender, manage violations and/or transfer offender



2.2 ACTIVITIES & WORKFLOW DIAGRAMS

The following tables list the activities for the Supervise Offender Core Process.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in tables presented in this section.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 2.2-1 Supervise Offender Activities

Core Process H – Supervise Offender Activities			
Index Number	Activity Label	Activity Description	Actors
1.	Intake Offender at Field Office	Remaining offender information/data (e.g., sentencing data, court ordered payments, etc.) that has not already been compiled and input into OBIS at the Intake Office, is done so at this point. . Assignment of cases to Field Officer's Supervisor who is also responsible for assigning the incoming supervision cases to Field Officers.	Field Office (Intake or Field Office personnel)



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Core Process H – Supervise Offender Activities			
Index Number	Activity Label	Activity Description	Actors
2.	Conduct Offender Orientation	<p>The orientation consists of discussing the offender’s sentence structure, terms and conditions of supervision, referrals for treatment or other services, and any court ordered payments or electronic monitoring requirements. All the results of the orientation are documented in OBIS case notes.</p> <p>Institutional staff have replaced the CARP/OBIS Risk and Needs processes with two OBIS sub-systems: Inmate Risk Management System (IRMS) and SPECTRUM. Community Corrections is in the process of implementing a form of those tools for Offender management called the Offender Needs Assessment System (ONAS).</p>	<p>Field Office</p> <p style="text-align: center;">(Intake or Field Office personnel)</p>
3.	Monitor and Supervise Offender	<p>Supervision includes many separate and distinct activities that all could vary by offender based on criminal history, location, and special treatment.</p> <p>Monitoring and supervising an offender may include all or a combination of the following activities; identification of needs/resources, to motivate and assist, verify the offender’s employment, verify the offender’s residence, contact and visit the offender, manage the specific terms and conditions of supervision, manage transfer requests, manage drug/substance abuse testing, manage investigations, and manage temporary community travel. (details of these activities follow below)</p>	<p>Field Office</p> <p style="text-align: center;">(Intake or Field Office personnel)</p> <p>Law Enforcement</p>



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Core Process H – Supervise Offender Activities			
Index Number	Activity Label	Activity Description	Actors
4.	Verify Employment	The Field Officer and/or Supervisor verify where the offender is employed and/or if they have to be enrolled in an educational program. The employer and educational program are notified of the offender’s background. The Field Officer is also responsible for continually verifying and communicating with these entities on a regular basis. Throughout supervision, any new employment information obtained on an offender will be recorded in OBIS notes.	Field Office (Intake or Field Office personnel)
5.	Verify Residence	The Field Officer and/or Supervisor verify the actual residence of the offender. The Field Officer is also responsible to continually verify the offender’s current address on a regular basis. Throughout supervision, any new residence information obtained on an offender will be recorded in OBIS case notes. Sex Offender Residence Review (SORR) is conducted anytime a sex offender needs to change residency to ensure residence is not located in a prohibited location and the data is updated in GIS/SORR.	Field Office (Intake or Field Office personnel)



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Core Process H – Supervise Offender Activities			
Index Number	Activity Label	Activity Description	Actors
6.	Contact and Visit	<p>The Field Officer is required to make regular contact (place of employment or home visits, phone calls etc.) with the offender and monitor the terms and conditions of the offender's supervision. The type and frequency of communication and visits are automatically assigned based upon the offenders risk class in OBIS. Because of special considerations (e.g., public safety, type of offense, unique supervision requirements) the risk class can be manually changed in OBIS via an administrative decision process. Throughout supervision, any new contact information obtained on an offender will be recorded in OBIS notes.</p>	<p>Field Office</p> <p>(Intake or Field Office personnel)</p>
7.	Manage Terms and Conditions	<p>The Field Officer is required to monitor / assess terms of supervision as assigned at the court level or releasing authority. An offender's terms and conditions may or may not include specific court ordered payments (COPS) for restitution, electronic monitoring (EM), special risk supervision (sex offenders), treatment requirements (drug testing), curfews, supervision costs and contact guidelines. Field Officers continually review and instruct offenders on the terms and conditions of supervision. Offenders are provided guidance on drug treatment and on educational requirements as part of special conditions of supervision. Throughout supervision, any new terms or conditions information obtained on an offender will be recorded in OBIS notes.</p>	<p>Field Office</p> <p>(Intake or Field Office personnel)</p>



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Core Process H – Supervise Offender Activities			
Index Number	Activity Label	Activity Description	Actors
8.	Manage Transfer Requests	The Field Officer processes and conducts investigations for interstate and intrastate transfers. Details on the transfer process are detailed in the “Transfers Interstate/Intrastate Sub-Process” document. Throughout supervision, any new transfer request information obtained on an offender will be recorded in OBIS notes.	Field Office (Intake or Field Office personnel)
9.	Manage Drug/Substance Abuse Testing	<p>The Field Officer is required to conduct regular drug testing of all offenders on their supervision caseload. Additional random drug testing may be required for offenders that have special requirements in their supervision terms and conditions. For these special offenders drug abuse intervention programs are typically required as part of supervision.</p> <p>If an offender is identified as having a substance abuse issue, the Field Officer will refer the offender to the appropriate treatment program and will assist the offender in receiving any additional help they may require.</p> <p>Throughout supervision, any new drug or substance abuse information obtained on an offender will be recorded in OBIS notes. All drug testing results will be entered into OBIS.</p>	Field Office (Intake or Field Office personnel)



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Core Process H – Supervise Offender Activities			
Index Number	Activity Label	Activity Description	Actors
10.	Manage Investigations	<p>The Field Officer is required to manage various types of investigations that may be requested from other Field Offices, other states, law enforcement, the courts, or from the Department of Corrections Central Office. The Field Officer will also manage various type investigations throughout the supervision process that are requested by the sentencing authority, correctional institutions, other Field Offices, or other state probation offices. Investigations are typically tracked in OBIS (ITS) and appropriate parties to the investigation are kept informed.</p> <p>Types of investigations that Field Officers might possibly encounter include:</p> <ul style="list-style-type: none"> • Presentence Investigation • Pre-trial Sentencing Investigation • Institutions Prerelease Investigation • Absconder Investigation • Violation of Probation Investigation • Transfer Investigation 	<p>Field Office</p> <p style="padding-left: 40px;">(Intake or Field Office personnel)</p>
11.	Manage Curfew Compliance	<p>Quarterly curfew compliance checks will be conducted as part of community control supervision</p>	



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Core Process H – Supervise Offender Activities			
Index Number	Activity Label	Activity Description	Actors
12.	Manage Community Travel	The Field Officer is responsible to monitor and manage temporary requests to travel outside area defined by the offender’s terms and conditions of supervision. The Field Officer will either grant or deny requests made by the offender based on reason for travel, destination, and risk to community. If the travel request is granted, the Field Officer will instruct the offender on requirements and issue a travel permit. Throughout supervision, any new travel request information obtained on an offender will be recorded in OBIS notes.	Field Office (Intake or Field Office personnel)
13.	Release Offender	The Field Officer is required to supervise the offender until the offender has successfully completed the terms and conditions of supervision, or is incarcerated, is transferred to another Field Office (inter/intrastate), is released from supervision by the courts, or has passed away. This activity links out to the ‘Release Offender’ core process.	Field Office (Intake or Field Office personnel)
14.	Manage Violations	The Field Officer is required to initiate a violation of supervision if an offender has not adhered to the terms and conditions of supervision. If the violation is by an out of state offender the violation is handled through the Interstate Compact process. Throughout supervision, any new violation information obtained on an offender will be recorded in OBIS notes.	Field Office (Intake or Field Office personnel)



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Core Process H – Supervise Offender Activities			
Index Number	Activity Label	Activity Description	Actors
15.	Transfer Offender	<p>While an offender is under supervision, the offender or the Field Officer may request a transfer to another location. Transfers are handled differently depending on whether the transfer is intrastate or interstate. Throughout supervision, any new transfer request information obtained on an offender will be recorded in OBIS notes.</p>	<p>Field Office (Intake or Field Office personnel)</p> <p>Interstate Compact Office</p> <p>Other FL. Field Offices</p>
16.	Take Action on Violation	<p>Violations are investigated by the Field Officer and may result in both a request for a warrant and a violation report created in OBIS or on a VOP form. A violation may result in a visit to the court for the offender and could result in a change in the terms and conditions of the supervision or an arrest (as determined by the judge). Based on the decision of the court, the offender is sent to the Field Office for reinstruction regarding the judge’s violation decision or whether to order the offender back to jail.</p> <p>If the investigation activities determine that a violation is serious enough, the Field Officer may conduct a warrantless arrest or refer to a sentencing authority for an arrest.</p> <p>If the investigation activities determine that a violation is a non-willful violation, the Field Officer may determine the violation was not willful and only requires documentation in OBIS case notes.</p> <p>This activity could link out to the ‘Sentencing Authority’ for further action and then back to Index 3 for further instructions from the Field Officer.</p> <p>Throughout supervision, any new violation information obtained on an offender will be recorded in OBIS notes.</p>	<p>Field Office (Intake or Field Office personnel)</p> <p>Sentencing Authorities</p>

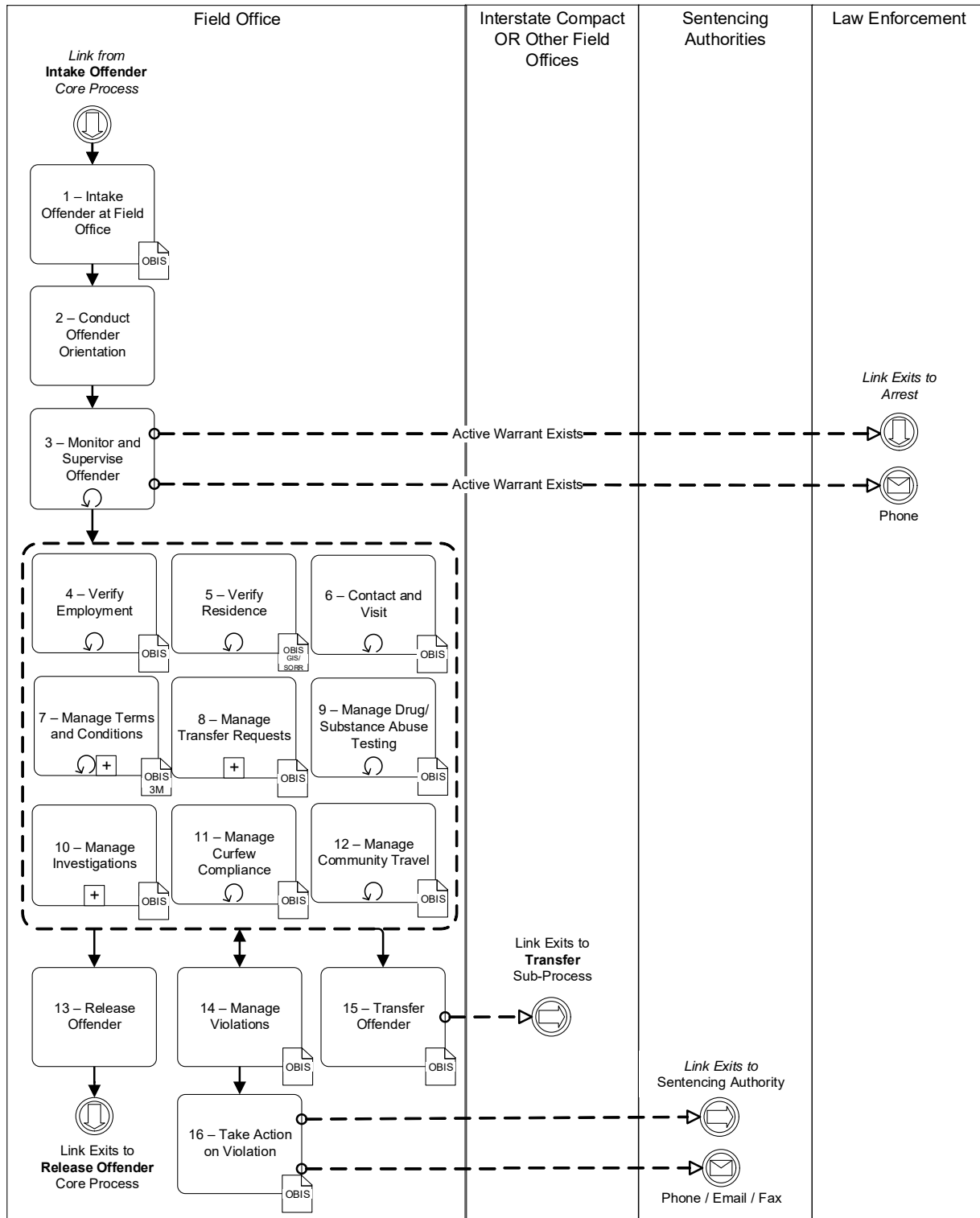


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Figure 2.2-1 Supervise Offender As Is Workflow





2.3 ELAPSED TIME

The section describes the time goal or limit required to complete each of the activities that make up the Supervise Offender core process.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Limit or Goal Time	Any time limits or goals, from any source – internal or external – pertaining to this activity.
Limit or Goal Source	The source of the limit or goal listed above (Florida Statutes, DC policy, etc.)
Speed Bumps	Specific, recurring difficulties that slow the progress of this activity.

Table 2.3-1 Elapsed Time

Core Process H – Supervise Offender				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
1.	Intake Offender at Field Office	Immediately upon notification of release to supervision (offender sentenced from court)	Procedure 302.303	Processing Delays – courts processing of Probation Order timely
1.	Intake Offender at Field Office	Post-prison release offenders should report to supervision within 72 hours of release (Inmates released from an institution with court ordered supervision)	Procedure 302.120	Processing Delays – Institutions processing of reporting instructions timely
1.	Intake Offender at Field Office	Post-prison release offenders should report to supervision within 48 hours of release (Inmate being released from an institution with court ordered probation)	Procedure 302.120	N/A
2.	Conduct Offender Orientation	Immediately upon arrival of offender	Procedure 302.303	Processing Delays – courts processing of Probation Order timely OR offender does not show at Field Office



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Core Process H – Supervise Offender				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
3.	Monitor and Supervise Offender	Ongoing basis where frequencies will vary by requirements of supervision of the offender	Procedure 302.303	Labor intensive – Manual instruction, documentation and dependent on staffing structure at Field Office
3.	Monitor and Supervise Offender	Offender required to report to their Field Officer monthly	Procedure 302.303	Labor intensive – Manual instruction, documentation and dependent on staffing structure at Field Office
4.	Verify Employment	Within initial 30 days of supervision OR within 30 days of knowledge of change in employment AND every 90 days thereafter for term of supervision	Procedure 302.303	Labor Intensive - Manual Verification and documentation
4.	Verify Employment	Within initial 30 days of supervision OR within 30 days of knowledge of change in employment AND every 60 days prior to each scheduled case review thereafter for term (Drug Offender)	Procedure 302.303	Labor Intensive - Manual Verification and documentation
4.	Verify Employment	Within 2 days of being notified of offender’s enrollment or employment status change, Field Officer will notify FDLE for Sex Offenders	Procedure 302.303	Labor Intensive - Manual Verification and documentation



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Core Process H – Supervise Offender				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
4.	Verify Employment	Within 1 day of being notified of offender’s enrollment or employment status change, Field Officer should update OBIS screens (Sex Offender)	Procedure 302.303	Labor Intensive - Manual Verification and documentation
5.	Verify Residence	Within initial 30 days of supervision AND every 90 days thereafter for term	Procedure 302.303	Labor Intensive - Manual Verification and documentation
5.	Verify Residence	Within 2 working days of assignment AND every 90 days thereafter for term (Sex Offender and Career Offender)	Procedure 302.303	Labor Intensive - Manual Verification and documentation
5.	Verify Residence	Within 24 hours of assignment AND every 90 days thereafter for term (Community Control Offender)	Procedure 302.303 302.311	Labor Intensive - Manual Verification and documentation
6.	Contact and Visit	Within initial 30 days of supervision AND every 90 days thereafter for term	Procedure 302.303	Labor Intensive - Manual Verification AND dependent on offender’s schedule (e.g., employment, school, etc.)
6.	Contact and Visit	Prior to the close of business the date of sentence release (within 24 hours) or on same day of notification AND a weekly minimum visit thereafter for term (Community Control Offender)	Procedure 302.303	Labor Intensive - Manual Verification AND dependent on offender’s schedule (e.g., employment, school, etc.)



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Core Process H – Supervise Offender				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
6.	Contact and Visit	Prior to the close of business the date of sentence release (within 24 hours) or on same day of notification AND a monthly minimum visit thereafter for term (Sex Offender)	Procedure 302.303	Labor Intensive - Manual Verification AND dependent on offender's schedule (e.g., employment, school, etc.)
7.	Manage Terms and Conditions	Within initial 60 days of supervision AND monthly thereafter for term	Procedure 302.303	Timeliness and Accuracy of Court Data – Additional human resources need to expedite process
8.	Manage Transfer Requests	Requires 10 business day lead time in order for Field Officer to research and respond to request (Low Profile Intrastate Transfer)	Procedure 302.306	Timeliness and Accuracy of Court Data – Additional human resources need to expedite process
8.	Manage Transfer Requests	Note: Time requirements are detailed in the "Transfer" Sub-process.	Procedure 302.306	Timeliness and Accuracy of Court Data – Additional human resources need to expedite process
9.	Manage Drug/Substance Abuse Testing	Within initial 60 days of supervision AND monthly thereafter for term of supervision	Procedure 302.303 302.601	Timeliness and Accuracy of Court Data – Additional human resources need to expedite process
9.	Manage Drug/Substance Abuse Testing	Within 1 working day of offender's drug test data	Procedure 302.303 302.601	Timeliness and Accuracy of Testing Results – Additional human resources need to expedite process



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Core Process H – Supervise Offender				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
10.	Manage Investigations	Immediately upon notice Note: Other time requirements are detailed in the “Investigation” sub-process section.	Procedure 302.105	Timeliness and Accuracy of Court Data – Additional human resources need to expedite process
11.	Manage Curfew Compliance	Quarterly curfew compliance checks will be conducted as part of community control supervision	Procedure 302.303	Timeliness and Accuracy of Investigation of Travel – Additional human resources need to expedite process
11.	Manage Community Travel	Not to exceed 30 consecutive days (longer will be considered as a “Transfer”)	Procedure 302.306	Timeliness and Accuracy of Investigation of Travel – Additional human resources need to expedite process
12.	Release Offender	Within 48 hours of offender being released from supervision, Field Officer will notify local law enforcement	Procedure 302.303	N/A
12.	Release Offender	Within 90 days of offender being released from supervision, Field Officer will verify status of financial obligations related to COPS	Procedure 302.303	In case of multiple offenders making COPS payments to a single payee, there may be an issue of joint and severability of payments and how OBIS handles these situations
12.	Release Offender	Within 60 days the Field Officer will have prepared to purge and close offender file	Procedure 302.325	N/A



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Core Process H – Supervise Offender				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
13.	Manage Violations	Immediately investigated upon receiving notice of offender’s arrest or non-compliance becomes known	Procedure 302.303	Timeliness and Accuracy of Investigation of Violation – Additional human resources need to expedite process
14.	Transfer Offender (Intrastate)	Within 10 days of receiving offender’s transfer request, a decision to accept or reject transfer will be completed	Procedure 302.306	N/A
15.	Take Action on Violation	Close of business the day after a warrantless arrest is made a Violation Report is filed	Procedure 302.303	Timeliness and Accuracy of Investigation of Violation – Additional human resources need to expedite process
15.	Take Action on Violation	Immediately conduct a “Warrantless Arrest” upon known violation OR “Plain View Observation”	Procedure 302.311 302.303	Timeliness and Accuracy of Investigation of Violation – Additional human resources need to expedite process
15.	Take Action on Violation	Within 24 hours Supervisor will notify the circuit administrator of the warrantless arrest and the location of the offender	Procedure 302.303	Timeliness and Accuracy of Investigation of Violation – Additional human resources need to expedite process
15.	Take Action on Violation	Within 24 hours Supervisor will notify local law enforcement to dismiss violation	Procedure 302.303	Timeliness and Accuracy of Investigation of Violation – Additional human resources need to expedite process



2.4 PAPER DOCUMENTATION

This section describes the paper documents required to complete the activities that make up the Supervise Offender core process. The reference column refers to the originator and title of policy, procedure, or instruction that contains the form or specifies the content of the document, if any. More than one document may be required to carry out a single activity, so each is listed.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Document Title	Short title, form number or other designation for the document.
Document Description	General description of the document contents and purpose.
Reference or Source	Title of the source instruction or policy.

Table 2.4-1 Paper Documentation

Core Process H – Supervise Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
1.	Intake Offender at Field Office	Initial 60 Day Review (DC3-242)	A checklist is completed and an in-depth review of specific activities are performed in an initial 60 day period of time	Procedure 302.120
1.	Intake Offender at Field Office	Initial Reporting Instructions (DC3-298)	Document that informs Field Office of terms and conditions of supervision on a receiving offender	Procedure 302.120 302.012
1.	Intake Offender at Field Office	Offender Financial Obligation Agreement (OFOA)	Document that is utilized as a payment plan verification for court ordered payments for the offender	Procedure 302.120
1.	Intake Offender at Field Office	COS/EM/ADM Statutory Exemption Worksheet	Form that is used to record the offender's gross monthly income to determine possible exemption of all or part of the owed charges	Procedure 302.120
1.	Intake Offender at Field Office	COPS Change Form	Form that is used to record any changes to financial obligation status, rate of payment, payment errors, etc.	Procedure 302.120



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Core Process H – Supervise Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
2.	Conduct Offender Orientation	Offender Supervision Packet	Packet contains all terms and conditions of supervision specific to the offender's individual case	Procedure 302.120
2.	Conduct Offender Orientation	Instructions to the Offender (DC3-246)	Form that instructs and requires signature from the offender on the general and specific activities and rules associated with their supervision	Procedure 302.120
2.	Conduct Offender Orientation	Offender Information Sheet and Reporting Instructions (DC3-297)	Form that details the terms and conditions of supervision	Procedure 302.120
3.	Monitor and Supervise Offender	Community Control Offender Schedule and Daily Activity Log (DC3-207)	Document that records daily activities of the offender (Community Control Offender)	Procedure 302.306
8.	Manage Transfer Requests	Intrastate Transfer Request (DC3-237)	Form to initiate the process of transferring an offender between counties or offices or states. All other forms are detailed in the Transfer Sub-process.	Procedure 302.306
9.	Manage Drug/Substance Abuse Testing	Positive Drug Urinalysis Statement (DC3-289)	Form that documents offender's positive drug test results	Procedure 302.601
9.	Manage Drug/Substance Abuse Testing	Specimen Collection Control Log (DC3-290)	Form that documents offenders that have been tested and the corresponding demographic data	Procedure 302.601



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Core Process H – Supervise Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
9.	Manage Drug/Substance Abuse Testing	Special Test Request (DC5-405)	Form that Field Officers will complete if requesting a gas chromatography/mass spectrometry	Procedure 302.601
9.	Manage Drug/Substance Abuse Testing	Community Supervision Program Referral (DC5-404)	Form that Field Officers will complete if requesting that an offender be placed under a treatment program or evaluation	Procedure 302.601
11.	Manage Community Travel	Travel Permit (DC3-220)	Document that permits offender permission for temporary travel	Procedure 302.306
13.	Manage Violations	Violation Report (DC3-202) AND Amended Violation Report	Documents an investigation submitted to the sentencing authority by the probation Field Officer when there is evidence an offender may have violated one or more conditions of supervision	Procedure 302.303 302.105
13.	Manage Violations	FCIC II Secondary Dissemination Log (DC3-245)	Documents an offender's criminal history via a Florida and National database search	Procedure 302.006
13.	Manage Violations	Consent for Authorization for Use and Disclosure Inspection and Release of Confidential Information (DC4-711B)	Documents an offender's substance abuse treatment records	Procedure 302.303 302.105



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Core Process H – Supervise Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
13.	Manage Violations	Affidavit of Violation of Probation (DC3-216)	Affidavit stating that Field Officer attests to the fact that the offender has violated terms and conditions of probation	Procedure 302.303
13.	Manage Violations	Affidavit of Violation of Probation (DC3-216)	Affidavit stating that Field Officer attests to the fact that the offender has violated terms and conditions of probation	Procedure 302.303
15.	Take Action on Violation	Probable Cause Affidavit, Violation of Community Supervision (DC3-2015)	Affidavit of probable cause utilized by local law enforcement when conducting a Warrantless Arrest	Procedure 302.303
15.	Take Action on Violation	Technical Violation Notification (Form Letter)	Letter from Supervisor notifying of violation to the appropriate sentencing authority (Judge)	Procedure 302.303
15.	Take Action on Violation	Order Dismissing Affidavit (DC3-270)	Affidavit dismissing violation	Procedure 302.303
15.	Take Action on Violation	Order Dismissing Warrant (DC3-271)	Order dismissing violation warrant	Procedure 302.303
15.	Take Action on Violation	Order of Modification of Probation (DC3-274)	Order modifying probation	Procedure 302.303
15.	Take Action on Violation	Order of Revocation of	Order revoking probation	Procedure 302.303



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Core Process H – Supervise Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
		Probation (DC3-259)		
15.	Take Action on Violation	Court Order Terminating Probation (DC3-258)	Order terminating probation	Procedure 302.303



2.5 BUSINESS SYSTEM DATA ENTRY & DATA TRANSFER

This section describes the business systems that are employed directly (touched) or indirectly (data transfer) in the course of the Supervise Offender core process.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Business System	The name or designation of the system touched (if any).
Purpose or Intent	The business objective accomplished by using the system or systems.
Mode	Choose one: "Input" for data entry by the user, "Query" for data retrieved by the user, and "TXFR" for electronic data transfer from one system to another.

Table 2.5-1 Business System Data Entry & Data Transfer

Core Process H – Supervise Offender				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
1.	Intake Offender at Field Office	OBIS	OBIS entries are made to retrieve offender data and sentencing data	Input/Query
2.	Conduct Offender Orientation	OBIS	OBIS case notes entries are made to document results and any special notes on offender case	Input/Query
3.	Monitor and Supervise Offender	OBIS	OBIS case notes entries are made in the normal routine of monitoring and supervising offenders at the Field Office and in the field	Input/Query
4.	Verify Employment	OBIS	OBIS case notes entries are made in the normal routine of verifying and communicating with the offender's employer	Input/Query
5.	Verify Residence	OBIS	OBIS case notes entries are made in the normal routine of verifying the offender's residence	Input/Query
6.	Contact and Visit	OBIS	OBIS case notes entries are made in the normal routine of monitoring and supervising offender's at the Field Office and in the field	Input/Query



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Core Process H – Supervise Offender				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
7.	Manage Terms and Conditions	OBIS	OBIS case notes entries and updates to special conditions screens are made in the normal routine of verifying the offender's daily activities and how the offender is following the terms and conditions of their supervision	Input/Query
8.	Manage Transfer Requests	OBIS	OBIS case notes entries are made to document request for investigations, approval/denial of transfer, reporting instructions in case notes, etc. Note: Other Data entry & Data Transfer requirements are detailed in the "Transfer" Sub-process.	Input/Query
9.	Manage Drug/Substance Abuse Testing	OBIS	OBIS case notes entries are made to document testing results required testing frequency and method. Results of any drug testing performed are also recorded in OBIS	Input/Query
10.	Manage Investigations	OBIS	OBIS case notes entries are made to document and process all 28 types of investigations. Note: Other Data entry & Data Transfer requirements are detailed in the "Transfer" Sub-process.	Input/Query
11.	Manage Community Travel	OBIS	OBIS case notes entries are made to document requested travel to other locations within the state	Input/Query
12.	Release Offender	OBIS	OBIS case notes entries are made to document the offender's completion and the Field Officers review of final activities prior to the offender's release date from supervision	Input/Query
13.	Manage Violations	E-Agent	A E-Agent is searched to insure no new arrests were made	Query



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Core Process H – Supervise Offender				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
13.	Manage Violations	OBIS	Florida Crime Information Center II / National Crime Information Center search is conducted to insure there are no new arrests of the offender	Query
13.	Manage Violations	OBIS	Investigative Tracking and Statistics (ITS) is accessed in order to enter the violation report data and insure an investigation is completed	Input/Query
14.	Transfer Offender	OBIS	OBIS case notes entries are made to document the receiving Field Office investigation, decisions and offender reporting instructions	Input/Query
15.	Take Action on Violation	OBIS	OBIS case notes entries are made to document violations, outcomes, and participants	Input/Query



2.6 MESSAGES

This section the messages, such as the US mail, emails, phone calls and any other correspondence, regularly used in the normal course of the Supervise Offender core process. Messages are sent to convey required documentation, inform recipients about the status of an activity, to trigger the start or end of other activities, to grant or withdraw authorization, etc. This section only concerns messages sent during normal (as intended) operations. Trouble calls and other messages associated with recurring abnormal operations should be listed in Section 2.7 – Process Issues & Recommendations. There may be more than one message associated with an activity.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Message Type	US mail, email, phone call, etc.
Message Purpose	The intended purpose for sending the message.
Message Recipient	The organization and role of the intended recipient.

Table 2.6-1 Messages

Core Process H – Supervise Offender				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
3.	Monitor and Supervise Offender	Phone	Alerts local law enforcement that an offender has an active warrant issued and can be arrested	Law Enforcement
7.	Manage Terms and Conditions	Phone / Email / Interoffice (internal messages)	Actions that need to be taken to insure that the offender’s supervision and all terms and conditions are being reviewed and followed on a regular schedule	Employers, Courts, Field Offices
8.	Manage Transfer Requests	Phone / Email / Interoffice (internal messages)	Actions that need to be taken to insure that the offender’s transfer request is being reviewed and processed	Other Field Offices



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Core Process H – Supervise Offender				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
10.	Manage Investigations	Phone / Email / Interoffice (internal messages)	Actions that need to be taken to insure that a requested investigation is being reviewed and acted on	Courts, Other Field Offices, Other States, Law Enforcement
11.	Manage Community Travel	Phone / Email (internal messages)	Actions that need to be taken to insure that the offender’s travel request is being reviewed and acted on	Other Field Offices
13.	Manage Violations	Phone / Email / Interoffice (internal messages)	Actions that need to be taken to insure that the offender’s violation of supervision and all terms and conditions are being reviewed and acted on	Field Office
15.	Take Action on Violation	Phone / Email / Fax	Actions that need to be taken to insure that the offender’s violation of supervision is being prosecuted	Sentencing Authority



2.7 PROCESS ISSUES & RECOMMENDATIONS

This section lists the issues that have arisen while analyzing the Supervise Offender core process. These are the difficulties that result in an activity losing its effectiveness, degrading its efficiency and hindering its adaptability. Each activity can have more than one issue associated with it.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Issue	Short description for the issue.
Impact	Impacts or consequences of the issue (e.g., confusion, delay, error, incident).
Recommendation	Recommendation for addressing the issue or reducing its impact (if any).

Table 2.7-1 Process Issues and Recommendations

Core Process H – Supervise Offender				
Index Number	Activity Label	Issue	Impact	Recommendation
1.	Intake Offender at Field Office	There is a delay in receiving the Probation Order from the courts for various reasons (e.g., scheduling, staffing).	<p>The Field Officer could be supervising the offender differently than what has been ordered by the court.</p> <p>Field Officer may not be aware of this offender being ordered to electronic monitoring, court ordered payments etc. This could result in a public or Field Officer safety issue.</p>	Require a representative from Community Corrections (e.g., Court Officer), to attend court hearings to expedite production and delivery of the Probation Order from the court to the local Field Office.



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Core Process H – Supervise Offender				
Index Number	Activity Label	Issue	Impact	Recommendation
1.	Intake Offender at Field Office	The Field Office is not receiving complete reporting instructions from Institutions on health related information.	<p>The offender may not be referred to appropriate treatment programs.</p> <p>Field Officer may not be aware of mental conditions or requirements for prescription drugs.</p> <p>This could result in a public or Field Officer safety issue.</p>	Investigate the ability to share medical information (e.g., psychological evaluations, drug prescription, prior treatment programs) in order for Field Officers to share and view inmate medical records.
1.	Intake Offender at Field Office	Partial or no data sharing to/from Sentencing Authorities, Interstate Compact, FDLE, Local Law Enforcement to Community Corrections.	Field Officer could have better data from which to improve the management of supervision.	<p>Investigate the ability to obtain and exchange complete and real-time offender data from local/state/federal law enforcement agencies.</p> <p>This would allow real time access to the offender's total history instead of having to access different systems to gather the data manually and then updating OBIS.</p>



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Core Process H – Supervise Offender				
Index Number	Activity Label	Issue	Impact	Recommendation
2.	Conduct Offender Orientation	The Field Officer may not have all of the necessary special conditions information for an offender in order to conduct a thorough and complete orientation.	Field Officer could have better data from which to improve the management of supervision.	Investigate the ability to obtain complete special conditions terms of supervision directly from the court's data management system at the time of supervision sentencing.
3.	Monitor and Supervise Offender	Field Officers are restricted in their ability to access real time offender information in the field (e.g., arrest data, offender demographics, etc.) that impedes their ability to supervise efficiently and ability to avoid potentially dangerous situations in the field.	The inability to access real time offender data wastes valuable resources (e.g., staff, time etc.) and possibly creates safety issues to the public and the Field Officer.	Provide Field Officers the technology hardware that will enable mobile access to this data while in the field.
13.	Manage Violations	The activity of managing violations of probation is labor intensive and requires communication and input from multiple sources (e.g., other Field Offices, offender's neighbors, law enforcement, sentencing authorities, etc.).	Underutilized resources (e.g., staff, time etc.)	Investigate the ability to better control the assignments of and the actions required for an investigation by utilizing an electronic scheduling and notification application.



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Core Process H – Supervise Offender				
Index Number	Activity Label	Issue	Impact	Recommendation
14.	Transfer Offender	The activity of managing offender transfers (Interstate / Intrastate) is labor intensive and requires communication and input from multiple sources (e.g., other Field Offices, Interstate Compact offices, other county/state Field Offices, sentencing authorities, etc.).	Underutilized resources (e.g., staff, time etc.)	Investigate the ability to better control the assignments of and the actions required for an investigation by utilizing an electronic scheduling and notification application.

E. Draft High Level Functional and Technical Requirements

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 Background and Strategic Needs Assessment section of this document are included here.

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REQ ID	Category	Requirement Description	Requirement	Mandatory?
TEC.00.00.1	Database Architecture	require relevant offender data cleansed and converted from current DC applications into the new application database.	The system shall require relevant offender data cleansed and converted from current DC applications into the new application database.	Mandatory
TEC.00.00.2	Database Architecture	employ defined data standards (e.g., consistent data schema, data element, data class, field lengths, data tables, view naming conventions).	The system shall employ defined data standards (e.g., consistent data schema, data element, data class, field lengths, data tables, view naming conventions).	Mandatory
TEC.00.00.3	Database Architecture	provide a data history for XXX years.	The system shall provide a data history for XXX years.	Mandatory
TEC.00.00.4	Database Architecture	provide the ability to associate supporting documentation (e.g., scanned documents) with a system record.	The system shall provide the ability to associate supporting documentation (e.g., scanned documents) with a system record.	Mandatory
TEC.00.00.5	Database Architecture	provide the ability to modify existing record attributes while maintaining referential integrity (e.g., associating notes with a different offender or inmate, associating notes with a different case).	The system shall provide the ability to modify existing record attributes while maintaining referential integrity (e.g., associating notes with a different offender or inmate, associating notes with a different case).	Mandatory
TEC.00.00.6	Database Architecture	employ a data model which enforces referential integrity.	The system shall employ a data model which enforces referential integrity.	Mandatory
TEC.00.00.7	Database Architecture	employ a relational database.	The system shall employ a relational database.	Mandatory
TEC.00.00.8	Database Architecture	provide data quality editing, consistency and validity checks on data elements at the database level.	The system shall provide data quality editing, consistency and validity checks on data elements at the database level.	Mandatory
TEC.00.00.9	Database Architecture	provide tools to perform integrity checks by comparison against tables, schemas, and data elements.	The system shall provide tools to perform integrity checks by comparison against tables, schemas, and data elements.	Mandatory
TEC.00.00.10	Development And Support Services	provide the ability to track and report inactive accounts for specified time periods.	The system shall provide the ability to track and report inactive accounts for specified time periods.	Mandatory
TEC.00.00.11	Development And Support Services	provide defined and documented procedures and processes to restart system components and recover and restore incomplete transactions.	The system shall provide defined and documented procedures and processes to restart system components and recover and restore incomplete transactions.	Mandatory
TEC.00.00.12	Development And Support Services	provide a mechanism for recording and viewing system errors and warnings.	The system shall provide a mechanism for recording and viewing system errors and warnings.	Mandatory
TEC.00.00.13	Development And Support Services	provide a mechanism to notify the system administrator when definable performance and storage thresholds are exceeded.	The system shall provide a mechanism to notify the system administrator when definable performance and storage thresholds are exceeded.	Mandatory
TEC.00.00.14	Development And Support Services	provide the ability to automatically backout "inflight" transactions in the event of a system problem, and provide an appropriate notification to the user.	The system shall provide the ability to automatically backout "inflight" transactions in the event of a system problem, and provide an appropriate notification to the user.	Mandatory
TEC.00.00.15	Development And Support Services	allow for maintenance and support performance activities to be carried out while the application and supporting systems are on line (e.g., "Hot" backup procedures).	The system shall allow for maintenance and support performance activities to be carried out while the application and supporting systems are on line (e.g., "Hot" backup procedures).	Mandatory
TEC.00.00.16	Development And Support Services	provide the ability to alert appropriate users to system events (e.g., system status, maintenance outages, shutdown advisories).	The system shall provide the ability to alert appropriate users to system events (e.g., system status, maintenance outages, shutdown advisories).	Mandatory
TEC.00.00.17	Development And Support Services	provide the ability for a system administrator to independently select and review the actions of any one or more users, including privileged users, based on individual user identity.	The system shall provide the ability for a system administrator to independently select and review the actions of any one or more users, including privileged users, based on individual user identity.	Mandatory

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REQ ID	Category	Requirement Description	Requirement	Mandatory?
TEC.00.00.18	Development And Support Services	include the following system documentation (at a minimum): System flowcharts System narratives Program flowcharts Program narratives Functional flowchart Business procedural documentation Source code Electronic user manual Screen layouts Report layouts Crosswalk of files and tables used to program Entity relationship diagrams Data dictionary Database model Database set-up procedures System implementation and update procedures System administration procedures Error Message Documentation Recovery Scripts and Procedures Interface Diagrams and Specifications	The system shall include the following system documentation (at a minimum): System flowcharts System narratives Program flowcharts Program narratives Functional flowchart Business procedural documentation Source code Electronic user manual Screen layouts Report layouts Crosswalk of files and tables used to program Entity relationship diagrams Data dictionary Database model Database set-up procedures System implementation and update procedures System administration procedures Error Message Documentation Recovery Scripts and Procedures Interface Diagrams and Specifications	Mandatory
TEC.00.00.19	Development And Support Services	provide the ability to track the reason for system failures.	The system shall provide the ability to track the reason for system failures.	Mandatory
TEC.00.00.20	Development And Support Services	provide the ability to capture and report system exceptions.	The system shall provide the ability to capture and report system exceptions.	Mandatory
TEC.00.00.21	Development And Support Services	provide the ability to assign a severity level to a system exception.	The system shall provide the ability to assign a severity level to a system exception.	Mandatory
TEC.00.00.22	Development And Support Services	provide configurable messages to the user in the event of a system error (e.g., technical information, resolution required).	The system shall provide configurable messages to the user in the event of a system error (e.g., technical information, resolution required).	Mandatory
TEC.00.00.23	Development And Support Services	provide the ability to generate notifications based on interface transmission success or failure.	The system shall provide the ability to generate notifications based on interface transmission success or failure.	Mandatory
TEC.00.00.24	Development And Support Services	provide the ability to present an error list for failed data exports.	The system shall provide the ability to present an error list for failed data exports.	Mandatory
TEC.00.00.25	Development And Support Services	provide the ability to present an error list for failed data imports or empty files.	The system shall provide the ability to present an error list for failed data imports or empty files.	Mandatory
TEC.00.00.26	Development And Support Services	provide the ability to report on interface transmissions (e.g., total number of records loaded, date of interface transmission, amount of time to execute the interface transmission, errors, failures).	The system shall provide the ability to report on interface transmissions (e.g., total number of records loaded, date of interface transmission, amount of time to execute the interface transmission, errors, failures).	Mandatory
TEC.00.00.27	Development And Support Services	provide the ability to restart an interface transmission from a specific point (e.g., restart at failed record, restart from beginning).	The system shall provide the ability to restart an interface transmission from a specific point (e.g., restart at failed record, restart from beginning).	Mandatory
TEC.00.00.28	Development And Support Services	provide the ability to log security events (e.g., failed logon attempts, amendment of user rights, deletion of users).	The system shall provide the ability to log security events (e.g., failed logon attempts, amendment of user rights, deletion of users).	Mandatory
TEC.00.00.29	Development And Support Services	provide the ability for a local system administrator to administer local user accounts.	The system shall provide the ability for a local system administrator to administer local user accounts.	Mandatory
TEC.00.00.30	Development And Support Services	provide the ability for an authorized user to configure a retention schedule for records and documents.	The system shall provide the ability for an authorized user to configure a retention schedule for records and documents.	Mandatory
TEC.00.00.31	Development And Support Services	include tools for automated scheduling of system support events (e.g., data backup, external interface processing, batch processing).	The system shall include tools for automated scheduling of system support events (e.g., data backup, external interface processing, batch processing).	Mandatory
TEC.00.00.32	Development And Support Services	include tools for system backups and restores (e.g., data backup, system configuration backup).	The system shall include tools for system backups and restores (e.g., data backup, system configuration backup).	Mandatory

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REQ ID	Category	Requirement Description	Requirement	Mandatory?
TEC.00.00.33	Development And Support Services	include tools for monitoring and reporting capacity for all system components.	The system shall include tools for monitoring and reporting capacity for all system components.	Mandatory
TEC.00.00.34	Development And Support Services	include tools for monitoring and reporting performance for all system components.	The system shall include tools for monitoring and reporting performance for all system components.	Mandatory
TEC.00.00.35	Development And Support Services	include tools for comparing monitoring results against historical measures.	The system shall include tools for comparing monitoring results against historical measures.	Mandatory
TEC.00.00.36	Development And Support Services	include tools to allow the system administrator to manage user accounts (e.g., create new accounts, inactivate existing accounts, reset password).	The system shall include tools to allow the system administrator to manage user accounts (e.g., create new accounts, inactivate existing accounts, reset password).	Mandatory
TEC.00.00.37	Development And Support Services	include tools to allow remote system administration.	The system shall include tools to allow remote system administration.	Mandatory
TEC.00.00.38	Development And Support Services	include tools for customizing the system (e.g., adding functionality, modifying existing functionality, modifying configuration settings).	The system shall include tools for customizing the system (e.g., adding functionality, modifying existing functionality, modifying configuration settings).	Mandatory
TEC.00.00.39	Development And Support Services	include tools to create and maintain online help content specific to the functionality accessed (e.g., data field information, business rules related to the functionality, general operation).	The system shall include tools to create and maintain online help content specific to the functionality accessed (e.g., data field information, business rules related to the functionality, general operation).	Mandatory
TEC.00.00.40	Development And Support Services	provide the ability to monitor the number of successful and unsuccessful access attempts.	The system shall provide the ability to monitor the number of successful and unsuccessful access attempts.	Mandatory
TEC.00.00.41	Development And Support Services	allow security coordinators to reset passwords without knowing the existing password.	The system shall allow security coordinators to reset passwords without knowing the existing password.	Mandatory
TEC.00.00.42	Development And Support Services	include recovery procedures for all the backups taken.	The system shall include recovery procedures for all the backups taken.	Mandatory
TEC.00.00.43	Development And Support Services	provide the ability to maintain metrics of system activity (e.g., numbers of, types of users, search statistics).	The system shall provide the ability to maintain metrics of system activity (e.g., numbers of, types of users, search statistics).	Mandatory
TEC.00.00.44	Development And Support Services	include tools to allow a full system recovery in the event of a critical system failure.	The system shall include tools to allow a full system recovery in the event of a critical system failure.	Mandatory
TEC.00.00.45	Events And Scheduling	provide the ability to schedule an appointment. (e.g., date, time, location, participants)	The system shall provide the ability to schedule an appointment. (e.g., date, time, location, participants)	Mandatory
TEC.00.00.46	Events And Scheduling	provide the ability to attach documentation to the scheduled appointment.	The system shall provide the ability to attach documentation to the scheduled appointment.	Mandatory
TEC.00.00.47	Events And Scheduling	provide the ability to schedule events (e.g., appointments, reminders, notification generation, business process execution).	The system shall provide the ability to schedule events (e.g., appointments, reminders, notification generation, business process execution).	Mandatory
TEC.00.00.48	Events And Scheduling	provide the ability to modify existing scheduled events (e.g., begin date, end date, frequency, business process specific information).	The system shall provide the ability to modify existing scheduled events (e.g., begin date, end date, frequency, business process specific information).	Mandatory
TEC.00.00.49	Events And Scheduling	provide the ability to execute system events based on a user-configurable schedule.	The system shall provide the ability to execute system events based on a user-configurable schedule.	Mandatory
TEC.00.00.50	Events And Scheduling	provide the ability to associate the scheduled event with the appropriate system records (e.g., case record to an appointment).	The system shall provide the ability to associate the scheduled event with the appropriate system records (e.g., case record to an appointment).	Mandatory
TEC.00.00.51	Events And Scheduling	provide the ability to suspend a scheduled event.	The system shall provide the ability to suspend a scheduled event.	Mandatory
TEC.00.00.52	Events And Scheduling	provide the ability to cancel a scheduled event.	The system shall provide the ability to cancel a scheduled event.	Mandatory
TEC.00.00.53	Events And Scheduling	provide the ability to associate comments with the scheduled events.	The system shall provide the ability to associate comments with the scheduled events.	Mandatory
TEC.00.00.54	Events And Scheduling	provide the ability to notify the user of a scheduled event based on user-defined criteria (e.g., reminder time, delivery mechanism).	The system shall provide the ability to notify the user of a scheduled event based on user-defined criteria (e.g., reminder time, delivery mechanism).	Mandatory
TEC.00.00.55	Events And Scheduling	provide the ability to generate appointment confirmation notifications.	The system shall provide the ability to generate appointment confirmation notifications.	Mandatory
TEC.00.00.56	Events And Scheduling	provide the ability to maintain user-defined calendars for staff.	The system shall provide the ability to maintain user-defined calendars for staff.	Mandatory
TEC.00.00.57	Events And Scheduling	provide management with the ability to view all related calendars.	The system shall provide management with the ability to view all related calendars.	Mandatory
TEC.00.00.58	Events And Scheduling	provide the ability to maintain user-defined calendar information specific to business processes (e.g., release dates, assessment dates).	The system shall provide the ability to maintain user-defined calendar information specific to business processes (e.g., release dates, assessment dates).	Mandatory

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REQ ID	Category	Requirement Description	Requirement	Mandatory?
TEC.00.00.59	Events And Scheduling	provide the ability to maintain historical information related to scheduled events.	The system shall provide the ability to maintain historical information related to scheduled events.	Mandatory
TEC.00.00.60	Events And Scheduling	provide the ability to establish and maintain user-defined calendars and dates specific to business functionality (e.g., calendar for offender release).	The system shall provide the ability to establish and maintain user-defined calendars and dates specific to business functionality (e.g., calendar for offender release).	Mandatory
TEC.00.00.61	Interfaces And Interoperability	support a minimum of 128-bit encryption for the transmission of data (SSL 2.0).	The system shall support a minimum of 128-bit encryption for the transmission of data (SSL 2.0).	Mandatory
TEC.00.00.62	Interfaces And Interoperability	be implemented to ensure existing external system interfaces are maintained, as appropriate, and future interfaces can be easily created.	The system shall be implemented to ensure existing external system interfaces are maintained, as appropriate, and future interfaces can be easily created.	Mandatory
TEC.00.00.63	Interfaces And Interoperability	be implemented so that interfaces with current internal systems (e.g., OBIS, STORMS, etc.) are created as appropriate to support the phased implementation of the new system.	The system shall be implemented so that interfaces with current internal systems (e.g., OBIS, STORMS, etc.) are created as appropriate to support the phased implementation of the new system.	Mandatory
TEC.00.00.64	Interfaces And Interoperability	provide the ability to maintain external system information for interfaces (e.g., connection strings, file paths).	The system shall provide the ability to maintain external system information for interfaces (e.g., connection strings, file paths).	Mandatory
TEC.00.00.65	Interfaces And Interoperability	provide the ability to export system data in multiple formats (e.g., delimited file, user-defined format).	The system shall provide the ability to export system data in multiple formats (e.g., delimited file, user-defined format).	Mandatory
TEC.00.00.66	Interfaces And Interoperability	provide the ability to transmit the exported data through multiple methods (e.g., FTP, web service).	The system shall provide the ability to transmit the exported data through multiple methods (e.g., FTP, web service).	Mandatory
TEC.00.00.67	Interfaces And Interoperability	provide the ability to import data from other external systems.	The system shall provide the ability to import data from other external systems.	Mandatory
TEC.00.00.68	Interfaces And Interoperability	provide the ability to export data to other external systems.	The system shall provide the ability to export data to other external systems.	Mandatory
TEC.00.00.69	Interfaces And Interoperability	provide the ability to import data to the system in multiple formats.	The system shall provide the ability to import data to the system in multiple formats.	Mandatory
TEC.00.00.70	Interfaces And Interoperability	prevent the ability to import data based on a user's security profile.	The system shall prevent the ability to import data based on a user's security profile.	Mandatory
TEC.00.00.71	Interfaces And Interoperability	provide the ability to generate and execute scripts to import data.	The system shall provide the ability to generate and execute scripts to import data.	Mandatory
TEC.00.00.72	Interfaces And Interoperability	provide the ability to export accounting entries in a standard format.	The system shall provide the ability to export accounting entries in a standard format.	Mandatory
TEC.00.00.73	Interfaces And Interoperability	provide the ability to import accounting entries in a standard format.	The system shall provide the ability to import accounting entries in a standard format.	Mandatory
TEC.00.00.74	Interfaces And Interoperability	provide the ability to generate data extracts reasonably equivalent to those historically received during State Audits.	The system shall provide the ability to generate data extracts reasonably equivalent to those historically received during State Audits.	Mandatory
TEC.00.00.75	Interfaces And Interoperability	provide the ability to support internal and external feeds of data using common available protocols.	The system shall provide the ability to support internal and external feeds of data using common available protocols.	Mandatory
TEC.00.00.76	Notes	provide the ability to enter and display notes.	The system shall provide the ability to enter and display notes.	Mandatory
TEC.00.00.77	Notes	provide the ability for "threading" of notes.	The system shall provide the ability for "threading" of notes.	Mandatory
TEC.00.00.78	Notes	provide the ability to filter notes based on user-defined classifications (e.g., internal, external).	The system shall provide the ability to filter notes based on user-defined classifications (e.g., internal, external).	Mandatory
TEC.00.00.79	Notes	provide the ability to maintain user-defined note types (e.g., system generated, manually entered, comment).	The system shall provide the ability to maintain user-defined note types (e.g., system generated, manually entered, comment).	Mandatory
TEC.00.00.80	Notes	provide the ability to generate user-configurable notes based on system events (e.g., release of offender from institution, mental health assessment performed).	The system shall provide the ability to generate user-configurable notes based on system events (e.g., release of offender from institution, mental health assessment performed).	Mandatory
TEC.00.00.81	Notes	provide the ability to display notes based on classification (e.g., internal) and status (e.g., active).	The system shall provide the ability to display notes based on classification (e.g., internal) and status (e.g., active).	Mandatory
TEC.00.00.82	Notes	provide the ability to sort notes based on the characteristics of the note (e.g., date created, type of note).	The system shall provide the ability to sort notes based on the characteristics of the note (e.g., date created, type of note).	Mandatory
TEC.00.00.83	Notes	provide the ability to automatically populate case notes in associated records with details of generated notifications (e.g., user ID, type, date and time sent, recipient, format of transmission).	The system shall provide the ability to automatically populate case notes in associated records with details of generated notifications (e.g., user ID, type, date and time sent, recipient, format of transmission).	Mandatory

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REQ ID	Category	Requirement Description	Requirement	Mandatory?
TEC.00.00.84	Notes	provide basic word processing functionality for the entry and manipulation of text data (e.g., word wrap, spell check, font control).	The system shall provide basic word processing functionality for the entry and manipulation of text data (e.g., word wrap, spell check, font control).	Mandatory
TEC.00.00.85	Policies And Standards	ensure all automated interfaces with external partners shall adhere to the privacy and security policies established between the external partner and DC for the exchange of data.	The system shall ensure all automated interfaces with external partners shall adhere to the privacy and security policies established between the external partner and DC for the exchange of data.	Mandatory
TEC.00.00.86	Policies And Standards	comply with NIEM standards for data exchange.	The system shall comply with NIEM standards for data exchange.	Mandatory
TEC.00.00.87	Policies And Standards	comply with the Americans with Disabilities Act (Section 508 Standards).	The system shall comply with the Americans with Disabilities Act (Section 508 Standards).	Mandatory
TEC.00.00.88	Policies And Standards	comply with the Florida Accessible Electronic and Information Technology Act.	The system shall comply with the Florida Accessible Electronic and Information Technology Act.	Mandatory
TEC.00.00.89	Policies And Standards	comply with ISO 8601 date and time standards.	The system shall comply with ISO 8601 date and time standards.	Mandatory
TEC.00.00.90	Policies And Standards	provide data security with regard to electronic privacy and personal health information according to Health Insurance Portability and Accountability Act (HIPAA) regulations.	The system shall provide data security with regard to electronic privacy and personal health information according to Health Insurance Portability and Accountability Act (HIPAA) regulations.	Mandatory
TEC.00.00.91	Record Management And Audit	provide the ability of selectively maintaining audit-trail information by entity, which includes data actions such as read, write, update and delete, archiving and printing, and should also include date, time and function of the data action.	The system shall provide the ability of selectively maintaining audit-trail information by entity, which includes data actions such as read, write, update and delete, archiving and printing, and should also include date, time and function of the data action.	Mandatory
TEC.00.00.92	Record Management And Audit	provide historical records (log file) of table updates, including the user ID of who made the changes and the actual changes to include date and time as indicated in the Dept. of Corrections' data retention policies.	The system shall provide historical records (log file) of table updates, including the user ID of who made the changes and the actual changes to include date and time as indicated in the Dept. of Corrections' data retention policies.	Mandatory
TEC.00.00.93	Record Management And Audit	provide the ability to maintain a configurable audit trail of all actions performed to a document.	The system shall provide the ability to maintain a configurable audit trail of all actions performed to a document.	Mandatory
TEC.00.00.94	Record Management And Audit	provide the ability to maintain an audit trail of all generated notifications (e.g., user ID, date and time, type).	The system shall provide the ability to maintain an audit trail of all generated notifications (e.g., user ID, date and time, type).	Mandatory
TEC.00.00.95	Record Management And Audit	store audit information for each note (e.g., type, user, date and time created).	The system shall store audit information for each note (e.g., type, user, date and time created).	Mandatory
TEC.00.00.96	Record Management And Audit	maintain the following audit information for each record: User who created the record Date and time the record was created Last user to update the record Date and time the last update occurred Specific data updated	The system shall maintain the following audit information for each record: User who created the record Date and time the record was created Last user to update the record Date and time the last update occurred Specific data updated	Mandatory
TEC.00.00.97	Reporting	allow end-users with the appropriate access to modify report queries on-line.	The system shall allow end-users with the appropriate access to modify report queries on-line.	Mandatory
TEC.00.00.98	Reporting	provide on-line real-time reporting and query capability with the ability to reference a data dictionary	The system shall provide on-line real-time reporting and query capability with the ability to reference a data dictionary	Mandatory
TEC.00.00.99	Reporting	provide the ability to generate reports based on report specific user-defined parameters.	The system shall provide the ability to generate reports based on report specific user-defined parameters.	Mandatory
TEC.00.00.100	Reporting	allow the system administrator to set thresholds that provide notification to the administrator and terminate any query or report that significantly reduces system performance with appropriate notification to the user.	The system shall allow the system administrator to set thresholds that provide notification to the administrator and terminate any query or report that significantly reduces system performance with appropriate notification to the user.	Mandatory
TEC.00.00.101	Reporting	provide the ability to automatically cancel a query job if it fails to meet system administrator defined criteria (e.g., time limits).	The system shall provide the ability to automatically cancel a query job if it fails to meet system administrator defined criteria (e.g., time limits).	Mandatory
TEC.00.00.102	Reporting	provide the ability to route reports to various network printers as defined by an authorized user.	The system shall provide the ability to route reports to various network printers as defined by an authorized user.	Mandatory
TEC.00.00.103	Reporting	execute on-line reports in the background and allow users to continue processing.	The system shall execute on-line reports in the background and allow users to continue processing.	Mandatory

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REQ ID	Category	Requirement Description	Requirement	Mandatory?
TEC.00.00.104	Reporting	provide the ability for processing reports in batch.	The system shall provide the ability for processing reports in batch.	Mandatory
TEC.00.00.105	Reporting	allow the user or the administrator to delete any user created reports.	The system shall allow the user or the administrator to delete any user created reports.	Mandatory
TEC.00.00.106	Reporting	provide the ability for the end-user to view progress of any report.	The system shall provide the ability for the end-user to view progress of any report.	Mandatory
TEC.00.00.107	Reporting	provide the ability to schedule a report to run automatically if certain user defined conditions are met.	The system shall provide the ability to schedule a report to run automatically if certain user defined conditions are met.	Mandatory
TEC.00.00.108	Reporting	provide the ability to specify number of copies of report to be printed.	The system shall provide the ability to specify number of copies of report to be printed.	Mandatory
TEC.00.00.109	Reporting	provide the ability to print a range of pages.	The system shall provide the ability to print a range of pages.	Mandatory
TEC.00.00.110	Reporting	allow ad-hoc report/query definitions to be stored in private folders for use at a later time.	The system shall allow ad-hoc report/query definitions to be stored in private folders for use at a later time.	Mandatory
TEC.00.00.111	Reporting	allow ad-hoc report/query definitions to be stored in public libraries for use by other users.	The system shall allow ad-hoc report/query definitions to be stored in public libraries for use by other users.	Mandatory
TEC.00.00.112	Reporting	include graphical report layout tools to assist users in formatting reports and inquires.	The system shall include graphical report layout tools to assist users in formatting reports and inquires.	Mandatory
TEC.00.00.113	Reporting	provide authorized users the means of specifying form of output and distribution for reports (e.g., distribute to named users through email, print at local printer, print at remote printer, fax, distribute as data file through specified medium of transmission, email, etc.).	The system shall provide authorized users the means of specifying form of output and distribution for reports (e.g., distribute to named users through email, print at local printer, print at remote printer, fax, distribute as data file through specified medium of transmission, email, etc.).	Mandatory
TEC.00.00.114	Reporting	provide the ability to generate reports that include user-designed graphs and charts (e.g., organizational charts, line graphs, pie charts, regression lines).	The system shall provide the ability to generate reports that include user-designed graphs and charts (e.g., organizational charts, line graphs, pie charts, regression lines).	Mandatory
TEC.00.00.115	Reporting	provide the ability to create reports with defined calculations.	The system shall provide the ability to create reports with defined calculations.	Mandatory
TEC.00.00.116	Reporting	provide the ability to save report results in various formats (e.g., Microsoft Word, ASCII files, Microsoft Excel, Text files (.txt), PDF format, HTML, XML).	The system shall provide the ability to save report results in various formats (e.g., Microsoft Word, ASCII files, Microsoft Excel, Text files (.txt), PDF format, HTML, XML).	Mandatory
TEC.00.00.117	Reporting	provide the ability to print preview reports	The system shall provide the ability to print preview reports	Mandatory
TEC.00.00.118	Reporting	provide the ability for user-defined record selection and ordering in reports.	The system shall provide the ability for user-defined record selection and ordering in reports.	Mandatory
TEC.00.00.119	Reporting	provide the ability for year-to-year, month-to-month, period-to-period, year to date and life to date comparisons on reports.	The system shall provide the ability for year-to-year, month-to-month, period-to-period, year to date and life to date comparisons on reports.	Mandatory
TEC.00.00.120	Reporting	provide the ability to define control breaks and number of lines per page limits.	The system shall provide the ability to define control breaks and number of lines per page limits.	Mandatory
TEC.00.00.121	Reporting	support report distribution based on reporting conditions, such as user defined data values.	The system shall support report distribution based on reporting conditions, such as user defined data values.	Mandatory
TEC.00.00.122	Reporting	provide the ability to allow authorized users to design on-demand reports.	The system shall provide the ability to allow authorized users to design on-demand reports.	Mandatory
TEC.00.00.123	Reporting	provide the ability to sort, group and filter the data in a report.	The system shall provide the ability to sort, group and filter the data in a report.	Mandatory
TEC.00.00.124	Reporting	provide the ability to publish ad-hoc reports (to share the reports with other users).	The system shall provide the ability to publish ad-hoc reports (to share the reports with other users).	Mandatory
TEC.00.00.125	Reporting	provide the ability to include run-time parameters for ad-hoc reports.	The system shall provide the ability to include run-time parameters for ad-hoc reports.	Mandatory
TEC.00.00.126	Reporting	provide the ability to direct reports to multiple outputs including email, screen, printer, file).	The system shall provide the ability to direct reports to multiple outputs including email, screen, printer, file).	Mandatory
TEC.00.00.127	Reporting	maintain a consistent interface to all reports (e.g., single reporting tool for designing ad-hoc and on-demand reports, generation of report is executed from the same reporting tool).	The system shall maintain a consistent interface to all reports (e.g., single reporting tool for designing ad-hoc and on-demand reports, generation of report is executed from the same reporting tool).	Mandatory
TEC.00.00.128	Reporting	provide the ability to guide the user step-by-step through report creation.	The system shall provide the ability to guide the user step-by-step through report creation.	Mandatory
TEC.00.00.129	Reporting	provide the ability to report both calendar year and fiscal year (i.e., federal or state) data.	The system shall provide the ability to report both calendar year and fiscal year (i.e., federal or state) data.	Mandatory
TEC.00.00.130	Reporting	provide the ability to report on any data element in the system.	The system shall provide the ability to report on any data element in the system.	Mandatory

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REQ ID	Category	Requirement Description	Requirement	Mandatory?
TEC.00.00.131	Reporting	provide the ability for a user to add a report to the system (creating an on-demand report).	The system shall provide the ability for a user to add a report to the system (creating an on-demand report).	Mandatory
TEC.00.00.132	Reporting	provide the ability to execute on-demand reports.	The system shall provide the ability to execute on-demand reports.	Mandatory
TEC.00.00.133	Reporting	provide the ability to categorize reports into user-defined categories.	The system shall provide the ability to categorize reports into user-defined categories.	Mandatory
TEC.00.00.134	Reporting	support standard On-line Analytical Processing (OLAP) extraction, transmission, and formatting as it relates to reporting.	The system shall support standard On-line Analytical Processing (OLAP) extraction, transmission, and formatting as it relates to reporting.	Mandatory
TEC.00.00.135	Reporting	provide the ability to report on unrestricted date ranges.	The system shall provide the ability to report on unrestricted date ranges.	Mandatory
TEC.00.00.136	Reporting	provide the ability to indicate the report contains confidential data (e.g., disclaimer notice across the bottom of the report).	The system shall provide the ability to indicate the report contains confidential data (e.g., disclaimer notice across the bottom of the report).	Mandatory
TEC.00.00.137	Search And Navigation	provide the ability to search a range of data values	The system shall provide the ability to search a range of data values	Mandatory
TEC.00.00.138	Search And Navigation	provide the ability to include unstructured data in query results (e.g., Microsoft Word documents, Adobe Acrobat files)	The system shall provide the ability to include unstructured data in query results (e.g., Microsoft Word documents, Adobe Acrobat files)	Mandatory
TEC.00.00.139	Search And Navigation	provide query searching capabilities that can be used to search within a results set.	The system shall provide query searching capabilities that can be used to search within a results set.	Mandatory
TEC.00.00.140	Search And Navigation	support the use of "wild cards" in search and query functions.	The system shall support the use of "wild cards" in search and query functions.	Mandatory
TEC.00.00.141	Search And Navigation	provide the ability to perform full text searches.	The system shall provide the ability to perform full text searches.	Mandatory
TEC.00.00.142	Search And Navigation	provide the ability to perform keyword searches.	The system shall provide the ability to perform keyword searches.	Mandatory
TEC.00.00.143	Search And Navigation	provide the ability to perform advanced searches based on configurable criteria.	The system shall provide the ability to perform advanced searches based on configurable criteria.	Mandatory
TEC.00.00.144	Search And Navigation	provide the ability to combine multiple search criteria using logical 'AND', 'OR' and 'BETWEEN' operators.	The system shall provide the ability to combine multiple search criteria using logical 'AND', 'OR' and 'BETWEEN' operators.	Mandatory
TEC.00.00.145	Search And Navigation	provide the ability to sort search results.	The system shall provide the ability to sort search results.	Mandatory
TEC.00.00.146	Search And Navigation	provide the ability to execute advanced search functionality from any area within the system.	The system shall provide the ability to execute advanced search functionality from any area within the system.	Mandatory
TEC.00.00.147	Search And Navigation	provide the user with the total number of records found and total number of unduplicated records found matching the user's query.	The system shall provide the user with the total number of records found and total number of unduplicated records found matching the user's query.	Mandatory
TEC.00.00.148	Search And Navigation	provide the ability to navigate to the appropriate record selected (within the context of the search).	The system shall provide the ability to navigate to the appropriate record selected (within the context of the search).	Mandatory
TEC.00.00.149	Search And Navigation	allow users to save searches with user-defined names.	The system shall allow users to save searches with user-defined names.	Mandatory
TEC.00.00.150	Search And Navigation	provide the ability to specify the limit of the maximum number of records retrieved by a single query.	The system shall provide the ability to specify the limit of the maximum number of records retrieved by a single query.	Mandatory
TEC.00.00.151	Search And Navigation	provide the ability to filter the search results based on the user's security profile.	The system shall provide the ability to filter the search results based on the user's security profile.	Mandatory
TEC.00.00.152	Search And Navigation	require at least one search criteria is populated prior to executing a search.	The system shall require at least one search criteria is populated prior to executing a search.	Mandatory
TEC.00.00.153	Search And Navigation	provide the ability to search and retrieve records (or logical groups of records) matching compound search criteria (e.g., search for all Field Officers supervising Sex Offenders, in a specific geographic location to generate a Field Office profile listing).	The system shall provide the ability to search and retrieve records (or logical groups of records) matching compound search criteria (e.g., search for all Field Officers supervising Sex Offenders, in a specific geographic location to generate a Field Office profile listing).	Mandatory
TEC.00.00.154	Search And Navigation	provide the ability to group search results.	The system shall provide the ability to group search results.	Mandatory
TEC.00.00.155	Search And Navigation	provide the ability to export the search results in multiple formats.	The system shall provide the ability to export the search results in multiple formats.	Mandatory
TEC.00.00.156	Search And Navigation	provide a logical sequence of screens and fields enabling users to quickly access, modify, skip or jump to other areas of interest for data entry based on the customized user-defined specific workflow.	The system shall provide a logical sequence of screens and fields enabling users to quickly access, modify, skip or jump to other areas of interest for data entry based on the customized user-defined specific workflow.	Mandatory
TEC.00.00.157	Search And Navigation	provide the ability to click-through content access to attached documents.	The system shall provide the ability to click-through content access to attached documents.	Mandatory
TEC.00.00.158	Search And Navigation	provide the ability to access the menu structure or a navigation path while executing business functionality.	The system shall provide the ability to access the menu structure or a navigation path while executing business functionality.	Mandatory
TEC.00.00.159	Search And Navigation	provide the ability to prompt the user to save work in progress prior to navigating to a new business function.	The system shall provide the ability to prompt the user to save work in progress prior to navigating to a new business function.	Mandatory

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REQ ID	Category	Requirement Description	Requirement	Mandatory?
TEC.00.00.160	Search And Navigation	provide the ability to open multiple screens/windows.	The system shall provide the ability to open multiple screens/windows.	Mandatory
TEC.00.00.161	Search And Navigation	support the use of user defined short-cut keys to move between modules and menus.	The system shall support the use of user defined short-cut keys to move between modules and menus.	Mandatory
TEC.00.00.162	Search And Navigation	allow navigation between related functionality without re-entering the original search criteria.	The system shall allow navigation between related functionality without re-entering the original search criteria.	Mandatory
TEC.00.00.163	Security	provide the ability to uniquely identify users by User ID.	The system shall provide the ability to uniquely identify users by User ID.	Mandatory
TEC.00.00.164	Security	limit a user's access to reports based on the user's security profile.	The system shall limit a user's access to reports based on the user's security profile.	Mandatory
TEC.00.00.165	Security	restrict the data presented in the report based on the access defined in the user's security profile.	The system shall restrict the data presented in the report based on the access defined in the user's security profile.	Mandatory
TEC.00.00.166	Security	provide the ability to assign a user to a specific organization (e.g., DC, specific Field Office, specific Institution).	The system shall provide the ability to assign a user to a specific organization (e.g., DC, specific Field Office, specific Institution).	Mandatory
TEC.00.00.167	Security	provide the ability to assign a user to a specific office location within the organization.	The system shall provide the ability to assign a user to a specific office location within the organization.	Mandatory
TEC.00.00.168	Security	provide the ability to associate a user to a specific business unit within the organization.	The system shall provide the ability to associate a user to a specific business unit within the organization.	Mandatory
TEC.00.00.169	Security	encrypt offender data on the data layer.	The system shall encrypt offender data on the data layer.	Mandatory
TEC.00.00.170	Security	provide the ability to enforce password policies defined by DC (e.g., complex passwords).	The system shall provide the ability to enforce password policies defined by DC (e.g., complex passwords).	Mandatory
TEC.00.00.171	Security	ensure that data integrity is protected from tampering, forgery, or accidental changes.	The system shall ensure that data integrity is protected from tampering, forgery, or accidental changes.	Mandatory
TEC.00.00.172	Security	ensure transactions and messages are accurately received as they were sent and information is not altered by computer errors or non-authorized individuals.	The system shall ensure transactions and messages are accurately received as they were sent and information is not altered by computer errors or non-authorized individuals.	Mandatory
TEC.00.00.173	Security	ensure confidentiality as an element of security that makes information available only to authorized entities. Data should be digitally secure with access restrictions to protect confidential information (e.g., personnel records and other sensitive internal data, juvenile data, health records).	The system shall ensure confidentiality as an element of security that makes information available only to authorized entities. Data should be digitally secure with access restrictions to protect confidential information (e.g., personnel records and other sensitive internal data, juvenile data, health records).	Mandatory
TEC.00.00.174	Security	provide access control that permits or denies access to the application, information, or other resources, based on parameters including the identity of the source system and the target.	The system shall provide access control that permits or denies access to the application, information, or other resources, based on parameters including the identity of the source system and the target.	Mandatory
TEC.00.00.175	Security	utilize roles, groups and sub-groups to provide granular security for all application components by individual component, screen, or web page.	The system shall utilize roles, groups and sub-groups to provide granular security for all application components by individual component, screen, or web page.	Mandatory
TEC.00.00.176	Security	provide multi-level security controls to prevent unauthorized use of system and corruption of data, restrict access to the database, maintain database process controls, and log all database transactions. Support access restriction capability to: Application Modile Screens and Tables Reports Data Elements Functions (Add, Change, Delete, Inquiry) Electronic Documents (Electronic Approvals) Events Organizational Units	The system shall provide multi-level security controls to prevent unauthorized use of system and corruption of data, restrict access to the database, maintain database process controls, and log all database transactions. Support access restriction capability to: Application Modile Screens and Tables Reports Data Elements Functions (Add, Change, Delete, Inquiry) Electronic Documents (Electronic Approvals) Events Organizational Units	Mandatory
TEC.00.00.177	Security	provide for the prompting of password expiration at least XXX days prior to actual expiration.	The system shall provide for the prompting of password expiration at least XXX days prior to actual expiration.	Mandatory
TEC.00.00.178	Security	provide the user with a final warning to change his/her password prior to password expiration.	The system shall provide the user with a final warning to change his/her password prior to password expiration.	Mandatory
TEC.00.00.179	Security	provide the ability for a security coordinator to log out users when necessary to perform maintenance or other activities that require users to leave the System.	The system shall provide the ability for a security coordinator to log out users when necessary to perform maintenance or other activities that require users to leave the System.	Mandatory

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REQ ID	Category	Requirement Description	Requirement	Mandatory?
TEC.00.00.180	Security	provide the ability to disable log-on capabilities if unsuccessful password entry is attempted after a parameter-driven number of unsuccessful attempts.	The system shall provide the ability to disable log-on capabilities if unsuccessful password entry is attempted after a parameter-driven number of unsuccessful attempts.	Mandatory
TEC.00.00.181	Security	provide the ability to generate automatic notification of locked user accounts to security administrator.	The system shall provide the ability to generate automatic notification of locked user accounts to security administrator.	Mandatory
TEC.00.00.182	Security	provide the ability to report on user information (e.g., User ID status, user activity history, history of security profile changes for a user).	The system shall provide the ability to report on user information (e.g., User ID status, user activity history, history of security profile changes for a user).	Mandatory
TEC.00.00.183	Security	provide the ability to limit log-on of user Ids to one workstation at a time. If such functionality is enforced and the user attempts to log onto a workstation while already logged on another, provides a message that the user ID is already in use.	The system shall provide the ability to limit log-on of user Ids to one workstation at a time. If such functionality is enforced and the user attempts to log onto a workstation while already logged on another, provides a message that the user ID is already in use.	Mandatory
TEC.00.00.184	Security	restrict access to system functionality based on the user's security profile (e.g., restrict application modules, functions, screen options).	The system shall restrict access to system functionality based on the user's security profile (e.g., restrict application modules, functions, screen options).	Mandatory
TEC.00.00.185	Security	provide the ability to assign an expiration date to a user's security role (e.g., assume supervisor role for limited period of time).	The system shall provide the ability to assign an expiration date to a user's security role (e.g., assume supervisor role for limited period of time).	Mandatory
TEC.00.00.186	Security	provide the ability to suspend all user access on-demand.	The system shall provide the ability to suspend all user access on-demand.	Mandatory
TEC.00.00.187	Security	provide the ability to enforce the changing of passwords upon demand.	The system shall provide the ability to enforce the changing of passwords upon demand.	Mandatory
TEC.00.00.188	Security	provide the ability to establish standard "user profiles" from which individual user Ids may inherit privileges.	The system shall provide the ability to establish standard "user profiles" from which individual user Ids may inherit privileges.	Mandatory
TEC.00.00.189	Security	provide the ability to maintain nested user profiles for a single user.	The system shall provide the ability to maintain nested user profiles for a single user.	Mandatory
TEC.00.00.190	Security	provide online inquiry into the security tables by authorized security coordinators.	The system shall provide online inquiry into the security tables by authorized security coordinators.	Mandatory
TEC.00.00.191	Security	encrypt data tables storing password information.	The system shall encrypt data tables storing password information.	Mandatory
TEC.00.00.192	Security	provide the ability to inquire and report on individual user Ids and user profiles for authorized users.	The system shall provide the ability to inquire and report on individual user Ids and user profiles for authorized users.	Mandatory
TEC.00.00.193	Security	provide the ability for security coordinators to view the users granted specific access rights or levels.	The system shall provide the ability for security coordinators to view the users granted specific access rights or levels.	Mandatory
TEC.00.00.194	Security	provide the ability to define security parameters such as requiring users to use alphanumeric and numeric characters in passwords.	The system shall provide the ability to define security parameters such as requiring users to use alphanumeric and numeric characters in passwords.	Mandatory
TEC.00.00.195	Security	provide the ability to deactivate user logon ids after system administrator defined time of inactivity (days/weeks).	The system shall provide the ability to deactivate user logon ids after system administrator defined time of inactivity (days/weeks).	Mandatory
TEC.00.00.196	Security	provide the ability to employ security based on permissions that grant or restrict a user's ability to view or modify records in the system. Permission shall include no access, view only access, change access rights, and delete record rights.	The system shall provide the ability to employ security based on permissions that grant or restrict a user's ability to view or modify records in the system. Permission shall include no access, view only access, change access rights, and delete record rights.	Mandatory
TEC.00.00.197	Security	prevent the ability to export data based on a user's security profile.	The system shall prevent the ability to export data based on a user's security profile.	Mandatory
TEC.00.00.198	Security	prevent the ability to print based on a user's security profile.	The system shall prevent the ability to print based on a user's security profile.	Mandatory
TEC.00.00.199	Security	allow a System Administrator to control document security at both the document level and index field level.	The system shall allow a System Administrator to control document security at both the document level and index field level.	Mandatory
TEC.00.00.200	Security	support fine-grained security control over objects (e.g., documents, images) and object types (e.g., individual types of documents or images such as medical forms or convictions) stored in the system so that only authorized users can access these types of documents.	The system shall support fine-grained security control over objects (e.g., documents, images) and object types (e.g., individual types of documents or images such as medical forms or convictions) stored in the system so that only authorized users can access these types of documents.	Mandatory
TEC.00.00.201	Security	prevent editing previously generated notifications.	The system shall prevent editing previously generated notifications.	Mandatory
TEC.00.00.202	Security	prevent deleting previously generated notifications.	The system shall prevent deleting previously generated notifications.	Mandatory
TEC.00.00.203	Security	not display a password in clear text.	The system shall not display a password in clear text.	Mandatory
TEC.00.00.204	Security	provide the ability to configure access and session inactivity and establish "timeout" parameters.	The system shall provide the ability to configure access and session inactivity and establish "timeout" parameters.	Mandatory

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REQ ID	Category	Requirement Description	Requirement	Mandatory?
TEC.00.00.205	Security	provide a single integrated login to access all functionality within the system.	The system shall provide a single integrated login to access all functionality within the system.	Mandatory
TEC.00.00.206	Security	provide the ability to maintain a user-configurable parameter for requiring the user to change their password (e.g., every month, 15 days).	The system shall provide the ability to maintain a user-configurable parameter for requiring the user to change their password (e.g., every month, 15 days).	Mandatory
TEC.00.00.207	Security	provide the ability to authenticate the user at the time of user login.	The system shall provide the ability to authenticate the user at the time of user login.	Mandatory
TEC.00.00.208	Security	provide the ability to disable user access while the user is in an active session.	The system shall provide the ability to disable user access while the user is in an active session.	Mandatory
TEC.00.00.209	Security	retrieve the security role(s) assigned to the user at the time of user login.	The system shall retrieve the security role(s) assigned to the user at the time of user login.	Mandatory
TEC.00.00.210	Security	assign the associated security role(s) to the user at the time of user login.	The system shall assign the associated security role(s) to the user at the time of user login.	Mandatory
TEC.00.00.211	Security	provide the ability to enforce user-defined password strength.	The system shall provide the ability to enforce user-defined password strength.	Mandatory
TEC.00.00.212	Security	prevent unauthorized users from editing of existing notes.	The system shall prevent unauthorized users from editing of existing notes.	Mandatory
TEC.00.00.213	Security	prevent unauthorized users from deleting existing notes.	The system shall prevent unauthorized users from deleting existing notes.	Mandatory
TEC.00.00.214	Security	provide the ability to mark comments or notes in records as "Confidential" which will prevent the data from dissemination in public record requests.	The system shall provide the ability to mark comments or notes in records as "Confidential" which will prevent the data from dissemination in public record requests.	Mandatory
TEC.00.00.215	Security	provide the ability to mark data as "Confidential" or "Restricted" to prevent access to un-authorized information.	The system shall provide the ability to mark data as "Confidential" or "Restricted" to prevent access to un-authorized information.	Mandatory
TEC.00.00.216	Security	provide the ability to employ security based on permissions that grant or restrict a user's ability to view and/or modify documents in the system. Permissions shall include (at a minimum) "no" access (i.e. cannot view or access a document), view-only, modify a document, modify a document's index values, change access rights on a document, and delete a document.	The system shall provide the ability to employ security based on permissions that grant or restrict a user's ability to view and/or modify documents in the system. Permissions shall include (at a minimum) "no" access (i.e. cannot view or access a document), view-only, modify a document, modify a document's index values, change access rights on a document, and delete a document.	Mandatory
TEC.00.00.217	Security	provide the ability to administer security from the central office or a remote location (e.g., specific Field Offices administer security access for their own staff, specific Institutions administer security access for their	The system shall provide the ability to administer security from the central office or a remote location (e.g., specific Field Offices administer security access for their own staff, specific Institutions administer security access for their own staff).	Mandatory
TEC.00.00.218	Security	provide the ability for an authorized user to assign different access levels to individual users or groups of users.	The system shall provide the ability for an authorized user to assign different access levels to individual users or groups of users.	Mandatory
TEC.00.00.219	Security	provide the ability for an authorized user to assign individual users to groups and manage access controls and permissions at the group level.	The system shall provide the ability for an authorized user to assign individual users to groups and manage access controls and permissions at the group level.	Mandatory
TEC.00.00.220	Security	provide the ability to implement a scheme where part of any screen or any part or component on a screen can be hidden and / or disabled based on the role of the logged-in user.	The system shall provide the ability to implement a scheme where part of any screen or any part or component on a screen can be hidden and / or disabled based on the role of the logged-in user.	Mandatory
TEC.00.00.221	Security	provide the ability to implement a scheme where any system screen, by its unique name, can be set up to be accessible to a user role along with create, read, update and delete access rights.	The system shall provide the ability to implement a scheme where any system screen, by its unique name, can be set up to be accessible to a user role along with create, read, update and delete access rights.	Mandatory
TEC.00.00.222	Security	prevent the creation of duplicate user accounts.	The system shall prevent the creation of duplicate user accounts.	Mandatory
TEC.00.00.223	Security	provide the ability for an authorized user to create, read, update and delete user accounts.	The system shall provide the ability for an authorized user to create, read, update and delete user accounts.	Mandatory
TEC.00.00.224	Security	provide the ability for a user to be attached to more than one security role.	The system shall provide the ability for a user to be attached to more than one security role.	Mandatory
TEC.00.00.225	Security	provide the ability to assign role(s) to users effective for a specified date range.	The system shall provide the ability to assign role(s) to users effective for a specified date range.	Mandatory
TEC.00.00.226	Security	support Secure Sockets Layer (SSL).	The system shall support Secure Sockets Layer (SSL).	Mandatory
TEC.00.00.227	Security	support IP Protocol Security extension (IPSec).	The system shall support IP Protocol Security extension (IPSec).	Mandatory
TEC.00.00.228	Security	support S/MIME for email communications.	The system shall support S/MIME for email communications.	Mandatory

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REQ ID	Category	Requirement Description	Requirement	Mandatory?
TEC.00.00.229	Security	support cryptography (e.g., Advanced Encryption Standard, Data Encryption Standard).	The system shall support cryptography (e.g., Advanced Encryption Standard, Data Encryption Standard).	Mandatory
TEC.00.00.230	Security	provide access to data and functionality within the system based on the security role(s) and organization assigned to the user (e.g., access to confidential data, access to specific documentation, access to audit trail information, access to program information, access to financial data).	The system shall provide access to data and functionality within the system based on the security role(s) and organization assigned to the user (e.g., access to confidential data, access to specific documentation, access to audit trail information, access to program information, access to financial data).	Mandatory
TEC.00.00.231	Security	encrypt data transmission information (e.g., URLs, query strings, connection strings).	The system shall encrypt data transmission information (e.g., URLs, query strings, connection strings).	Mandatory
TEC.00.00.232	Security	employ a secure network environment (e.g., virus protection, firewalls, intrusion detection).	The system shall employ a secure network environment (e.g., virus protection, firewalls, intrusion detection).	Mandatory
TEC.00.00.233	Security	provide the ability to associate security access to a record's classification.	The system shall provide the ability to associate security access to a record's classification.	Mandatory
TEC.00.00.234	Security	provide the ability to assign a default security profile for each type of document.	The system shall provide the ability to assign a default security profile for each type of document.	Mandatory
TEC.00.00.235	System Architecture	provide integrated error and exception handling capabilities.	The system shall provide integrated error and exception handling capabilities.	Mandatory
TEC.00.00.236	System Architecture	provide the ability to "roll back" non-committed transactions in the event of a system failure.	The system shall provide the ability to "roll back" non-committed transactions in the event of a system failure.	Mandatory
TEC.00.00.237	System Architecture	provide the ability to establish and maintain parameters to be maintained locally (e.g., parameters specific to each Field Office, specific to each Institution).	The system shall provide the ability to establish and maintain parameters to be maintained locally (e.g., parameters specific to each Field Office, specific to each Institution).	Mandatory
TEC.00.00.238	System Architecture	provide the ability to establish and maintain parameters to be maintained globally (e.g., parameters specific to all Field Offices, all Institutions).	The system shall provide the ability to establish and maintain parameters to be maintained globally (e.g., parameters specific to all Field Offices, all Institutions).	Mandatory
TEC.00.00.239	System Architecture	provide standards based server failover management for both application server(s) and database server(s).	The system shall provide standards based server failover management for both application server(s) and database server(s).	Mandatory
TEC.00.00.240	System Architecture	support centralized process scheduling mechanisms.	The system shall support centralized process scheduling mechanisms.	Mandatory
TEC.00.00.241	System Architecture	be architected to ensure the failure of any end user devices, including workstations or printers, does not impact the operation or performance of other devices.	The system shall be architected to ensure the failure of any end user devices, including workstations or printers, does not impact the operation or performance of other devices.	Mandatory
TEC.00.00.242	System Architecture	support the centralized storage of business and technical metadata.	The system shall support the centralized storage of business and technical metadata.	Mandatory
TEC.00.00.243	System Architecture	provide real-time data quality editing, consistency and validity checks on data elements at the point of data entry. The system must display a meaningful error message that allows the user to take action, and prevent entry of data that does not pass edit checks. This includes fields with applicable business rules as well as but not limited to: Cities States Dates SSN Zip codes	The system shall provide real-time data quality editing, consistency and validity checks on data elements at the point of data entry. The system must display a meaningful error message that allows the user to take action, and prevent entry of data that does not pass edit checks. This includes fields with applicable business rules as well as but not limited to: Cities States Dates SSN Zip codes	Mandatory
TEC.00.00.244	System Architecture	support 99.XXXX% availability, excluding planned maintenance, calculated on a (select one - daily, monthly, yearly) basis.	The system shall support 99.XXXX% availability, excluding planned maintenance, calculated on a (select one - daily, monthly, yearly) basis.	Mandatory
TEC.00.00.245	System Architecture	provide the ability to deploy new functionality to the system, without impacting existing non-related functionality.	The system shall provide the ability to deploy new functionality to the system, without impacting existing non-related functionality.	Mandatory
TEC.00.00.246	System Architecture	employ reusable application components.	The system shall employ reusable application components.	Mandatory
TEC.00.00.247	System Architecture	be scalable without requiring reengineering of the application. Please refer to the Dept. of Corrections Annual Report (http://www.dc.state.fl.us/pub/annual/) for statistics and growth rates when addressing this requirement.	The system shall be scalable without requiring reengineering of the application. Please refer to the Dept. of Corrections Annual Report (http://www.dc.state.fl.us/pub/annual/) for statistics and growth rates when addressing this requirement.	Mandatory
TEC.00.00.248	System Architecture	provide a mechanism for staff to access needed system functionality offsite to support work events away from the office.	The system shall provide a mechanism for staff to access needed system functionality offsite to support work events away from the office.	Mandatory

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REQ ID	Category	Requirement Description	Requirement	Mandatory?
TEC.00.00.249	System Architecture	support access from multiple locations throughout the State of Florida.	The system shall support access from multiple locations throughout the State of Florida.	Mandatory
TEC.00.00.250	System Architecture	support at a minimum of XXX concurrent users at initial deployment (XXX DC Staff, XXX Field Staff, XXX Other Users).	The system shall support at a minimum of XXX concurrent users at initial deployment (XXX DC Staff, XXX Field Staff, XXX Other Users).	Mandatory
TEC.00.00.251	System Architecture	shall support the configuration of XXXXXXXX user accounts at initial deployment.	The system shall shall support the configuration of XXXXXXXX user accounts at initial deployment.	Mandatory
TEC.00.00.252	System Architecture	be fault tolerant.	The system shall be fault tolerant.	Mandatory
TEC.00.00.253	System Architecture	integrate with fax and email technology.	The system shall integrate with fax and email technology.	Mandatory
TEC.00.00.254	System Architecture	support electronic content management (ECM).	The system shall support electronic content management (ECM).	Mandatory
TEC.00.00.255	System Architecture	provide a business-rules engine that includes a business rule repository (e.g., sentence calculation rules).	The system shall provide a business-rules engine that includes a business rule repository (e.g., sentence calculation rules).	Mandatory
TEC.00.00.256	System Architecture	provide the ability to integrate with third-party applications (e.g., Microsoft Office, Adobe Acrobat).	The system shall provide the ability to integrate with third-party applications (e.g., Microsoft Office, Adobe Acrobat).	Mandatory
TEC.00.00.257	System Architecture	support presenting links to external websites.	The system shall support presenting links to external websites.	Mandatory
TEC.00.00.258	System Architecture	provide the ability for an authorized user to create, modify, and delete look-up values including both codes and code values.	The system shall provide the ability for an authorized user to create, modify, and delete look-up values including both codes and code values.	Mandatory
TEC.00.00.259	System Architecture	be designed in a modular architecture which corresponds to the business processes in order to support a phased implementation.	The system shall be designed in a modular architecture which corresponds to the business processes in order to support a phased implementation.	Mandatory
TEC.00.00.260	System Architecture	provide the ability to "post" data transactions real time.	The system shall provide the ability to "post" data transactions real time.	Mandatory
TEC.00.00.261	System Architecture	provide the ability, where appropriate, to maintain administrator-defined parameters to drive business functionality. Modifications to parameter values shall not require programming changes.	The system shall provide the ability, where appropriate, to maintain administrator-defined parameters to drive business functionality. Modifications to parameter values shall not require programming changes.	Mandatory
TEC.00.00.262	System Architecture	require the storage of business rules to be in tables or a "rule management system" maintained by authorized users.	The system shall require the storage of business rules to be in tables or a "rule management system" maintained by authorized users.	Mandatory
TEC.00.00.263	System Architecture	provide the ability to maintain administrator-defined parameters referenced during the execution of business processes.	The system shall provide the ability to maintain administrator-defined parameters referenced during the execution of business processes.	Mandatory
TEC.00.00.264	System Architecture	allow for changes to administrator-defined business rules without programming modifications.	The system shall allow for changes to administrator-defined business rules without programming modifications.	Mandatory
TEC.00.00.265	System Architecture	provide the ability to track business rule parameters for different time periods.	The system shall provide the ability to track business rule parameters for different time periods.	Mandatory
TEC.00.00.266	Usability	provide the ability, where appropriate, to save work in progress.	The system shall provide the ability, where appropriate, to save work in progress.	Mandatory
TEC.00.00.267	Usability	provide the ability to drill down from summary balances to the supporting detail transactions and drill up from the detail transaction, to the summary balance.	The system shall provide the ability to drill down from summary balances to the supporting detail transactions and drill up from the detail transaction, to the summary balance.	Mandatory
TEC.00.00.268	Usability	provide the ability to maintain administrator-defined business rules specific to tracking information across multiple time zones (e.g., calendaring with the ability to reconcile 9:00 AM ET is 8:00 AM CT).	The system shall provide the ability to maintain administrator-defined business rules specific to tracking information across multiple time zones (e.g., calendaring with the ability to reconcile 9:00 AM ET is 8:00 AM CT).	Mandatory
TEC.00.00.269	Usability	support executing functionality across multiple time zones.	The system shall support executing functionality across multiple time zones.	Mandatory
TEC.00.00.270	Usability	provide data quality editing, consistency and validity checks on data elements at the point of data entry. The system must display a meaningful error message, and prevent entry of data that does not pass edit checks.	The system shall provide data quality editing, consistency and validity checks on data elements at the point of data entry. The system must display a meaningful error message, and prevent entry of data that does not pass edit checks.	Mandatory
TEC.00.00.271	Usability	provide a positive acknowledgement that the data entry has been accepted.	The system shall provide a positive acknowledgement that the data entry has been accepted.	Mandatory
TEC.00.00.272	Usability	provide the ability to facilitate rapid data entry for large volume or high-speed data entry requirements. This includes the ability to use the keyboard to progress through fields on the screen.	The system shall provide the ability to facilitate rapid data entry for large volume or high-speed data entry requirements. This includes the ability to use the keyboard to progress through fields on the screen.	Mandatory
TEC.00.00.273	Usability	provides the ability to execute "copy / paste" functionality with third-party applications (e.g., Microsoft Word).	The system shall provides the ability to execute "copy / paste" functionality with third-party applications (e.g., Microsoft Word).	Mandatory
TEC.00.00.274	Usability	utilize colors or other visual and non-visual aids to facilitate the use of System functions (e.g., data entry/section errors are presented in red for easy detection).	The system shall utilize colors or other visual and non-visual aids to facilitate the use of System functions (e.g., data entry/section errors are presented in red for easy detection).	Mandatory

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REQ ID	Category	Requirement Description	Requirement	Mandatory?
TEC.00.00.275	Usability	provide the ability to maintain administrator-configurable tables for reference data (e.g., offender types, inmate types, case workload points, gain time).	The system shall provide the ability to maintain administrator-configurable tables for reference data (e.g., offender types, inmate types, case workload points, gain time).	Mandatory
TEC.00.00.276	Usability	provide the ability to establish administrator-defined business rules for the automatic generation of notifications to appropriate entities (e.g., DC staff, offenders, referring sources) for needed actions (e.g., follow-up required, need for data or documentation, scheduled appointment).	The system shall provide the ability to establish administrator-defined business rules for the automatic generation of notifications to appropriate entities (e.g., DC staff, offenders, referring sources) for needed actions (e.g., follow-up required, need for data or documentation, scheduled appointment).	Mandatory
TEC.00.00.277	Usability	provide the ability to maintain administrator-defined notifications based on business processes and system events.	The system shall provide the ability to maintain administrator-defined notifications based on business processes and system events.	Mandatory
TEC.00.00.278	Usability	provide the ability to identify the method of transmission for each type of notification (e.g., paper, electronic).	The system shall provide the ability to identify the method of transmission for each type of notification (e.g., paper, electronic).	Mandatory
TEC.00.00.279	Usability	provide the ability to associate forms, documentation, and reports to specific types of notifications.	The system shall provide the ability to associate forms, documentation, and reports to specific types of notifications.	Mandatory
TEC.00.00.280	Usability	provide the ability to establish and maintain a standard set of administrator-defined type codes for creating scheduled events.	The system shall provide the ability to establish and maintain a standard set of administrator-defined type codes for creating scheduled events.	Mandatory
TEC.00.00.281	Usability	display meaningful descriptions in the place of system codes (e.g., 'Male' instead of 'M').	The system shall display meaningful descriptions in the place of system codes (e.g., 'Male' instead of 'M').	Mandatory
TEC.00.00.282	Workflow	provide the ability to display the current location (e.g., step in process, user inbox) of a work item.	The system shall provide the ability to display the current location (e.g., step in process, user inbox) of a work item.	Mandatory
TEC.00.00.283	Workflow	provide the ability to query the workflows, based on administrator-defined criteria, to find a specific work item.	The system shall provide the ability to query the workflows, based on administrator-defined criteria, to find a specific work item.	Mandatory
TEC.00.00.284	Workflow	provide the ability to initiate a workflow through the receipt of an electronic form or occurrence of a system event (e.g., uploaded form, imaged documentation, receipt of referral, appointment scheduled, receipt of requested documentation).	The system shall provide the ability to initiate a workflow through the receipt of an electronic form or occurrence of a system event (e.g., uploaded form, imaged documentation, receipt of referral, appointment scheduled, receipt of requested documentation).	Mandatory
TEC.00.00.285	Workflow	provide the ability to define workflow routes and associated details based on user-defined business processes.	The system shall provide the ability to define workflow routes and associated details based on user-defined business processes.	Mandatory
TEC.00.00.286	Workflow	provide the ability to organize work items into work queues based on administrator-defined business rules.	The system shall provide the ability to organize work items into work queues based on administrator-defined business rules.	Mandatory
TEC.00.00.287	Workflow	provide the ability to close a work assignment based on administrator-defined business rules.	The system shall provide the ability to close a work assignment based on administrator-defined business rules.	Mandatory
TEC.00.00.288	Workflow	provide the ability to issue administrator-defined notifications and reminders to users and groups of users based on the action taken to the work item.	The system shall provide the ability to issue administrator-defined notifications and reminders to users and groups of users based on the action taken to the work item.	Mandatory
TEC.00.00.289	Workflow	provide the ability to issue notifications as new documentation has been associated with the work item.	The system shall provide the ability to issue notifications as new documentation has been associated with the work item.	Mandatory
TEC.00.00.290	Workflow	provide the ability to issue administrator-defined time-based reminders (e.g., work item not processed within defined time frames, work item not yet assigned, processing on the work item has not been initiated).	The system shall provide the ability to issue administrator-defined time-based reminders (e.g., work item not processed within defined time frames, work item not yet assigned, processing on the work item has not been initiated).	Mandatory
TEC.00.00.291	Workflow	provide the ability to create work items from system events and user-initiated events.	The system shall provide the ability to create work items from system events and user-initiated events.	Mandatory
TEC.00.00.292	Workflow	provide the ability to trigger a change in the work item based on the change to the related line-of-business record.	The system shall provide the ability to trigger a change in the work item based on the change to the related line-of-business record.	Mandatory
TEC.00.00.293	Workflow	provide the ability to maintain a administrator-defined set of required documentation needed to proceed to the next step in the workflow.	The system shall provide the ability to maintain a administrator-defined set of required documentation needed to proceed to the next step in the workflow.	Mandatory
TEC.00.00.294	Workflow	provide the ability to automatically move the work item to the next step in the workflow once required documentation has been received and associated with the work item.	The system shall provide the ability to automatically move the work item to the next step in the workflow once required documentation has been received and associated with the work item.	Mandatory
TEC.00.00.295	Workflow	provide the ability to assign work items to users based on pre-defined business rules.	The system shall provide the ability to assign work items to users based on pre-defined business rules.	Mandatory
TEC.00.00.296	Workflow	provide the ability to assign work items from one user to another user.	The system shall provide the ability to assign work items from one user to another user.	Mandatory

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REQ ID	Category	Requirement Description	Requirement	Mandatory?
TEC.00.00.297	Workflow	provide the ability to retrieve and assign unassigned work items.	The system shall provide the ability to retrieve and assign unassigned work items.	Mandatory
TEC.00.00.298	Workflow	provide the ability to establish administrator-defined business rules to prevent assignment of work to a user based on user availability (e.g., vacation, sickness, existing work-load).	The system shall provide the ability to establish administrator-defined business rules to prevent assignment of work to a user based on user availability (e.g., vacation, sickness, existing work-load).	Mandatory
TEC.00.00.299	Workflow	provide the ability to assign priority to work items based on administrator-defined business rules.	The system shall provide the ability to assign priority to work items based on administrator-defined business rules.	Mandatory
TEC.00.00.300	Workflow	provide the ability to add notes to the work item.	The system shall provide the ability to add notes to the work item.	Mandatory
TEC.00.00.301	Workflow	provide the ability for the user to set work items to a 'pend' state (indicating the item will not be worked for a period of time).	The system shall provide the ability for the user to set work items to a 'pend' state (indicating the item will not be worked for a period of time).	Mandatory
TEC.00.00.302	Workflow	provide the ability to release pending items to an active state based on administrator-determined business rules.	The system shall provide the ability to release pending items to an active state based on administrator-determined business rules.	Mandatory
TEC.00.00.303	Workflow	provide the ability to sort work items by all work item attributes.	The system shall provide the ability to sort work items by all work item attributes.	Mandatory
TEC.00.00.304	Workflow	provide the ability to move work items between workflow steps based on administrator-defined workflow rules.	The system shall provide the ability to move work items between workflow steps based on administrator-defined workflow rules.	Mandatory
TEC.00.00.305	Workflow	provide the ability to route a work item within the administrator-defined workflow.	The system shall provide the ability to route a work item within the administrator-defined workflow.	Mandatory
TEC.00.00.306	Workflow	provide the ability to refer work items to users outside of the assigned workflow.	The system shall provide the ability to refer work items to users outside of the assigned workflow.	Mandatory
TEC.00.00.307	Workflow	provide the ability for a reviewer to reject the work item and return it to the original sender.	The system shall provide the ability for a reviewer to reject the work item and return it to the original sender.	Mandatory
TEC.00.00.308	Workflow	provide the ability to assign workflow users to specific work queues.	The system shall provide the ability to assign workflow users to specific work queues.	Mandatory
TEC.00.00.309	Workflow	provide the ability to set user properties for work queues (e.g., duration of access to queue, queue functions assigned to the user).	The system shall provide the ability to set user properties for work queues (e.g., duration of access to queue, queue functions assigned to the user).	Mandatory
TEC.00.00.310	Workflow	provide the ability for supervisors to monitor the work items within a workflow.	The system shall provide the ability for supervisors to monitor the work items within a workflow.	Mandatory
TEC.00.00.311	Workflow	provide the ability to maintain a administrator-defined list of work item type codes.	The system shall provide the ability to maintain a administrator-defined list of work item type codes.	Mandatory
TEC.00.00.312	Workflow	provide the ability to assign administrator-defined rules to work item type codes.	The system shall provide the ability to assign administrator-defined rules to work item type codes.	Mandatory
TEC.00.00.313	Workflow	provide the ability to define review periods based on work item code.	The system shall provide the ability to define review periods based on work item code.	Mandatory
TEC.00.00.314	Workflow	provide the ability to relate work assignments to system records and supporting documentation.	The system shall provide the ability to relate work assignments to system records and supporting documentation.	Mandatory
TEC.00.00.315	Workflow	maintain a complete audit trail of a work item from generation to closure (e.g., history of the users routing the work item, date and time work item was routed).	The system shall maintain a complete audit trail of a work item from generation to closure (e.g., history of the users routing the work item, date and time work item was routed).	Mandatory
TEC.00.00.316	Workflow	integrate with document management functionality to cross-reference documentation with the appropriate work item.	The system shall integrate with document management functionality to cross-reference documentation with the appropriate work item.	Mandatory
TEC.00.00.317	Workflow	provide the ability to "turn-on" / "turn-off" review steps in a workflow based on administrator-defined criteria (e.g., by user, by business process).	The system shall provide the ability to "turn-on" / "turn-off" review steps in a workflow based on administrator-defined criteria (e.g., by user, by business process).	Mandatory
TEC.00.00.318	Workflow	provide the ability to automatically move work items to the next step in the workflow once required user actions have been completed (e.g., acceptance, approval, rejection).	The system shall provide the ability to automatically move work items to the next step in the workflow once required user actions have been completed (e.g., acceptance, approval, rejection).	Mandatory
TEC.00.00.319	Workflow	provide the ability to report on current status of workflow items (e.g., listing by work items and location in workflow, listing by staff of all assigned work items, listing of work items and current status, listing of work items by type).	The system shall provide the ability to report on current status of workflow items (e.g., listing by work items and location in workflow, listing by staff of all assigned work items, listing of work items and current status, listing of work items by type).	Mandatory
TEC.00.00.320	Workflow	provide the ability to modify workflow routes which are in production.	The system shall provide the ability to modify workflow routes which are in production.	Mandatory
TEC.00.00.321	Workflow	provide the ability to manually reassign work items which are "in progress" to the correct workflow step at the time a production workflow is modified.	The system shall provide the ability to manually reassign work items which are "in progress" to the correct workflow step at the time a production workflow is modified.	Mandatory

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REQ ID	Category	Requirement Description	Requirement	Mandatory?
TEC.00.00.322	Workflow	provide the ability to create new workflows based on the needs of the Dept. of Corrections.	The system shall provide the ability to create new workflows based on the needs of the Dept. of Corrections.	Mandatory
TEC.00.00.323	Workflow	provide the ability to apply version control to workflows.	The system shall provide the ability to apply version control to workflows.	Mandatory

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Req ID	Organization	Core Process	Sub-Process	Description	Requirement
INT.00.00.1	Community Corrections	General	None	provide the ability to transmit inmate and offender information to the Inspector General's Office for investigations.	The system shall provide the ability to transmit inmate and offender information to the Inspector General's Office for investigations.
INT.00.00.2	Community Corrections	General	None	provide a mechanism to query Rapid ID to verify offender identity.	The system shall provide a mechanism to query Rapid ID to verify offender identity.
INT.00.00.3	Community Corrections	General	None	provide a mechanism to query eAgency to verify offender identity.	The system shall provide a mechanism to query eAgency to verify offender identity.
INT.00.00.4	Community Corrections	General	None	provide a mechanism to initiate FDLE FCIC II "Be On the Look Out" administrative messages.	The system shall provide a mechanism to initiate FDLE FCIC II "Be On the Look Out" administrative messages.
INT.00.00.5	Community Corrections	General	None	provide a mechanism to receive FDLE FCIC II wanted offender information.	The system shall provide a mechanism to receive FDLE FCIC II wanted offender information.
INT.00.00.6	Community Corrections	General	None	provide a mechanism to receive FBI NCIC wanted offender information.	The system shall provide a mechanism to receive FBI NCIC wanted offender information.
INT.00.00.7	Community Corrections	General	None	provide a mechanism to retrieve an FBI Identifier for an offender.	The system shall provide a mechanism to retrieve an FBI Identifier for an offender.
INT.00.00.8	Community Corrections	General	None	provide a mechanism to Immigration Customs Enforcement to retrieve an ICE Number.	The system shall provide a mechanism to Immigration Customs Enforcement to retrieve an ICE Number.
INT.00.00.9	Community Corrections	General	None	provide a mechanism to the State Attorney's Office for offender information.	The system shall provide a mechanism to the State Attorney's Office for offender information.
INT.00.00.10	Community Corrections	General	None	provide the ability to query Immigration and Naturalization Services for offender alien status.	The system shall provide the ability to query Immigration and Naturalization Services for offender alien status.
INT.00.00.11	Community Corrections	General	None	provide the ability to exchange kidnap and false imprisonment information with FDLE to identify possible sex offender classifications.	The system shall provide the ability to exchange kidnap and false imprisonment information with FDLE to identify possible sex offender classifications.
INT.00.00.12	Community Corrections	General	None	provide the ability to submit offender DNA information to FDLE.	The system shall provide the ability to submit offender DNA information to FDLE.
INT.00.00.13	Community Corrections	General	None	provide an interface with FDLE to receive offender registration with local law enforcement information.	The system shall provide an interface with FDLE to receive offender registration with local law enforcement information.
INT.00.00.14	Community Corrections	General	None	provide a mechanism to send FDLE Public Safety Information Act (PSIA) information to CJNET: - sex offender information and photographs - career offender information and photographs	The system shall provide a mechanism to send FDLE Public Safety Information Act (PSIA) information to CJNET: - sex offender information and photographs - career offender information and photographs
INT.00.00.15	Community Corrections	General	None	provide a mechanism to display Public Safety Information Act (PSIA) information on a Dept. of Corrections website: - sex offender information and photographs - career offender information and photographs	The system shall provide a mechanism to display Public Safety Information Act (PSIA) information on a Dept. of Corrections website: - sex offender information and photographs - career offender information and photographs

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Req ID	Organization	Core Process	Sub-Process	Description	Requirement
INT.00.00.16	Community Corrections	General	None	provide an interface with FDLE to receive special condition information for sex offender cases (e.g., Romeo and Juliet categorization).	The system shall provide an interface with FDLE to receive special condition information for sex offender cases (e.g., Romeo and Juliet categorization).
INT.00.00.17	Community Corrections	General	None	provide a mechanism to send the Dept. of Children and Families welfare fraud information for purposes of collection.	The system shall provide a mechanism to send the Dept. of Children and Families welfare fraud information for purposes of collection.
INT.00.00.18	Community Corrections	General	None	provide a mechanism to send specific offender information to the Florida Dept. of Homeland Security.	The system shall provide a mechanism to send specific offender information to the Florida Dept. of Homeland Security.
INT.00.00.19	Community Corrections	General	None	provide a mechanism to send high risk sex offender and violent offender information to the Office of State Court's Administrator Judicial Information System (JIS).	The system shall provide a mechanism to send high risk sex offender and violent offender information to the Office of State Court's Administrator Judicial Information System (JIS).
INT.00.00.20	Community Corrections	General	None	provide the ability to initiate a community supervision referral to local law enforcement (e.g., offender has been issued a warrant for arrest).	The system shall provide the ability to initiate a community supervision referral to local law enforcement (e.g., offender has been issued a warrant for arrest).
INT.00.00.21	Community Corrections	General	None	provide a mechanism to allow a court to submit sentence terms and conditions to a Field Office.	The system shall provide a mechanism to allow a court to submit sentence terms and conditions to a Field Office.
INT.00.00.22	Community Corrections	General	None	provide the ability to initiate a community supervision referral from court staff to a specific Field Office.	The system shall provide the ability to initiate a community supervision referral from court staff to a specific Field Office.
INT.00.00.23	Community Corrections	General	None	provide a mechanism to Immigration Customs Enforcement to retrieve an ICE hold or detainer for an offender.	The system shall provide a mechanism to Immigration Customs Enforcement to retrieve an ICE hold or detainer for an offender.
INT.00.00.24	Community Corrections	General	None	provide a mechanism to send the Dept. of Children and Families welfare fraud information for purposes of collection.	The system shall provide a mechanism to send the Dept. of Children and Families welfare fraud information for purposes of collection.
INT.00.00.25	Community Corrections	General	None	provide the ability to initiate a community supervision referral to local law enforcement (e.g., offender has been issued a warrant for arrest).	The system shall provide the ability to initiate a community supervision referral to local law enforcement (e.g., offender has been issued a warrant for arrest).
INT.00.00.26	Community Corrections	General	None	provide a mechanism to allow a court to submit sentence terms and conditions to a Field Office.	The system shall provide a mechanism to allow a court to submit sentence terms and conditions to a Field Office.
INT.00.00.27	Community Corrections	General	None	provide the ability to initiate a community supervision referral from court staff to a specific Field Office.	The system shall provide the ability to initiate a community supervision referral from court staff to a specific Field Office.

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Req ID	Organization	Core Process	Sub-Process	Description	Requirement
INT.00.00.28	Community Corrections	General	None	provide the ability to send offender data to the Dept. of Corrections' Victim Information and Notification Everyday System (VINES) allowing victim's to call in and determine an offender's location.	The system shall provide the ability to send offender data to the Dept. of Corrections' Victim Information and Notification Everyday System (VINES) allowing victim's to call in and determine an offender's location.
INT.00.04.29	Community Corrections	General	Transfer	provide a mechanism to send offender demographic information to Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.	The system shall provide a mechanism to send offender demographic information to Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.
INT.00.04.30	Community Corrections	General	Transfer	provide a mechanism to send a notification to Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer (e.g., notice of departure, notice of arrival).	The system shall provide a mechanism to send a notification to Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer (e.g., notice of departure, notice of arrival).
INT.00.04.31	Community Corrections	General	Transfer	provide a mechanism to retrieve offender reporting instructions from the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.	The system shall provide a mechanism to retrieve offender reporting instructions from the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.
INT.00.04.32	Community Corrections	General	Transfer	provide a mechanism to submit feedback on the offender reporting instructions to the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.	The system shall provide a mechanism to submit feedback on the offender reporting instructions to the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.
INT.00.04.33	Community Corrections	General	Transfer	provide an interface to initiate a compact action request to the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.	The system shall provide an interface to initiate a compact action request to the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.
INT.00.04.34	Community Corrections	General	Transfer	provide an interface to initiate a compact action request to the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.	The system shall provide an interface to initiate a compact action request to the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.
INT.00.04.35	Community Corrections	General	Transfer	provide an interface to initiate a progress report submission to the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.	The system shall provide an interface to initiate a progress report submission to the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.
INT.00.04.36	Community Corrections	General	Transfer	provide an interface to initiate a violation report submission to the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.	The system shall provide an interface to initiate a violation report submission to the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.

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Req ID	Organization	Core Process	Sub-Process	Description	Requirement
INT.00.04.37	Community Corrections	General	Transfer	provide a mechanism to submit feedback on an offender violation report to the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.	The system shall provide a mechanism to submit feedback on an offender violation report to the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.
INT.00.04.38	Community Corrections	General	Transfer	provide a mechanism to initiate a case closure request to the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.	The system shall provide a mechanism to initiate a case closure request to the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an interstate transfer.
INT.00.04.39	Community Corrections	General	Transfer	provide an interface with the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) to receive notification for a pending request to transfer to the State of Florida.	The system shall provide an interface with the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) to receive notification for a pending request to transfer to the State of Florida.
INT.00.04.40	Community Corrections	General	Transfer	provide a mechanism to the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) to provide the periods of time and offender has to travel to a receiving state's field office for community supervision.	The system shall provide a mechanism to the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) to provide the periods of time and offender has to travel to a receiving state's field office for community supervision.
INT.00.04.41	Community Corrections	General	Transfer	provide a mechanism to send a notification to Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an offender who has not reported to the required Field Office within the mandated travel time limits.	The system shall provide a mechanism to send a notification to Interstate Commission Interstate Compact Offender Transfer System (ICOTS) for an offender who has not reported to the required Field Office within the mandated travel time limits.
INT.00.04.42	Community Corrections	General	Transfer	provide a mechanism with the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) to indicate acceptance or rejection of a pending transfer request.	The system shall provide a mechanism with the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) to indicate acceptance or rejection of a pending transfer request.
INT.00.04.43	Community Corrections	General	Transfer	provide a mechanism with the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) to retrieve a history of offender transfers and transfer requests.	The system shall provide a mechanism with the Interstate Commission Interstate Compact Offender Transfer System (ICOTS) to retrieve a history of offender transfers and transfer requests.
INT.G.01.44	Community Corrections	Intake Offender	Absconder	provide an interface to notify FDLE a warrant has been issued for a specific offender.	The system shall provide an interface to notify FDLE a warrant has been issued for a specific offender.
INT.G.01.45	Community Corrections	Intake Offender	Absconder	provide a mechanism to query JusticeXchange for offender apprehension information.	The system shall provide a mechanism to query JusticeXchange for offender apprehension information.
INT.G.01.46	Community Corrections	Intake Offender	Absconder	provide a mechanism to query the Dept. of Highway Safety and Motor Vehicles DAVID system for offender location information.	The system shall provide a mechanism to query the Dept. of Highway Safety and Motor Vehicles DAVID system for offender location information.

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Req ID	Organization	Core Process	Sub-Process	Description	Requirement
INT.G.01.47	Community Corrections	Intake Offender	Absconder	provide a mechanism to query Social Security Administration SSDI application to verify offender death.	The system shall provide a mechanism to query Social Security Administration SSDI application to verify offender death.
INT.G.01.48	Community Corrections	Intake Offender	Absconder	provide a mechanism to request offender address information from a local utility company.	The system shall provide a mechanism to request offender address information from a local utility company.
INT.G.01.49	Community Corrections	Intake Offender	Absconder	provide a mechanism to request offender address information from a local telephone company.	The system shall provide a mechanism to request offender address information from a local telephone company.
INT.G.01.50	Community Corrections	Intake Offender	Absconder	provide a mechanism to query Accurant to verify offender address information.	The system shall provide a mechanism to query Accurant to verify offender address information.
INT.G.01.51	Community Corrections	Intake Offender	Absconder	provide a mechanism to request a warrant from a sentencing authority.	The system shall provide a mechanism to request a warrant from a sentencing authority.
INT.G.01.52	Community Corrections	Intake Offender	Absconder	provide a mechanism to query the Agency for Workforce Innovation to verify offender employment information.	The system shall provide a mechanism to query the Agency for Workforce Innovation to verify offender employment information.
INT.G.01.53	Community Corrections	Intake Offender	Absconder	provide a mechanism to query the Department of Children and Families to verify offender address information.	The system shall provide a mechanism to query the Department of Children and Families to verify offender address information.
INT.G.02.54	Community Corrections	Intake Offender	COPS	provide a mechanism to send summarized Dept. of Corrections accounting information to the Dept. of Financial Services FLAIR system.	The system shall provide a mechanism to send summarized Dept. of Corrections accounting information to the Dept. of Financial Services FLAIR system.
INT.G.02.55	Community Corrections	Intake Offender	COPS	provide the ability to maintain a history of Dept. of Corrections accounting information sent to the Dept. of Financial Services FLAIR system.	The system shall provide the ability to maintain a history of Dept. of Corrections accounting information sent to the Dept. of Financial Services FLAIR system.
INT.G.02.56	Community Corrections	Intake Offender	COPS	provide a mechanism to view images stored in Dept. of Corrections payment scanning software (i.e., ItemAge).	The system shall provide a mechanism to view images stored in Dept. of Corrections payment scanning software (i.e., ItemAge).
INT.G.02.57	Community Corrections	Intake Offender	COPS	provide an interface to accept payment files from third party payment vendors (e.g., Jpay, Western Union).	The system shall provide an interface to accept payment files from third party payment vendors (e.g., Jpay, Western Union).
INT.G.02.58	Community Corrections	Intake Offender	COPS	provide an interface to send financial obligation information to PRIDE.	The system shall provide an interface to send financial obligation information to PRIDE.
INT.G.02.59	Community Corrections	Intake Offender	COPS	provide an interface to send inmate and offender information to PRIDE.	The system shall provide an interface to send inmate and offender information to PRIDE.
INT.G.02.60	Community Corrections	Intake Offender	COPS	provide an interface to receive financial information from PRIDE.	The system shall provide an interface to receive financial information from PRIDE.
INT.G.02.61	Community Corrections	Intake Offender	COPS	provide a mechanism to send offender information to third party payment vendors (e.g., Jpay, Western Union) for the purposes of matching payments to offenders.	The system shall provide a mechanism to send offender information to third party payment vendors (e.g., Jpay, Western Union) for the purposes of matching payments to offenders.

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Req ID	Organization	Core Process	Sub-Process	Description	Requirement
INT.G.02.62	Community Corrections	Intake Offender	COPS	provide an interface to receive a listing of the funds deposited from the bank.	The system shall provide an interface to receive a listing of the funds deposited from the bank.
INT.G.02.63	Community Corrections	Intake Offender	COPS	provide an interface to receive cleared payment files from the bank.	The system shall provide an interface to receive cleared payment files from the bank.
INT.G.02.64	Community Corrections	Intake Offender	COPS	provide an interface to send cleared files and voided files to the bank.	The system shall provide an interface to send cleared files and voided files to the bank.
INT.G.02.65	Community Corrections	Intake Offender	COPS	provide an interface to receive 'posted' NCR Money Order information.	The system shall provide an interface to receive 'posted' NCR Money Order information.
INT.G.02.66	Community Corrections	Intake Offender	COPS	provide an interface to the Dept. of Corrections check printing software (i.e., EZ Check).	The system shall provide an interface to the Dept. of Corrections check printing software (i.e., EZ Check).
INT.00.00.67	General	General	None	provide a mechanism to transmit offender information to the Florida Parole Commission (e.g., offender data, outstanding warrants).	The system shall provide a mechanism to transmit offender information to the Florida Parole Commission (e.g., offender data, outstanding warrants).
INT.00.00.68	General	General	None	provide the ability to interface with the Social Security Administration to verify Social Security Numbers.	The system shall provide the ability to interface with the Social Security Administration to verify Social Security Numbers.
INT.00.00.69	General	General	None	provide a mechanism to transmit Dept. of Corrections' financial information to the Internal Revenue Service on a federal fiscal year basis.	The system shall provide a mechanism to transmit Dept. of Corrections' financial information to the Internal Revenue Service on a federal fiscal year basis.
INT.00.00.70	Institutions	General	None	provide a capability to receive and store inmate criminal history information provided by the Florida Department of Law Enforcement (FDLE).	The system shall provide a capability to receive and store inmate criminal history information provided by the Florida Department of Law Enforcement (FDLE).
INT.00.00.71	Institutions	General	None	provide a mechanism to translate Florida Department of Law Enforcement (FDLE) offense codes into Department of Corrections offense codes during the inmate criminal history upload and storage process.	The system shall provide a mechanism to translate Florida Department of Law Enforcement (FDLE) offense codes into Department of Corrections offense codes during the inmate criminal history upload and storage process.
INT.00.00.72	Institutions	General	None	provide an administrator defined and maintained option to overwrite existing criminal history information or add to existing information during the upload process	The system shall provide an administrator defined and maintained option to overwrite existing criminal history information or add to existing information during the upload process
INT.00.00.73	Institutions	General	None	provide an ability to interface with the DC web applications (e.g., to support inmate searches).	The system shall provide an ability to interface with the DC web applications (e.g., to support inmate searches).
INT.00.99.74	Institutions	General	None	provide an ability to interface directly with the Facility Access Secure Tracking (FAST) visitation system.	The system shall provide an ability to interface directly with the Facility Access Secure Tracking (FAST) visitation system.

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Req ID	Organization	Core Process	Sub-Process	Description	Requirement
INT.00.00.75	Institutions	General	None	provide an ability to export offender data to the Inmate Records Computer Imaging System (IRIS) according to administrator defined and maintained parameters.	The system shall provide an ability to export offender data to the Inmate Records Computer Imaging System (IRIS) according to administrator defined and maintained parameters.
INT.00.00.76	Institutions	General	None	provide a direct interface for Rapid ID (biometric readers).	The system shall provide a direct interface for Rapid ID (biometric readers).
INT.00.00.77	Institutions	General	None	provide a direct interface with the Scantron Bubble Sheet Reader.	The system shall provide a direct interface with the Scantron Bubble Sheet Reader.
INT.00.00.78	Institutions	General	None	provide a direct interface with the Security Threat Operation Review and Management System (STORMS).	The system shall provide a direct interface with the Security Threat Operation Review and Management System (STORMS).
INT.00.00.79	Institutions	General	None	provide a direct interface with the Work Release Inmate Monitoring System (WRIMS).	The system shall provide a direct interface with the Work Release Inmate Monitoring System (WRIMS).
INT.00.00.80	Institutions	General	None	provide a mechanism to interface directly with the Inmate Bank system.	The system shall provide a mechanism to interface directly with the Inmate Bank system.
INT.00.00.81	Institutions	General	None	provide an interface with the SECURUS phone system to support the creation, update, review, and modification of inmate phone privileges to include inmate phone list verification processing in accordance with administrator defined and maintained rules (e.g., valid phone numbers must match on first and last name, phone numbers must not be associated with business entities or cellular phones, addresses must match based on defined criteria such as street, city, state, and zip code).	The system shall provide an interface with the SECURUS phone system to support the creation, update, review, and modification of inmate phone privileges to include inmate phone list verification processing in accordance with administrator defined and maintained rules (e.g., valid phone numbers must match on first and last name, phone numbers must not be associated with business entities or cellular phones, addresses must match based on defined criteria such as street, city, state, and zip code).
INT.00.00.82	Institutions	General	None	provide an interface with Systematica to exchange inmate demographic information to support the creation of inmate identification cards.	The system shall provide an interface with Systematica to exchange inmate demographic information to support the creation of inmate identification cards.
INT.00.00.83	Institutions	General	None	provide an ability to export data in a form acceptable for SAS importation.	The system shall provide an ability to export data in a form acceptable for SAS importation.
INT.00.00.84	Institutions	General	None	provide an interface with the canteen system.	The system shall provide an interface with the canteen system.
INT.00.00.85	Institutions	General	None	include an ability to exchange data with the Court Ordered Payment System (COPS).	The system shall include an ability to exchange data with the Court Ordered Payment System (COPS).
INT.00.00.86	Institutions	General	None	provide an ability to interface with the Test Mate application to support The Adult Basic Education (TABE) testing regimen.	The system shall provide an ability to interface with the Test Mate application to support The Adult Basic Education (TABE) testing regimen.

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Req ID	Organization	Core Process	Sub-Process	Description	Requirement
INT.00.00.87	Institutions	General	None	provide an interface with Keefe to receive canteen item information (e.g., new items, cancelled items, price information).	The system shall provide an interface with Keefe to receive canteen item information (e.g., new items, cancelled items, price information).

F. Cost Benefit Analysis

The OBIS Modernization Cost Benefits Analysis (CBA) is included here.

CBAForm 1 - Net Tangible Benefits

Agency	Department of Corrections	Project	OBIS Modernization
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Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A															
Agency <i>(Recurring Costs Only -- No Project Costs)</i>	FY 2022-23			FY 2023-24			FY 2024-25			FY 2025-26			FY 2026-27		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	\$4,639,767	\$1,040,000	\$5,679,767	\$4,639,767	\$1,040,000	\$5,679,767	\$4,639,767	\$1,040,000	\$5,679,767	\$4,639,767	\$1,040,000	\$5,679,767	\$4,639,767	\$1,040,000	\$5,679,767
A.b Total Staff	38.00	4.00	42.00	38.00	4.00	42.00	38.00	4.00	42.00	38.00	4.00	42.00	38.00	4.00	42.00
A-1.a. State FTEs (Salaries & Benefits)	\$2,075,510	\$0	\$2,075,510	\$2,075,510	\$0	\$2,075,510	\$2,075,510	\$0	\$2,075,510	\$2,075,510	\$0	\$2,075,510	\$2,075,510	\$0	\$2,075,510
A-1.b. State FTEs (#)	22.00	0.00	22.00	22.00	0.00	22.00	22.00	0.00	22.00	22.00	0.00	22.00	22.00	0.00	22.00
A-2.a. OPS Staff (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$2,564,257	\$1,040,000	\$3,604,257	\$2,564,257	\$1,040,000	\$3,604,257	\$2,564,257	\$1,040,000	\$3,604,257	\$2,564,257	\$1,040,000	\$3,604,257	\$2,564,257	\$1,040,000	\$3,604,257
A-3.b. Staff Augmentation (# of Contractors)	16.00	4.00	20.00	16.00	4.00	20.00	16.00	4.00	20.00	16.00	4.00	20.00	16.00	4.00	20.00
B. Application Maintenance Costs	\$0	\$990,000	\$990,000	\$0	\$1,250,000	\$1,250,000	\$0	\$1,250,000	\$1,250,000	\$0	\$1,250,000	\$1,250,000	\$0	\$1,250,000	\$1,250,000
B-1. Managed Services (Staffing)	\$0	\$10,000	\$10,000	\$0	\$10,000	\$10,000	\$0	\$10,000	\$10,000	\$0	\$10,000	\$10,000	\$0	\$10,000	\$10,000
B-2. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Software	\$0	\$980,000	\$980,000	\$0	\$1,240,000	\$1,240,000	\$0	\$1,240,000	\$1,240,000	\$0	\$1,240,000	\$1,240,000	\$0	\$1,240,000	\$1,240,000
B-4. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. Data Center Provider Costs	\$9,378,172	\$20,000	\$9,398,172	\$9,378,172	\$40,000	\$9,418,172	\$9,378,172	\$40,000	\$9,418,172	\$9,378,172	\$40,000	\$9,418,172	\$2,344,543	-\$6,993,629	-\$4,649,086
C-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Infrastructure	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$20,000	\$20,000	\$0	\$40,000	\$40,000	\$0	\$40,000	\$40,000	\$0	\$40,000	\$40,000	\$0	\$40,000	\$40,000
C-4. Disaster Recovery	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other <i>State Data Center</i>	\$9,378,172	\$0	\$9,378,172	\$9,378,172	\$0	\$9,378,172	\$9,378,172	\$0	\$9,378,172	\$9,378,172	\$0	\$9,378,172	\$2,344,543	-\$7,033,629	-\$4,689,086
D. Plant & Facility Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Other Costs	\$0	\$240,000	\$240,000	\$0	\$480,000	\$480,000	\$0	\$480,000	\$480,000	\$0	\$480,000	\$480,000	\$0	\$480,000	\$480,000
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <i>Cloud Hosting</i>	\$0	\$240,000	\$240,000	\$0	\$480,000	\$480,000	\$0	\$480,000	\$480,000	\$0	\$480,000	\$480,000	\$0	\$480,000	\$480,000
Total of Recurring Operational Costs	\$14,017,939	\$2,290,000	\$16,307,939	\$14,017,939	\$2,810,000	\$16,827,939	\$14,017,939	\$2,810,000	\$16,827,939	\$14,017,939	\$2,810,000	\$16,827,939	\$6,984,310	-\$4,223,629	\$2,760,681
F. Additional Tangible Benefits:		\$78,680			\$3,143,080			\$16,513,550			\$40,081,619			\$52,844,885	
F-1. <i>1 - Mobile and Web-based System</i>		\$0			\$2,048,582			\$4,089,808			\$7,050,505			\$9,091,731	
F-2. <i>2 - Modern Architecture</i>		\$0			\$0			\$0			\$1,402,500			\$1,402,500	
F-3. <i>3 - Data Analytics</i>		\$0			\$0			\$1,021,635			\$2,962,740			\$6,742,788	
F-4. <i>4 - Workload Management</i>		\$0			\$931,490			\$11,148,720			\$28,315,619			\$35,153,792	
F-5. <i>5 - Interoperable System</i>		\$0			\$0			\$0			\$0			\$0	
F-6. <i>6 - Retain Skilled Support Staff</i>		\$78,680			\$163,008			\$253,388			\$350,254			\$454,074	
Total Net Tangible Benefits:		(\$2,211,320)			\$333,080			\$13,703,550			\$37,271,619			\$57,068,514	

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

Department of Corrections OBIS Modernization

Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.

CBA Form 2A Baseline Project Budget

			CBA Form 2A Baseline Project Budget																	
			FY2022-23			FY2023-24			FY2024-25			FY2025-26			FY2026-27			TOTAL		
			\$ 12,803,000			\$ 16,546,000			\$ 29,233,500			\$ 24,609,500			\$ 21,642,500			\$ 104,834,500		
Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 Base Budget			YR 2 Base Budget			YR 3 Base Budget			YR 4 Base Budget			YR 5 Base Budget			TOTAL	
				YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget		
Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	
Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	
Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	
Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ 982,500	\$ -	0.00	\$ 992,500	\$ -	0.00	\$ 917,500	\$ -	0.00	\$ 927,500	\$ -	0.00	\$ 922,500	\$ -	\$ 4,742,500	
Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00	\$ 2,000,000	\$ -	0.00	\$ 2,000,000	\$ -	0.00	\$ 2,000,000	\$ -	0.00	\$ 2,000,000	\$ -	0.00	\$ 2,000,000	\$ -	\$ 10,000,000	
Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ 8,510,500	\$ -	0.00	\$ 12,358,500	\$ -	0.00	\$ 25,126,000	\$ -	0.00	\$ 20,452,000	\$ -	0.00	\$ 17,490,000	\$ -	\$ 83,937,000	
Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -		\$ 1,120,000	\$ -		\$ 1,120,000	\$ -		\$ 1,120,000	\$ -		\$ 1,120,000	\$ -		\$ 1,120,000	\$ -	\$ 5,600,000	
Hardware purchases not included in data center services.	Hardware	OCO	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	
Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -		\$ 150,000	\$ -		\$ 40,000	\$ -		\$ 60,000	\$ -		\$ 100,000	\$ -		\$ 100,000	\$ -	\$ 450,000	
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	
All first-time training costs associated with the project.	Training	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	
Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	
Other contracted services not included in other categories.	Other Services	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	
Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	
Other project expenses not included in other categories.	Other Expenses	Expense	\$ -		\$ 40,000	\$ -		\$ 35,000	\$ -		\$ 10,000	\$ -		\$ 10,000	\$ -		\$ 10,000	\$ -	\$ 105,000	
Total			\$ -	0.00	\$ 12,803,000	\$ -	0.00	\$ 16,546,000	\$ -	0.00	\$ 29,233,500	\$ -	0.00	\$ 24,609,500	\$ -	0.00	\$ 21,642,500	\$ -	\$ 104,834,500	

CBAForm 2 - Project Cost Analysis

Agency	<u>Department of Corrections</u>	Project		<u>OBIS Modernization</u>
--------	----------------------------------	---------	--	---------------------------

<i>PROJECT COST SUMMARY</i>	<i>PROJECT COST SUMMARY (from CBAForm 2A)</i>					TOTAL
	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27	
TOTAL PROJECT COSTS (*)	\$12,803,000	\$16,546,000	\$29,233,500	\$24,609,500	\$21,642,500	\$104,834,500
CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small>	\$12,803,000	\$29,349,000	\$58,582,500	\$83,192,000	\$104,834,500	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

<i>PROJECT FUNDING SOURCES</i>	<i>PROJECT FUNDING SOURCES - CBAForm 2B</i>					TOTAL
	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27	
General Revenue	\$12,803,000	\$16,546,000	\$29,233,500	\$24,609,500	\$21,642,500	\$104,834,500
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$12,803,000	\$16,546,000	\$29,233,500	\$24,609,500	\$21,642,500	\$104,834,500
CUMULATIVE INVESTMENT	\$12,803,000	\$29,349,000	\$58,582,500	\$83,192,000	\$104,834,500	

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

CBAForm 3 - Project Investment Summary

Agency	<u>Department of Corrections</u>	Project	<u>OBIS Modernization</u>
--------	----------------------------------	---------	---------------------------

<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27	TOTAL FOR ALL YEARS
Project Cost	\$12,803,000	\$16,546,000	\$29,233,500	\$24,609,500	\$21,642,500	\$104,834,500
Net Tangible Benefits	(\$2,211,320)	\$333,080	\$13,703,550	\$37,271,619	\$57,068,514	\$106,165,443
Return on Investment	(\$15,014,320)	(\$16,212,920)	(\$15,529,950)	\$12,662,119	\$35,426,014	\$1,330,943
Year to Year Change in Program Staffing	4	4	4	4	4	

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	5	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2026-27	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$3,126,975)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	1.03%	IRR is the project's rate of return.

<i>Investment Interest Earning Yield -- CBAForm 3C</i>					
Fiscal Year	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27
Cost of Capital	2.69%	2.90%	3.09%	3.29%	3.48%

G. Glossary

Acronym	Description
API	Application Programming Interface
BPR	Business Process Re-Engineering
CAOSS	Classification Appointments Overview and Scheduling System
CICS	Customer Information Control System (specific to IBM)
CINAS	Corrections Integrated Needs Assessment System
CJIS	Criminal Justice Information Systems
COBOL	Common Business-Oriented Language
COPS	Court-Ordered Payment System
COTS	Commercial Off-the-Shelf
CPU	Central Processing Unit
CRM / ERP	Customer Relationship Management
DASD	Direct Access Storage Device
DDI	Design Develop Implement
DR	Disciplinary Report
EAC	Emergency Action Center
EMR	Electronic Medical Record
EOS	End of Sentence
ERP	Enterprise Resource Management
ESB	Enterprise Service Bus
FCOR	Florida Commission on Offender Review

Acronym	Description
FDC	Florida Department of Corrections
FICON	Fiber Connection - IBM proprietary name for the ANSI FC-SB-3 Single-Byte Command Code Sets-3 Mapping Protocol for Fibre Channel (FC) protocol.
FLDS	Florida Digital Service
GUI	Graphical User Interface
HIPAA	Health Insurance Portability and Accountability Act of 1996
IRMS	Inmate Risk Management System
ITN	Invitation to Negotiate
IV&V	Independent Verification and Validation
JMS	Jail Management System
MHIT	Mental Health Inmate Transfer
NIST	National Institute of Standards and Technology
NWRDC	Northwest Regional Data Center
OBIS	Offender Based Information System
OCM	Organizational Change Management
OIT	Office of Information Technology
ONAS	Offender Needs Assessments System
OSAD	Open Systems Adapter Diagnostic
OSAE	Open Systems Adapter-Express
PaaS	Platform as a Service
PII	Personally Identifiable Information
PMO	Project Management Office

Acronym	Description
PREA	Prison Rape Elimination Act
RANA	Risk and Needs Archive
RFI	Request for Information
RMS	Roster Management System
SaaS	Software as a Service
SDC	State Data Center
SLA	Support Level Agreement
SOA	Service Oriented Architecture
SORR/SOAR	Sex Offender Residence Review
STG	Security Threat Group
STORMS	Security Threat Group Tracking System
SVPPU	Sexual Violent Predator Program
TCO	Total Cost of Ownership

* * *

SCHEDULE IV-B FOR INFRASTRUCTURE IMPROVEMENTS

For Fiscal Year 2022-23



September 15, 2021

FLORIDA DEPARTMENT OF CORRECTIONS

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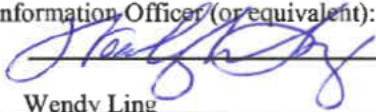


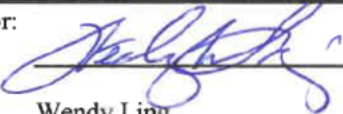
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SCHEDULE IV-B FOR INFRASTRUCTURE IMPROVEMENTS

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Corrections	Schedule IV-B Submission Date: 9/15/2021
Project Name: Infrastructure Improvements	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2022-23 LBR Issue Code: 36295C0	FY 2022-23 LBR Issue Title: Infrastructure Improvements
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Wendy Ling, 850-717-3963, wendy.ling@fdc.myflorida.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: 9/14/21
Printed Name: Mark Inch	
Agency Chief Information Officer (or equivalent): 	Date: 9/14/2021
Printed Name: Wendy Ling	
Budget Officer: 	Date: 9/14/2021
Printed Name: Mark Tallent	
Planning Officer: 	Date: 9/14/21
Printed Name: Eric Henderson	
Project Sponsor: 	Date: 9/14/2021
Printed Name: Wendy Ling	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Shane McPherson, 850-412-2670, shane.mcpherson@fdc.myflorida.com
Cost Benefit Analysis:	Greg Prescott, 850-717-3895, greg.prescott@fdc.myflorida.com
Risk Analysis:	Wendy Ling, 850-717-3963, wendy.ling@fdc.myflorida.com
Technology Planning:	Shane McPherson, 850-412-2670, shane.mcpherson@fdc.myflorida.com
Project Planning:	Andrew Morton, 850-717-9926, andrew.morton@fdc.myflorida.com

Hackney, Stacey

From: Lawrence, Laura
Sent: Tuesday, September 14, 2021 8:50 AM
To: CO-ELT
Cc: CO-ELT_Support; Stanford, Lavitta; Jenkins, Shajuana; Bodiford, Trueby
Subject: Delegation of Authority

Good Morning,

Secretary Inch will be out of the office today, Tuesday, September 14, 2021 through Thursday, September 16, 2021. During this time, Deputy Secretary Ricky Dixon will have delegated authority to handle all matters on his behalf.

Thank you,

Laura Lawrence

Office of the Secretary
Florida Department of Corrections
501 South Calhoun Street
Tallahassee, Florida 32399
850-717-3030



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Executive Summary

Pursuant to Chapter 945, Florida Statutes (F.S.), the Florida Department of Corrections (Department or FDC) is entrusted with the care and custody of inmates in Florida prisons. The FDC is the third largest state prison system in the country with an annual budget of \$2.9 billion, approximately 80,000 inmates incarcerated, and nearly 140,000 offenders under community supervision. As such, the Department's operations are critical to the safety and security of the public as well as our staff.

The Department is comprised of two major functional components, Institutions and Community Corrections, along with support entities and staff for Administration, Health Services, and Programs and Re-Entry. The Office of Institutions is responsible for the supervision of all four institutional regions and operational management of all correctional facilities; auditing security at facilities; maintaining accreditation standards; special operations; membership on the State Emergency Response Team (SERT); tracking incident reports; maintaining records on all inmates incarcerated; assisting law enforcement in their investigations; monitoring and interpreting court orders; establishing security standards for all facilities; maintaining the inmate transportation system; conducting training programs on security issues, classification, records, sentence structure, and court orders, as well as other related areas; and establishing policy and direction for all classification and records functions from reception to release. The Office of Community Corrections in Central Office assists the administration in carrying out its mission for public safety by providing support, technical assistance, and policy for approximately 2,620 Community Corrections staff in the state.

The Department relies on critical IT systems and support to fulfill its mission in providing a continuum of services to meet the needs of those entrusted to our care, creating a safe and professional environment with the outcome of reduced victimization, safer communities, and an emphasis on the premium of life. Core operations are primarily manual, paper-based processes that are later entered into a home-grown mainframe application known as the Offender Based Information System, or OBIS. In addition, there are several peripheral applications surrounding OBIS. Over the last several decades, the Department has been limited by the critical network infrastructure, constrained by limitations of varied backup and recovery needs, and has struggled to maintain current support levels with advancements in technology.

The continuity of operations for the Department is critical to public safety. With the rise of cyber-attacks nationally, the Department faces a unique challenge in protecting its IT assets considering the range of targets within the spectrum of operations—law enforcement, general utilities infrastructure, education, and health services. With the ever-expanding cyber threat landscape, particularly for law enforcement agencies and health services providers, the Department must act to avert catastrophic results.

In addition, the Department is responsible for safeguarding many different types of data and complying with specific security policies that govern the storage and handling of the data. Types of data include criminal justice data, governed by the FBI Criminal Justice Information Services (CJIS) Security Policy, health records under the auspice of the Health Insurance Portability Accountability Act (HIPAA), and Personally Identifiable Information (PII).

The risk of compromise and the cost of recovery are incalculable. By strengthening our network protections, bolstering our disaster recovery, and partnering with a Managed Security Service Provider (MSSP), the Department can mitigate and close potential security gaps.

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

A. Background and Strategic Needs Assessment

1. Business Need

In 2020, more than 37 billion records were compromised worldwide by thousands of publicly reported breach events. This represented a 141% increase compared to the previous year – by far the most records exposed in a single year. The average cost of a data breach in 2019 was \$3.92 million; costs can reach above \$5 million per event.

Cyber-attacks on state and local governments increased by 50% from 2017 to 2020. Inadequate tools and limited staffing for Florida’s largest state agency poses a significant risk to threat identification, protection, detection, response, and recovery.

On average each month, the Department experiences an alarming number of cybersecurity events: 600 threat events, 15,000 brute force attempts, 500,000 failed logins, and 27,000 critical/high security firewall incidents. These events need to be monitored and correlated each month to detect and defend against advanced threat activity. The tools used to monitor, identify, and correlate cyber threats must be modern, efficient, and updated to the latest version supported by the manufacturer to provide the appropriate level of security for the Department.

Cyber threats are fast-paced and their strategy can change daily, requiring ready-to-act intervention strategies. Tools alone cannot mitigate the ever-expanding threat landscape for information technology, particularly when the Department operates in nearly every sphere of impact for cybersecurity events – public safety, health, education, facilities infrastructure, and general government administration.

Cybersecurity staff intervention is critical in assessing and responding quickly to threat attempts. Response time and approach is adversely affected by limited tool availability and outdated hardware and software. Four full-time cybersecurity positions cannot be expected to adequately address the depth of the Department’s cybersecurity risk given the scope of IT operations and the large number of events that occur. Additional resources are required – and necessary – to provide appropriate monitoring and support 24 hours a day, 7 days a week, 365 days a year.

The Department’s Office of Information Technology is required to comply with many state and federal regulations, which give specific guidance on the security and accessibility of information. The Department currently operates with several critical infrastructure deficiencies, including non-existent or outdated toolsets, limited network visibility, and limited staffing for the Department’s 24/7/365 operational support needs.

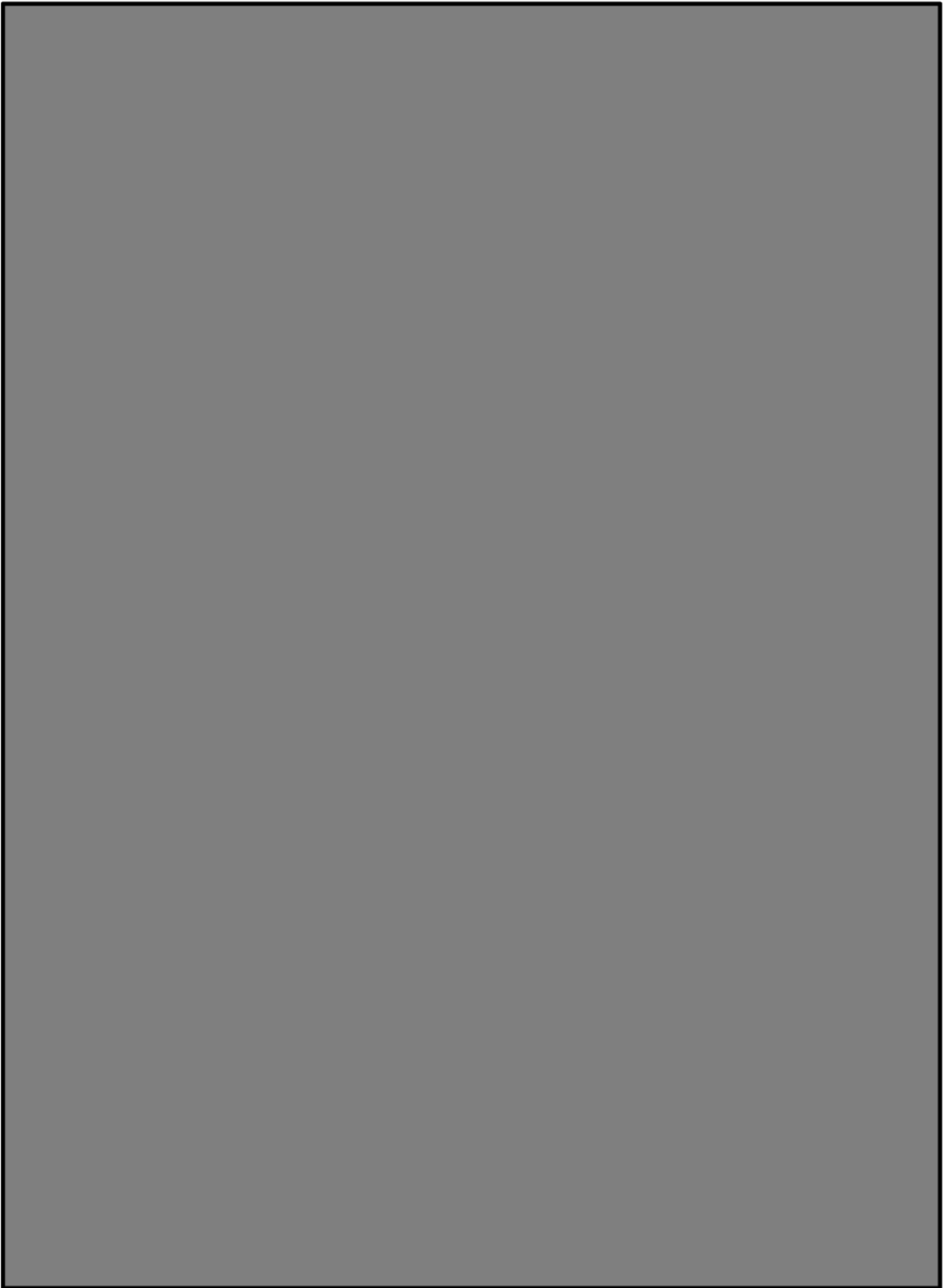
2. Business Objectives

The Department’s primary objective is to augment the IT infrastructure tools and services to ensure continuity of operations and administration visibility. The objectives of this request will position the Department favorably to minimize risk and avert the potential for catastrophic interruption due to cyber-attacks from a wide range of threats.

The Department’s specific objectives are not included for public consumption but will be made available to authorized personnel upon request.



SCHEDULE IV-B FOR INFRASTRUCTURE IMPROVEMENTS



B. Baseline Analysis

1. Current Business Process(es)

The Department currently has an Information Security team that consists of four full-time employees, responsible for developing policy and procedure and investigating all events related to cybersecurity. This team is responsible for the investigation of thousands of anomalous events each month across the enterprise. Information Security within the department reaches beyond the dedicated cybersecurity team, with resources throughout the Office of Information Technology (OIT) giving support for IT security in their areas. FDC has procedures that govern Computer Security Incident Response Team (CSIRT) and User Security for Information Systems practices. Some details are confidential and information on these procedures can be provided by request.

2. Assumptions and Constraints

Assumptions

- The proposed Service Provider will be compliant with all state and federal regulations, which give specific guidance on the security and accessibility of information, including:
 - Florida Statute 282.318, Enterprise Security of Data and Information Technology;
 - Florida Administrative Code Rule Chapter 60GG-2: Information Technology Security;
 - FBI Criminal Justice Information Services (CJIS) Security Policy;
 - Public Law (PL), 104-191, Health Insurance Portability and Accountability Act of 1996 (HIPAA);
 - Florida Statute 282.601, Accessibility of Electronic Information and Information Technology;
 - Florida Administrative Code Chapter 60-8, Accessible and Electronic Information Technology;
 - Florida Statute 119, General State Policy on Public Records.
- Vendors can implement the proposed solution in the designated timeframe, in the sequence prescribed, and in alignment with budgetary allocations/restrictions.
- The proposed Service Provider will increase operational efficiencies and effectiveness and eliminate manual processes which rely upon the use of ad-hoc tools.
- The Department will employ the Organizational Change Management (OCM) activities required to successfully implement the recommended solution.
- The project team, both the Department and the Vendor, will be staffed appropriately to complete the deliverables, achieve milestones, implement infrastructure changes, manage user involvement, and ensure proper testing.

Constraints

- Project activities, schedules, and milestones depend on the appropriate funding.
- State statutory changes, changes in administrative rules, and Department policy changes could affect the project.
- Specific software tools supporting desired capabilities will be determined based on the solution options proposed by the Service Provider.
- There is a limit to the workload that Department staff can dedicate to OIT Infrastructure Improvement project each year.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

The following table lists the Department's requirements for this project.

The Department's specific requirements are not included for public consumption but will be made available to authorized personnel upon request.



2. Business Solution Alternatives

The tables below show possible business solutions that were considered.

#	Cybersecurity Solution
1	Increase investment in internal cybersecurity staffing and tools to improve response capabilities, including new hardware, software and additional full-time personnel.
2	Purchase the services of a Managed Security Service Provider to supplement internal resources, provide a global view and awareness of known threats and activities and increase cybersecurity response capabilities and threat intelligence with proven zero-day vulnerability detection capabilities.

SCHEDULE IV-B FOR INFRASTRUCTURE IMPROVEMENTS

#	Disaster Recovery Solution
1	Work with a State Datacenter Managed Service Provider to increase the Disaster Recovery capabilities of FDC in the event of a natural disaster or cybersecurity incident. [REDACTED]
2	Work with a cloud-based Managed Service Provider to increase the Disaster Recovery capabilities of FDC in the event of a natural disaster or cybersecurity incident.
#	Infrastructure Updates Solution
1	Increase investment in infrastructure upgrades to bring the department up to current security standards. This will allow us to utilize modern security for Network Access Control.
2	No Action, resulting in ever-increasing risk of network infrastructure failure and security vulnerability.

3. Rationale for Selection

The technical and business solutions in this project are intricately linked. Ultimately, each technical objective is in support of the overarching business needs. The selected solution(s) will provide a greater breadth of support for security, provide better tools to protect the Department and improve our security posture and improve continuity of operations strategy for the business.

Cybersecurity Solution

- The solution will be able to provide the latest information available about risks to the FDC environment.
- The solution will provide redundancy in the Department’s incident response.
- The solution should have the ability to rapidly respond to threats at all hours.
- The solution should provide and support cybersecurity best practices.
- The solution should provide continuity of business during implementation.

Disaster Recovery Solution

- The solution will be able to recover key Department applications quickly.
- The solution will allow for continuity of business in the event of a natural disaster.
- The solution will allow for continuity of business in the event of a cybersecurity incident.

Infrastructure Updates Solution

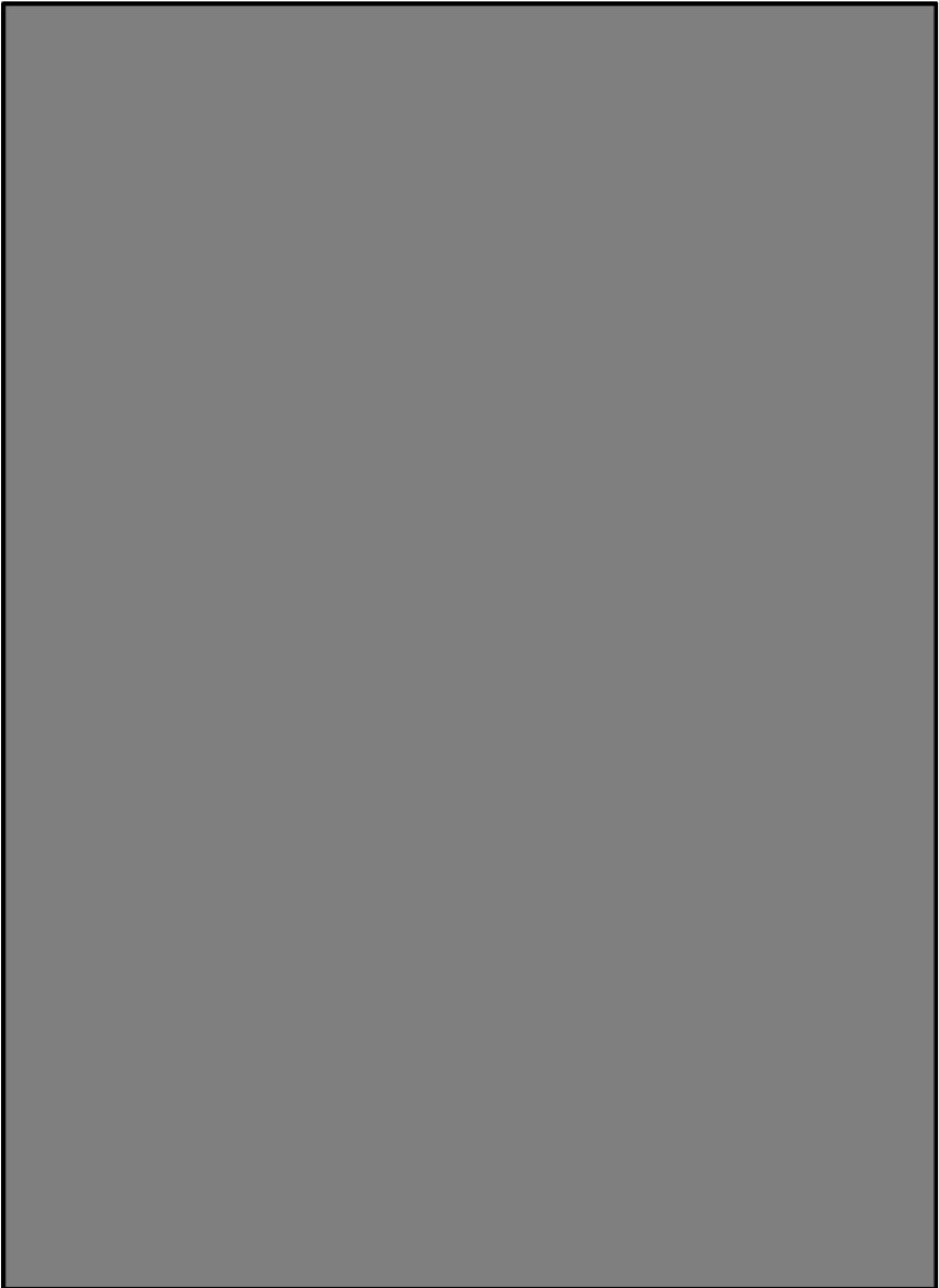
- The solution will allow for device inventory and identification.
- The solution will provide device-level authentication and authorization.
- The solution will allow for strict control over device connectivity.
- The solution will allow for detection and alerting of unknown devices connecting to the network.

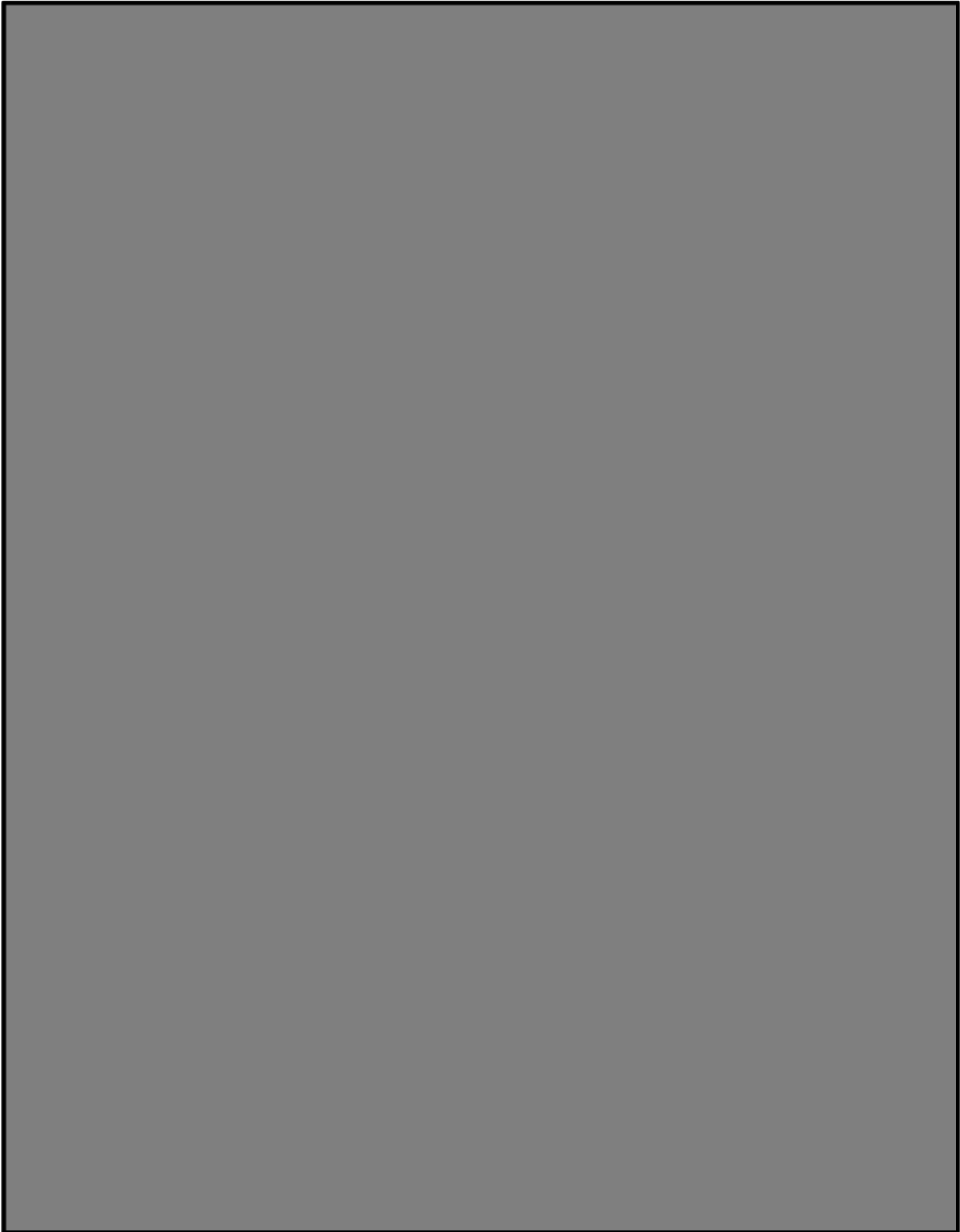
4. Recommended Business Solution

Cybersecurity Solution

Recommended Option – #2 Acquire MMSP/MDR. Selection criteria are shown below.

SCHEDULE IV-B FOR INFRASTRUCTURE IMPROVEMENTS





D. Functional and Technical Requirements

The Department's Functional and Technical requirements documentation are provided in Appendix C.

III. Success Criteria

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	The Department's most valuable IT resources will be recoverable in an acceptable time in the event of a disaster.	<ul style="list-style-type: none"> Disaster Recovery testing vs expected Recovery Time Objective (RTO) Disaster Recovery test success percentage # of successful restorations 	FDC	12/2022
2	All devices on the network will be monitored 24/7/365 for security events and alerts are generated within a predefined time window.	<ul style="list-style-type: none"> # of devices monitored / # of devices in inventory # of escalated security incidents Average time to close of escalated security incidents 	FDC	12/2022
3	Access to the FDC network and its resources will be restricted based on characteristics of devices connecting to a network port.	<ul style="list-style-type: none"> % of network covered by NAC # of rogue devices discovered 	FDC	12/2022
4	The Security Incident & Event Management platform will be managed according to security best practices within a predefined time window.	<ul style="list-style-type: none"> % of false positives/negatives over time Number of redundant/outdated rule sets Number of undocumented SIEM rules Mean time to respond to security incidents 	FDC	12/2022

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

A. Benefits Realization Table

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Continuous monitoring of all devices and endpoints in the FDC enterprise.	FDC	Partnering with a Managed Security Service Provider that can monitor FDC resources 24/7/365 and provide incident response capabilities and remediation support.	Comparison of existing monitoring capability with MSSP monitoring capability.	Implementation beginning in 7/2022. Full implementation 12/2022.
2	Correlation of seemingly disparate data to discover unknown security events and incidents.	FDC	Partnering with a Managed Security Service Provider that can monitor FDC resources 24/7/365 and provide incident response capabilities and remediation support.	Comparison of current incident ticketing and response times with MSSP ticketing and response.	Implementation beginning in 7/2022. Full implementation 12/2022.
3	View of cybersecurity events happening in real-time globally and the ability to convert those to actionable intelligence.	FDC	Partnering with a Managed Security Service Provider that can monitor FDC resources 24/7/365 and provide incident response capabilities and remediation support.	Comparison of current incident and event detections vs. MSSP incident and event detections.	Implementation beginning in 7/2022. Full implementation 12/2022.
4	Granular access control - Ability to control access to network resources based on device characteristics.	FDC	Acquiring and deploying infrastructure resources to support the capabilities to control access to critical resources on the network.	Network inventory statistics.	Infrastructure rollout beginning 7/2022. Full implementation by 12/2023.
5	Recovery of critical systems.	FDC	Acquiring the services of a Managed Service Provider that can support the recovery of IT resources in case of a disaster.	Acceptable RTO and RPO capabilities tested and proven with DR exercises.	Implementation beginning in 7/2022. Full implementation 7/2023.

SCHEDULE IV-B FOR INFRASTRUCTURE IMPROVEMENTS

B. Cost Benefit Analysis (CBA)

CBAForm 1 - Net Tangible Benefits

Agency Department of Corrections Project Infrastructure Improvements

Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A															
Agency (Recurring Costs Only -- No Project Costs)	FY 2022-23			FY 2023-24			FY 2024-25			FY 2025-26			FY 2026-27		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	\$363,911	\$200,000	\$563,911	\$363,911	\$200,000	\$563,911	\$363,911	\$200,000	\$563,911	\$363,911	\$200,000	\$563,911	\$363,911	\$200,000	\$563,911
A.B Total Staff	4.00	1.00	5.00	4.00	1.00	5.00	4.00	1.00	5.00	4.00	1.00	5.00	4.00	1.00	5.00
A-1.a. State FTEs (Salaries & Benefits)	\$363,911	\$0	\$363,911	\$363,911	\$0	\$363,911	\$363,911	\$0	\$363,911	\$363,911	\$0	\$363,911	\$363,911	\$0	\$363,911
A-1.b. State FTEs (#)	4.00	0.00	4.00	4.00	0.00	4.00	4.00	0.00	4.00	4.00	0.00	4.00	4.00	0.00	4.00
A-2.a. OPS Staff (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$200,000	\$200,000	\$0	\$200,000	\$200,000	\$0	\$200,000	\$200,000	\$0	\$200,000	\$200,000	\$0	\$200,000	\$200,000
A-3.b. Staff Augmentation (# of Contractor/s)	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00	1.00
B. Application Maintenance Costs	\$0	\$1,364,525	\$1,364,525	\$0	\$1,364,525	\$1,364,525	\$0	\$1,364,525	\$1,364,525	\$0	\$1,364,525	\$1,364,525	\$0	\$1,364,525	\$1,364,525
B-1. Managed Services (Staffing)	\$0	\$1,258,871	\$1,258,871	\$0	\$1,258,871	\$1,258,871	\$0	\$1,258,871	\$1,258,871	\$0	\$1,258,871	\$1,258,871	\$0	\$1,258,871	\$1,258,871
B-2. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Software	\$0	\$105,654	\$105,654	\$0	\$105,654	\$105,654	\$0	\$105,654	\$105,654	\$0	\$105,654	\$105,654	\$0	\$105,654	\$105,654
B-4. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. Data Center Provider Costs	\$9,378,172	\$730,311	\$10,108,483	\$9,378,172	\$730,311	\$10,108,483	\$9,378,172	\$730,311	\$10,108,483	\$9,378,172	\$730,311	\$10,108,483	\$9,378,172	\$730,311	\$10,108,483
C-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Infrastructure	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Disaster Recovery	\$0	\$730,311	\$730,311	\$0	\$730,311	\$730,311	\$0	\$730,311	\$730,311	\$0	\$730,311	\$730,311	\$0	\$730,311	\$730,311
C-5. Other <i>SDC Allocation</i>	\$9,378,172	\$0	\$9,378,172	\$9,378,172	\$0	\$9,378,172	\$9,378,172	\$0	\$9,378,172	\$9,378,172	\$0	\$9,378,172	\$9,378,172	\$0	\$9,378,172
D. Plant & Facility Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Other Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Recurring Operational Costs	\$9,742,083	\$2,294,836	\$12,036,919	\$9,742,083	\$2,294,836	\$12,036,919	\$9,742,083	\$2,294,836	\$12,036,919	\$9,742,083	\$2,294,836	\$12,036,919	\$9,742,083	\$2,294,836	\$12,036,919
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	
F-1.															
F-2.															
F-3.															
Total Net Tangible Benefits:		(\$2,294,836)			(\$2,294,836)			(\$2,294,836)			(\$2,294,836)			(\$2,294,836)	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	<input type="checkbox"/> Confidence Level	
Order of Magnitude	<input type="checkbox"/> Confidence Level	
Placeholder	<input checked="" type="checkbox"/> Confidence Level	0%

SCHEDULE IV-B FOR INFRASTRUCTURE IMPROVEMENTS

Department of Corrections		Infrastructure Improvements		CBA Form 2A Baseline Project Budget																
Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.				FY2022-23			FY2023-24			FY2024-25			FY2025-26			FY2026-27			TOTAL	
Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous	FY2022-23		FY2023-24		FY2024-25		FY2025-26		FY2026-27		TOTAL						
			Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL	
Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Project oversight to include Independent Verification & Validation (I&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Hardware purchases not included in data center services.	Hardware	OCO	\$ -	\$ 2,575,140	\$ -	\$ -	\$ 450,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 3,025,140
Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -	\$ 284,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 264,000
Professional services with fixed-price costs (i.e. software development, installation, project documentation).	Project Deliverables	Contracted Services	\$ -	\$ 780,500	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 300,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,060,500
All first-time training costs associated with the project.	Training	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -	\$ 35,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 35,000
Other contracted services not included in other categories.	Other Services	Contracted Services	\$ -	\$ 30,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 30,000
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail).	Equipment	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other project expenses not included in other categories.	Other Expenses	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Total			\$ -	0.00	\$ 3,664,640	\$ -	0.00	\$ 450,000	\$ -	0.00	\$ -	\$ -	0.00	\$ 300,000	\$ -	0.00	\$ -	\$ -	\$ -	\$ 4,414,640

SCHEDULE IV-B FOR INFRASTRUCTURE IMPROVEMENTS

CBAForm 2 - Project Cost Analysis

Agency	<u>Department of Corrections</u>	Project	<u>Infrastructure Improvements</u>
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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 (*)	\$3,664,640	\$450,000	\$0	\$300,000	\$0	\$4,414,640
CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related)</i>	\$3,664,640	\$4,114,640	\$4,114,640	\$4,414,640	\$4,414,640	

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	\$3,664,640	\$450,000	\$0	\$300,000	\$0	\$4,414,640
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$3,664,640	\$450,000	\$0	\$300,000	\$0	\$4,414,640
CUMULATIVE INVESTMENT	\$3,664,640	\$4,114,640	\$4,114,640	\$4,414,640	\$4,414,640	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous		Confidence Level	
Order of Magnitude		Confidence Level	
Placeholder	x	Confidence Level	0%

CBAForm 3 - Project Investment Summary

Agency	<u>Department of Corrections</u>	Project	<u>Infrastructure Improvement</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27	TOTAL FOR ALL YEARS
Project Cost	\$3,664,640	\$450,000	\$0	\$300,000	\$0	\$4,414,640
Net Tangible Benefits	(\$2,294,836)	(\$2,294,836)	(\$2,294,836)	(\$2,294,836)	(\$2,294,836)	(\$11,474,180)
Return on Investment	(\$5,959,476)	(\$2,744,836)	(\$2,294,836)	(\$2,594,836)	(\$2,294,836)	(\$15,888,820)
Year to Year Change in Program Staffing	1	1	1	1	1	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the projects investment costs are recovered.
Net Present Value (NPV)	(\$14,704,026)	NPV is the present-day value of the projects benefits less costs over the projects lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the projects rate of return.

Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27
Cost of Capital	2.69%	2.90%	3.09%	3.29%	3.48%

V. Schedule IV-B Major Project Risk Assessment

The risk to the Department of no taking action is greater than the risk of the project. The risk and complexity assessment applies more to traditional large-scale software development initiatives rather than straightforward infrastructure improvements such as in this request. Figure 1 illustrates the overall risk on this issue.

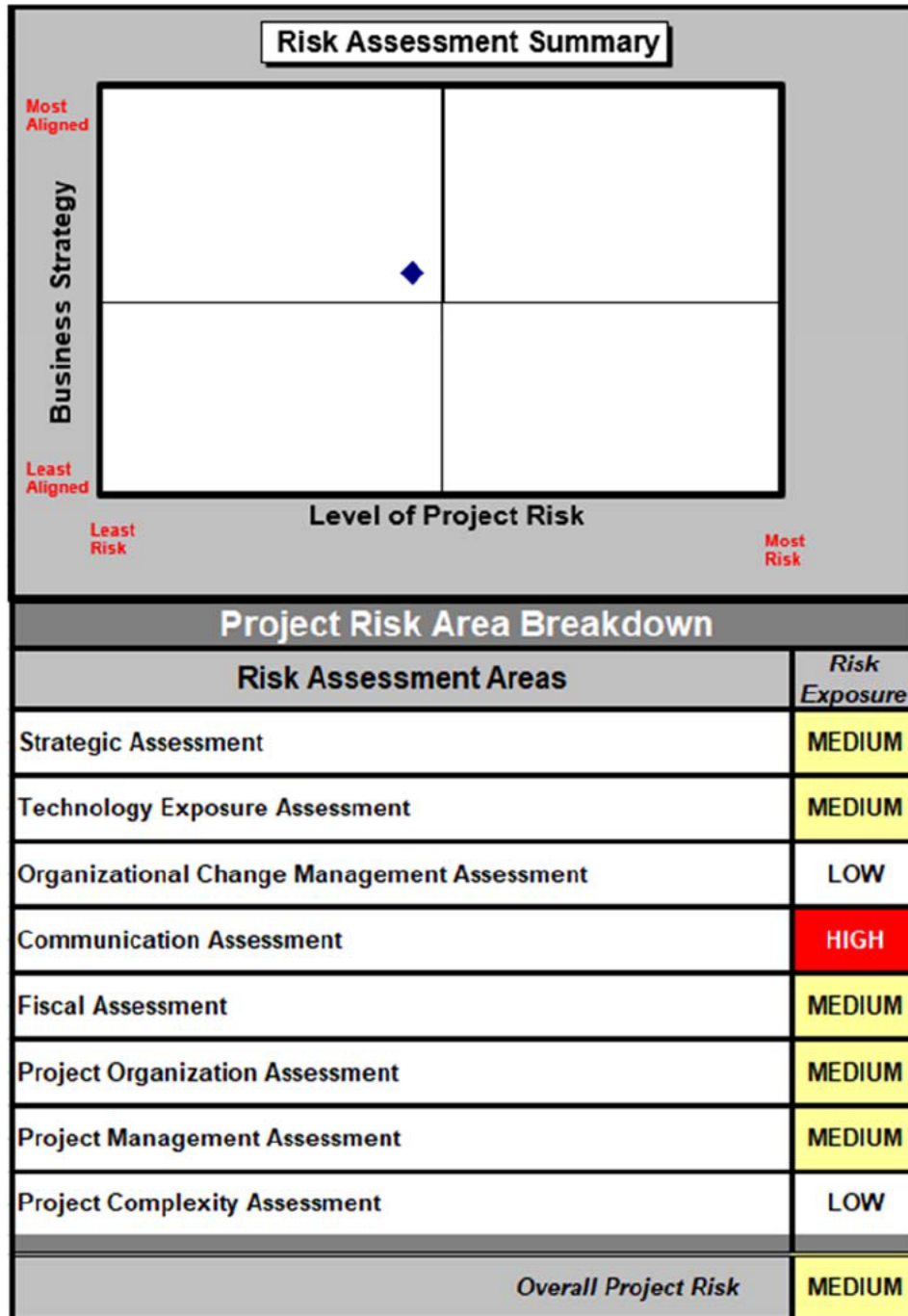


Figure 1: Risk and Complexity Assessment

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

The Department's Current System is not included for public consumption but will be made available to authorized personnel upon request.



Figure 2: Current Security Overview

a. Description of Current System



Characteristic	Response
Total Number of Users - Internal	~16,000
Total Number of Endpoints	~14,000
Total Number of Users - Internet	~1,000,000 website hits per month
Traffic Control	All inbound and outbound traffic is passed through the Enterprise Firewalls

SCHEDULE IV-B FOR INFRASTRUCTURE IMPROVEMENTS

Characteristic	Response
Security Tool Characteristics	All Security logs are sent to the Security Information & events management system and monitored by the Information Security team. Separate COTS tools are used to manage and respond to many different types of security events such as email, endpoint, and network traffic alerts.
Existing System Documentation	Vendor specific documentation
Existing Process Documentation	Department procedures for IT security available
External Interfaces	Threat intelligence is gathered from MS-ISAC, FDLE Cybercrime Office, and U.S. CERT

b. Current System Resource Requirements



c. Current System Performance

The Department's Current System is not included for public consumption but will be made available to authorized personnel upon request.



2. Information Technology Standards

Florida Cybersecurity Standards

All Florida state agencies and departments are required to comply with Florida Administrative Code 60GG-2 in the management and operation of state IT resources. This rule is modeled after the National Institute of Standards and Technology (NIST) Framework for Improving Critical Infrastructure Cybersecurity, Version 1.1, and the Federal Information Security Management Act of 2002 (44 U.S.C. §3541, et seq.).

FBI Criminal Justice Information Services (CJIS) Standards

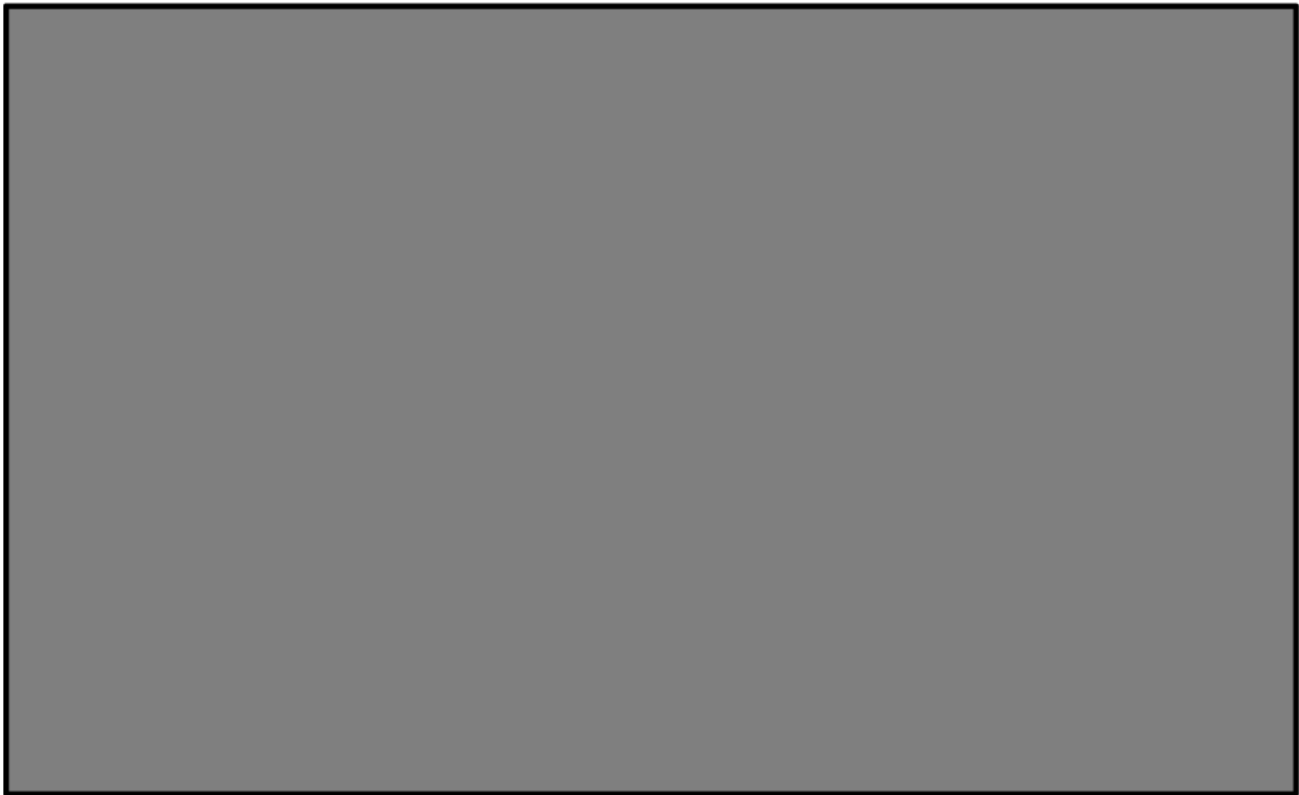
The Criminal Justice Information Services (CJIS) Division of the U.S. Federal Bureau of Investigation (FBI) gives state, local, and federal law enforcement and criminal justice agencies access to criminal justice information (CJI)—for example, fingerprint records and criminal histories. U.S. law enforcement and other government agencies must ensure the transmission, storage, or processing of CJI complies with the FBI CJIS Security Policy, which establishes minimum security requirements and controls to safeguard CJI. The CJIS Security Policy integrates presidential and FBI directives, federal laws, and the criminal justice community’s Advisory Policy Board decisions, along with guidance from NIST. The Policy is periodically updated to reflect evolving security requirements.

HIPAA Privacy Rule and HIPAA Security Rules

FDC must comply with Health Insurance Portability and Accountability Act of 1996 (HIPAA) regulations protecting the privacy and security of certain health information. Specific regulations include the HIPAA Privacy Rule and the HIPAA Security Rule. The Privacy Rule, or Standards for Privacy of Individually Identifiable Health Information, defines national standards for the protection of certain health information. The Security Standards for the Protection of Electronic Protected Health Information (the Security Rule) defines the national set of security standards for protecting certain health information that is held or transferred in electronic form.

B. Current Hardware and/or Software Inventory

The Department’s Current System is not included for public consumption but will be made available to authorized personnel upon request.



C. Proposed Technical Solution

1. Technical Solution Alternatives

#	Cybersecurity Solution
1	<p>Increase investment in the internal cybersecurity staffing and tools to improve response capabilities, including new hardware, software and additional full-time personnel. This would include the following:</p> <ul style="list-style-type: none"> • 2-3 additional full-time analysts for managing extended detection and response and redundant on-call capabilities including 24-hour coverage • Expanded licensing for SIEM and SOAR implementations to encompass all infrastructure logging and alerting • Expanded internal expertise in SIEM and SOAR configuration and administration • Expanded internal expertise in threat intelligence, and access to multiple threat intelligence services for real-time information
2	<p>Purchase the services of a Managed Security Service Provider (MSSP) to supplement internal resources, provide a global view and awareness of known threats and activities and increase cybersecurity response capabilities and threat intelligence.</p> <ul style="list-style-type: none"> • Proven global view of threats • Pool of analysts in global Security Operations Centers to assist in responding to threats. • Extensive expertise in SIEM configuration and administration
#	Disaster Recovery Solution
1	<p>Work with a State Datacenter Managed Service Provider to increase the disaster recovery capabilities of FDC in the event of a natural disaster or cybersecurity incident. [REDACTED]</p>
2	<p>Work with a cloud-based Managed Service Provider to increase the disaster recovery capabilities of FDC in the event of a natural disaster or cybersecurity incident.</p> <ul style="list-style-type: none"> • Flexibility • Optimized Costs
#	Infrastructure Updates Solution
1	<p>Significantly increase investment in infrastructure upgrades to bring the department up to current security standards. This will allow us to utilize modern security for Network Access Control.</p> <ul style="list-style-type: none"> • Granular Access Control • Inventory management
2	<p>No Action, resulting in ever-increasing risk of network infrastructure failure and security vulnerability.</p>

1. Rationale for Selection

The chosen solution should meet the following criteria:

Cybersecurity Solution

- The solution will be able to act on zero-day, real-world threat information as it becomes available.
- The solution will expand the Department’s response team capabilities so that it is redundant and available 24/7/365.
- The solution should provide and support cybersecurity standards and best practices, based on the NIST 800-53 cybersecurity framework.

Disaster Recovery Solution

- The solution will be able to restore functionality of high priority servers and applications within a set RTO and RPO, as determined by a business impact analysis.
- The solution will allow for continuity of business in the event of a natural disaster by having disaster recovery infrastructure in a separate geographic location than primary infrastructure.
- The solution will allow for continuity of business in the event of a cybersecurity incident by having offline backups and rollback capabilities.

Infrastructure Updates Solution

- The solution will allow for device inventory and identification of all devices connected to the FDC network infrastructure.
- The solution will provide device-level authentication and authorization.
- The solution will allow for strict control over device connectivity.
- The solution will allow for detection and alerting of unknown devices connecting to the network.

2. Recommended Technical Solution

Cybersecurity Solution

Recommended Option – #2 Acquire MMSP/MDR. Selection criteria are shown below.



Disaster Recovery Solution

Recommended Option – #2 Acquire Cloud-based Disaster Recovery Managed Service Provider. Selection criteria are shown below.



Infrastructure Updates Solution

Recommended Option – #1 Upgrade Infrastructure to Supported Levels. Selection criteria are shown below.



D. Proposed Solution Description

1. Summary Description of Proposed System

The Managed Security Services Provider (MSSP) will maintain an internal, global threat intelligence unit that will supply intelligence on developing cybersecurity threats in near real-time. The MSSP will also operate Security Operations Centers (SOC) that monitors customer security information and events 24/7/365 and responds to detected events in the customer environment. Events from FDC's local Security Incident and Event Management will be forwarded to the MSSP for analysis by artificial intelligence and expert analysts.

The Department's Proposed Solutions is not included for public consumption but will be made available to authorized personnel upon request.

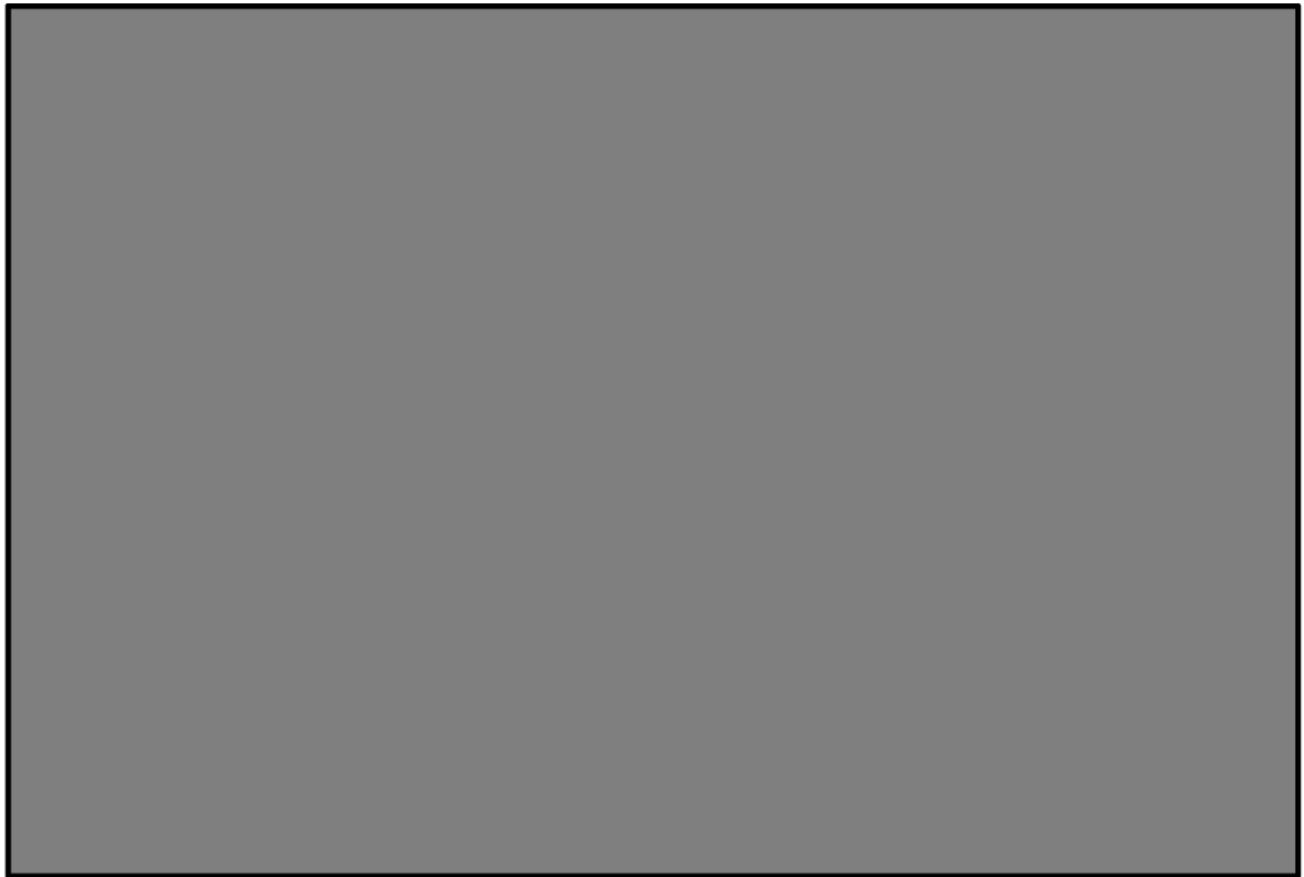


Figure 3: MSSP Overview

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

The total project cost is expected to be \$15,978,819 over five years. This amount includes one additional staff augmentation contractor and no additional FTE positions. The majority of the workload for The Infrastructure Improvements will be performed by a managed services provider that is contracted pursuant to section 287.057, F.S.

Summary Level Funding

Cost Component	FY 2022-23 (Y01) Total	FY 2023-24 (Y02) Total	FY 2024-25 (Y03) Total	FY 2025-26 (Y04) Total	FY 2026-27 (Y05) Total	5-Year Total
Managed Services	\$1,288,871	\$1,258,871	\$1,258,871	\$1,258,871	\$1,258,871	\$6,324,355
Hardware	\$2,575,140	\$490,000	\$0	\$0	\$0	\$3,065,140
Staff Augmentation	\$200,000	\$200,000	\$200,000	\$200,000	\$200,000	\$1,000,000
Professional Services	\$460,500	\$350,000	\$0	\$0	\$300,000	\$1,110,500
Software Subscription	\$369,654	\$105,654	\$105,654	\$105,654	\$105,654	\$792,269
Data Center	\$765,311	\$730,311	\$730,311	\$730,311	\$730,311	\$3,686,555
Grand Total	\$5,659,476	\$3,134,836	\$2,294,836	\$2,294,836	\$2,594,836	\$15,978,819

E. Capacity Planning

The FDC environment currently consists of 220 servers, roughly 14,000 endpoints and 16,000 users. Currently the Department’s Security Information and Event Management (SIEM) system is processing around 270Gb per day of security event logs. As FDC begins to onboard the MSSP log sources and relevant events will be evaluated and logging will be adjusted accordingly. Additional factors that can influence the current log management capacity include increasing the number of logs that are available from the Network Access Control system as new sites are implemented. The impact of this data is yet to be determined but is estimated to be within the capacity of our SIEM. The number of servers is anticipated to grow as other OIT projects under development proceed and would contribute to the overall logging and monitoring load.

VII. Schedule IV-B Project Management Planning

The Department’s Project Management Office standard Project Management Plan template is provided in Appendix B. A high-level timeline is included below for reference.

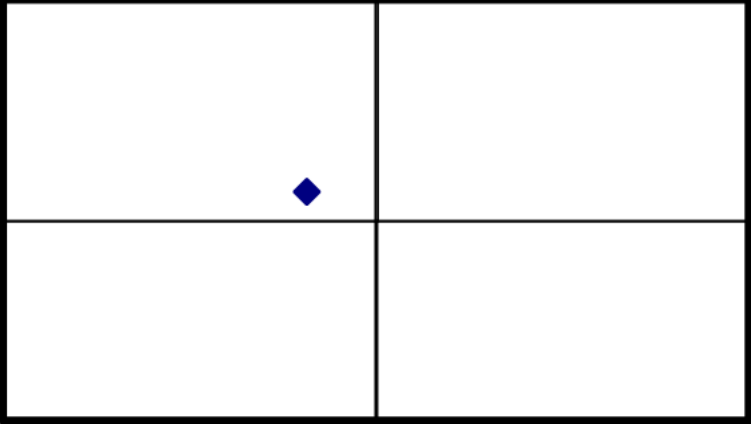


Figure 4: High Level Schedule

VIII. Appendices

A. Risk Assessment Tool

The Department's detailed responses to the Schedule IV-B Risk Assessment are in the following embedded document.

	B	C	D	E	F	G	H
3	Project		<i>OIT Infrastructure Improvements</i>				
4							
5	Agency		<i>Florida Department of Corrections</i>				
6	FY 2022-23 LBR Issue Code:			FY 2022-23 LBR Issue Title:			
7	<i>36295C0</i>			<i>Infrastructure Improvements</i>			
8	Risk Assessment Contact Info (Name, Phone #, and E-mail Address):						
9	<i>Shane McPherson --- 850-412-2670 --- shane.mcpherson@fdc.myflorida.com</i>						
10	Executive Sponsor		<i>Wendy Ling</i>				
11	Project Manager						
12	Prepared By		<i>Shane McPherson</i>			<i>8/5/2021</i>	
14	Risk Assessment Summary						
15							
16	Business Strategy						
17							
18							
19							
20							
21							
22							
23							
24							
25							
26							
27							
28							
29							
30	Level of Project Risk						
31							
32							
34	Project Risk Area Breakdown						
35	Risk Assessment Areas						Risk Exposure
36	Strategic Assessment						MEDIUM
37							
38	Technology Exposure Assessment						MEDIUM
39							
40	Organizational Change Management Assessment						LOW
41							
42	Communication Assessment						MEDIUM
43							
44	Fiscal Assessment						MEDIUM
45							
46	Project Organization Assessment						MEDIUM
47							
48	Project Management Assessment						MEDIUM
49							
50	Project Complexity Assessment						LOW
51							
52							
53	Overall Project Risk						MEDIUM

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

	B	C	D	E
1	Agency: Florida Department of Corrections		Project: OIT Infrastructure Improvements	
3	Section 2 -- Technology Area			
4	#	Criteria	Values	Answer
5	2.01	Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
6			Supported prototype or production system less than 6 months	
7			Supported production system 6 months to 12 months	
8			Supported production system 1 year to 3 years	
9			Installed and supported production system more than 3 years	
10	2.02	Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system?	External technical resources will be needed for implementation and operations	External technical resources will be needed for implementation and operations
11			External technical resources will be needed through implementation only	
12			Internal resources have sufficient knowledge for implementation and operations	
13	2.03	Have all relevant technical alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	Some alternatives documented and considered
14			Some alternatives documented and considered	
15			All or nearly all alternatives documented and considered	
16	2.04	Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
17			Some relevant standards have been incorporated into the proposed technology	
18			Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
19	2.05	Does the proposed technical solution require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Moderate infrastructure change required
20			Moderate infrastructure change required	
21			Extensive infrastructure change required	
22			Complete infrastructure replacement	
23	2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
24			Capacity requirements are defined only at a conceptual level	
25			Capacity requirements are based on historical data and new system design specifications and performance requirements	

	B	C	D	E
1	Agency: Florida Department of Corrections		Project: OIT Infrastructure Improvements	
3	Section 3 -- Organizational Change Management Area			
4	#	Criteria	Values	Answer
5	3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Minimal changes to organization structure, staff or business processes structure
6			Moderate changes to organization structure, staff or business processes	
7			Minimal changes to organization structure, staff or business processes structure	
8	3.02	Will this project impact essential business processes?	Yes	No
9			No	
10	3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	0% to 40% -- Few or no process changes defined and documented
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defined and documented	
13	3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	Yes
14			No	
15	3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Less than 1% FTE count change
16			1% to 10% FTE count change	
17			Less than 1% FTE count change	
18	3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	Less than 1% contractor count change
19			1 to 10% contractor count change	
20			Less than 1% contractor count change	
21	3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
22			Moderate changes	
23			Minor or no changes	
24	3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Minor or no changes
25			Moderate changes	
26			Minor or no changes	
27	3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with greater change requirements
28			Recently completed project with fewer change requirements	
29			Recently completed project with similar change requirements	
30			Recently completed project with greater change requirements	

	B	C	D	E
1	Agency: Agency Name		Project: Project Name	
3	Section 4 -- Communication Area			
4	#	Criteria	Value Options	Answer
5	4.01	Has a documented Communication Plan been approved for this project?	Yes	Yes
6			No	
7	4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Proactive use of feedback in Plan
8			Routine feedback in Plan	
9			Proactive use of feedback in Plan	
10	4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
11			No	
12	4.04	Are all affected stakeholders included in the Communication Plan?	Yes	No
13			No	
14	4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Plan does not include key messages
15			Some key messages have been developed	
16			All or nearly all messages are documented	
17	4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Plan does not include desired messages outcomes and success measures
18			Success measures have been developed for some messages	
19			All or nearly all messages have success measures	
20	4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
21			No	

	B	C	D	E
1	Agency: Florida Department of Corrections		Project: OIT Infrastructure Improvements	
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
5	5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	81% to 100% -- All or nearly all defined and documented
8			41% to 80% -- Some defined and documented	
9			81% to 100% -- All or nearly all defined and documented	
10	5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Between \$2 M and \$10 M
11			Greater than \$10 M	
12			Between \$2 M and \$10 M	
13			Between \$500K and \$1,999,999	
14			Less than \$500 K	
15	5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
16			No	
17	5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Order of magnitude – estimate could vary between 10-100%
18			Order of magnitude – estimate could vary between 10-100%	
19			Placeholder – actual cost may exceed estimate by more than 100%	
20	5.06	Are funds available within existing agency resources to complete this project?	Yes	No
21			No	
22	5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
23			Funding from local government agencies	
24			Funding from other state agencies	
25	5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Neither requested nor received
26			Requested but not received	
27			Requested and received	
28			Not applicable	
29	5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
30			Some project benefits have been identified but not validated	
31			Most project benefits have been identified but not validated	
32			All or nearly all project benefits have been identified and validated	
33	5.10	What is the benefit payback period that is defined and documented?	Within 1 year	No payback
34			Within 3 years	
35			Within 5 years	
36			More than 5 years	
37			No payback	
38	5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Procurement strategy has not been identified and documented
39			Stakeholders have not been consulted re: procurement strategy	
40			Stakeholders have reviewed and approved the proposed procurement strategy	
41	5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Time and Expense (T&E)
42			Firm Fixed Price (FFP)	
43			Combination FFP and T&E	
44	5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of hardware and software is documented in the project schedule
45			Purchase all hardware and software at start of project to take advantage of one-time discounts	
46			Just-in-time purchasing of hardware and software is documented in the project schedule	
47	5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
48			Contract manager is the procurement manager	
49			Contract manager is the project manager	
50			Contract manager assigned is not the procurement manager or the project manager	
51	5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
52			No	
53	5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	No selection criteria or outcomes have been identified
54			Some selection criteria and outcomes have been defined and documented	
55			All or nearly all selection criteria and expected outcomes have been defined and documented	
56	5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
57			Multi-stage evaluation not planned/used for procurement	
58			Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
59	5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
60			No, bid response did/will not require proof of concept or prototype	
61			Yes, bid response did/will include proof of concept or prototype	
62			Not applicable	

	B	C	D	E
1	Agency: Florida Department of Corrections		Project: OIT Infrastructure Improvements	
3	Section 6 -- Project Organization Area			
4	#	Criteria	Values	Answer
5	6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
6			No	
7	6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	2
14			2	
15			1	
16	6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Some or most staff roles and responsibilities and needed skills have been identified
17			Some or most staff roles and responsibilities and needed skills have been identified	
18			Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
19	6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	No, project manager assigned more than half-time, but less than full-time to project
20			No, project manager is assigned 50% or less to project	
21			No, project manager assigned more than half-time, but less than full-time to project	
22			Yes, experienced project manager dedicated full-time, 100% to project	
23	6.07	Are qualified project management team members dedicated full-time to the project	None	Yes, business, functional or technical experts dedicated full-time, 100% to project
24			No, business, functional or technical experts dedicated 50% or less to project	
25			No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
26			Yes, business, functional or technical experts dedicated full-time, 100% to project	
27	6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Mostly staffed from in-house resources
28			Half of staff from in-house resources	
29			Mostly staffed from in-house resources	
30			Completely staffed from in-house resources	
31	6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
32			Moderate impact	
33			Extensive impact	
34	6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
35			No	
36	6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	No, all stakeholders are not represented on the board
37			No, only IT staff are on change review and control board	
38			No, all stakeholders are not represented on the board	
39			Yes, all stakeholders are represented by functional manager	

	B	C	D	E
1	Agency: Florida Department of Corrections		Project: OIT Infrastructure Improvements	
3	Section 7 -- Project Management Area			
4	#	Criteria	Values	Answer
5	7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
6			Project Management team will use the methodology selected by the systems integrator	
7			Yes	
8	7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
9			1-3	
10			More than 3	
11	7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	All or nearly all
12			Some	
13			All or nearly all	
14	7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	41 to 80% -- Some have been defined and documented
15			41 to 80% -- Some have been defined and documented	
16			81% to 100% -- All or nearly all have been defined and documented	
17	7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
18			41 to 80% -- Some have been defined and documented	
19			81% to 100% -- All or nearly all have been defined and documented	
20	7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	41 to 80% -- Some are traceable
21			41 to 80% -- Some are traceable	
22			81% to 100% -- All or nearly all requirements and specifications are traceable	
23	7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
24			Some deliverables and acceptance criteria have been defined and documented	
25			All or nearly all deliverables and acceptance criteria have been defined and documented	
26	7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
27			Only project manager signs-off	
28			Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
29	7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	41 to 80% -- Some have been defined to the work package level
30			41 to 80% -- Some have been defined to the work package level	
31			81% to 100% -- All or nearly all have been defined to the work package level	
32	7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	No
33			No	
34	7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
35			No	
36	7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting processes
37			Project team uses formal processes	
38			Project team and executive steering committee use formal status reporting processes	
39	7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
40			Some templates are available	
41			All planning and reporting templates are available	
42	7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
43			No	
44	7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
45			Some have been defined and documented	
46			All known risks and mitigation strategies have been defined	
47	7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
48			No	
49	7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
50			No	

	B	C	D	E
1	Agency: Florida Department of Corrections		Project: OIT Infrastructure Improvements	
2				
3	Section 8 -- Project Complexity Area			
4	#	Criteria	Values	Answer
5	8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
6			More complex	
7			Similar complexity	
8			Less complex	
9	8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
10			3 sites or fewer	
11			More than 3 sites	
12	8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
13			3 sites or fewer	
14			More than 3 sites	
15	8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
16			1 to 3 external organizations	
17			More than 3 external organizations	
18	8.05	What is the expected project team size?	Greater than 15	5 to 8
19			9 to 15	
20			5 to 8	
21			Less than 5	
22	8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	None
23			2 to 4	
24			1	
25			None	
26	8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Business process change in single division or bureau
27			Agency-wide business process change	
28			Statewide or multiple agency business process change	
29	8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
30			No	
31	8.09	What type of project is this?	Infrastructure upgrade	Implementation requiring software development or purchasing commercial off the shelf (COTS) software
32			Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
33			Business Process Reengineering	
34			Combination of the above	
35	8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Similar size and complexity
36			Lesser size and complexity	
37			Similar size and complexity	
38			Greater size and complexity	
39	8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Greater size and complexity
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

B. FDC Draft Project Management Plan

The following embedded document is the draft OIT Infrastructure Improvements Project Management Plan.

FLORIDA DEPARTMENT OF CORRECTIONS

Office of Information Technology



OIT INFRASTRUCTURE IMPROVEMENTS

PROJECT MANAGEMENT PLAN

VERSION 1.0



CONTACTS

Agency Project Manager:		Agency Project Sponsor:	
Andrew Morton, PMP		CIO Wendy Ling	
Phone:	850-717-3333	Phone:	850-717-3963
Email:	Andrew.Morton@fdc.myflorida.com	Email:	wendy.ling@fdc.myflorida.com



SIGNATURE AND ACCEPTANCE PAGE

I have reviewed this Project Management Plan (PMP) and agree that the content of the document is accurate and clearly describes the project management methodology for the project.

Signature: _____ Date: _____
Print Name: **Wendy Ling**
Title: **Chief Information Officer**
Agency: **Florida Department of Corrections**
Role: **Project Sponsor**

Signature: _____ Date: _____
Print Name: **Mark Tallent**
Title: **Chief Financial Officer**
Agency: **Florida Department of Corrections**
Role: _____

Signature: _____ Date: _____
Print Name: **Tim Fitzgerald**
Title: **Chief of Staff**
Agency: **Florida Department of Corrections**
Role: _____

Signature: _____ Date: _____
Print Name: _____
Title: _____
Agency: _____
Role: _____

Signature: _____ Date: _____
Print Name: _____
Title: _____
Agency: _____
Role: _____



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1 EXECUTIVE SUMMARY

This Project Management Plan (PMP) provides methodology, plans, and processes for effective execution and management of the OIT Infrastructure Improvements project. This plan identifies the project's:

- Scope
- Approach
- Organizational and Governance Structure
- Resource Plan
- Work Breakdown Structure
- Schedule Management Plan
- Cost Management Plan
- Procurement Management Plan
- Communications Management Plan
- Change Management Plan
- Organizational Change Management Plan
- Quality Management Plan
- Risk and Issue Management Plans
- System Security Plan

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

2 PROJECT SCOPE

2.1 Project Summary

The purpose of this project is to increase the security posture of the Department by procuring tools and engaging a Managed Security Service Provider (MSSP) to provide full “24/7/365” coverage across all facets of our IT operations and infrastructure. The service would include threat analysis by industry experts with a view into activity happening in real-time world-wide, vulnerability notifications that are relevant to our environment as soon as they are published, if not before, and incident response ready for engagement as soon as an incident is detected. Faster aggregation and correlation of security event data would lead to a quicker response to cyberattacks.

This project will have three workstreams:

- Infrastructure Improvements
- Disaster Recovery
- Network Infrastructure Updates



2.2 In Scope

The scope of this project will include the procurement and implementation of a Managed Security Service Provider, as well as a Managed Disaster Recovery Service and significant upgrades to the network infrastructure in order to accommodate better access control.

2.3 Out of Scope

Any Cybersecurity or Infrastructure implementations not associated with the project objectives.

2.4 Project Objectives

2.5 Assumptions and Constraints

2.5.1 Assumptions

- FDC's OIT is required to comply with many state and federal regulations, which give specific guidance on the security and accessibility of information:
 - Florida Statute 282.318, Enterprise Security of Data and Information Technology
 - Florida Administrative Code Rule Chapter 60GG-2: Information Technology Security
 - FBI's Criminal Justice Information System Security Policy (CJIS)



- Public Law (PL), 104-191, Health Insurance Portability and Accountability Act of 1996 (HIPAA)
- Florida Statute 282.601, Accessibility of Electronic Information and Information Technology
- Florida Administrative Code Chapter 60-8, Accessible and Electronic Information Technology
- Florida Statute 119, General State Policy on Public Records
- Vendors can implement the proposed solution in the designated timeframe, in the sequence prescribed, and in alignment with budgetary allocations/restrictions.
- The proposed Service Provider will increase operational efficiencies and effectiveness and eliminate manual processes which rely upon the use of ad-hoc tools.
- The Department will employ the Organizational Change Management (OCM) activities required to successfully implement the recommended solution.
- The project team, both the Department and the Vendor, will be staffed appropriately to complete the deliverables, achieve milestones, implement infrastructure changes, manage user involvement, and ensure proper testing.

2.5.2 Constraints

- Project activities, schedules, and milestones depend on the appropriate funding.
- State statutory changes, changes in administrative rules, and Department policy changes could affect the project.
- Specific software tools supporting desired capabilities will be determined based on the solution options proposed by the system integration vendor.
- There is a limit to the workload that Department staff can dedicate to OIT Infrastructure Improvement project each year.

2.6 Milestones

Milestone
Schedule IV-B Completed
[Redacted]
[Redacted]
Acceptance of Security Tools and Services Architecture Design
Project Kick-Off
Acceptance of Functional and Technical Requirements
Information Security Team Training Complete
[Redacted]
[Redacted]
[Redacted]
[Redacted]
[Redacted]
[Redacted]
[Redacted]
[Redacted]
[Redacted]



2.7 Deliverables

Deliverable
Complete Schedule IV-B
Project Charter
[Redacted]
[Redacted]
[Redacted]
[Redacted]
[Redacted]
[Redacted]
[Redacted]
[Redacted]
[Redacted]
[Redacted]
Tools and Services Architecture Diagram
System Requirements Document
[Redacted]
[Redacted]
[Redacted]
[Redacted]
[Redacted]

2.8 Requirements Traceability

Requirements Traceability is the ability to trace from business requirements to the various design, build, and test components throughout all phases of the project. Requirements tracing is a practice that greatly increases the quality and reliability of a project’s final output while minimizing costly rework resulting from requirements errors. The project will use a Requirements Traceability Matrix (RTM) to confirm traceability across phases of the project.

Bidirectional traceability means that requirements can be traced both forwards and backwards ideally through each step of the project. Bidirectional traceability helps determine that the solution addresses the source requirements and that all requirements and deliverables can be traced to a baselined RTM.

The business and technical requirements that are documented as part of the Schedule IV-B shall be further refined and validated. Once the requirements are complete for each workstream they will be baselined. The baseline provides the inventory of confirmed requirements against which changes can be monitored and measured.

Beyond the baseline of these requirements, the following shall apply to support overall system quality:

1. Requirements altered or added as part of the requirements confirmation sessions will be recorded as part of the project’s Change Management Plan.
2. During the design phases of the Project, the first portion of the requirements traceability will be initiated whereby the design that supports a particular requirement will be noted.



3. During the User Acceptance testing phases, the second portion of the requirements traceability task would commence. During this task, the test scenario used to validate a particular requirement would be noted.
4. The requirements, at the conclusion of testing, would be evaluated prior to deployment to ensure the business requirements have been addressed.

3 PROJECT APPROACH

3.1 Waterfall Methodology

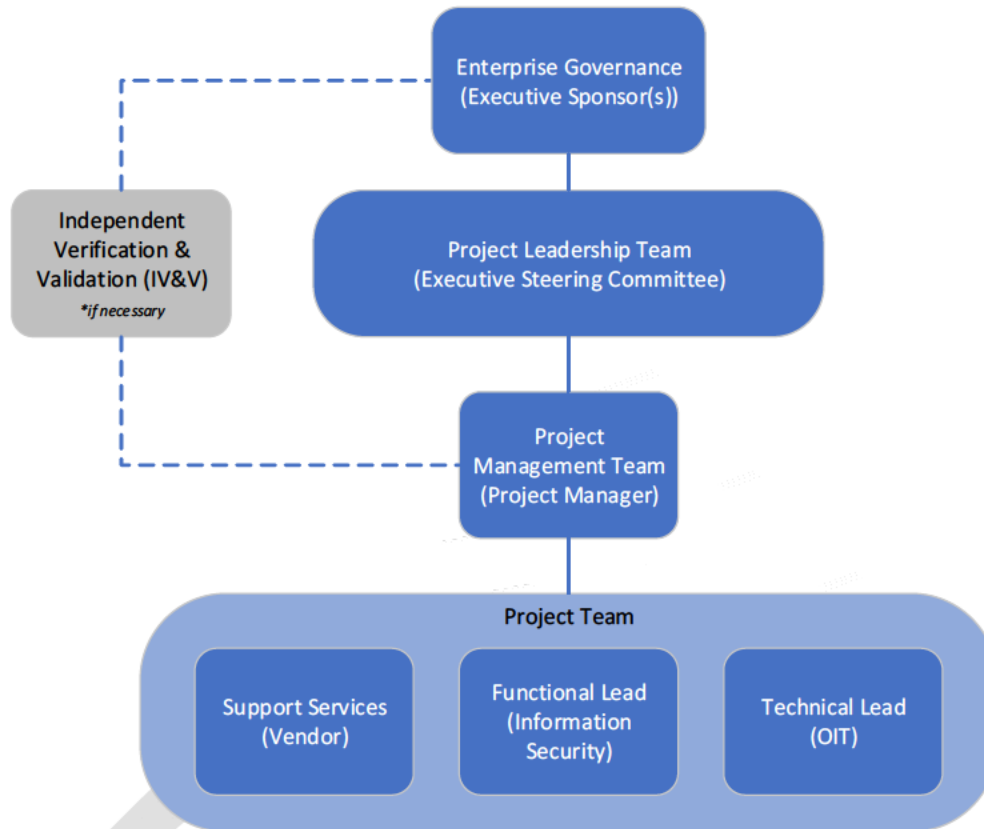
A waterfall approach will be taken to manage certain activities and deliverables that have a natural progression and interdependency on each other. Examples include the development and documentation of the project charter, project management plan, resource on-boarding, project kick-off, etc. As the Project progresses, the waterfall methodology will be used to formalize the outcomes of the legacy system as-is reviews, gap analysis work, database design activities and development preparation. These deliverables will be constructed by gathering or creating documents, evaluating the legacy system programs as well as various discussions surrounding the existing database synchronization structure and challenges. These tasks are laid out in a traditional waterfall approach, having a natural order with predecessors and successors clearly defined within the program schedule. The overarching SDLC has a multitude of stage containment activities. There is an evaluation of the Program's progress at various points to ensure work has been completed and stakeholder approval has been achieved in order to proceed to the next stage of activities.

4 PROJECT ORGANIZATIONAL AND GOVERNANCE STRUCTURE

Effective Governance provides strategic direction to a project, helps remove barriers for the project team, and authorizes human, financial, or material resources to be allocated based on expected performance and benefits. For issues that are beyond the control of the project manager or team, the Project Steering Committee and Agency Management serve as an escalation path.



4.1 Project Organizational & Governance Chart



4.2 Identify Stakeholders

Key stakeholders will be identified and confirmed during the planning phase of the project (FY21-22). The stakeholders will be captured in the project stakeholder registry, a table identifying all stakeholders and project participants to include their level of involvement or how they are impacted by this project.

4.3 Identify Project Team

The Project Team will be identified and confirmed during the planning phase of the project (FY21-22). Team membership will be updated throughout the lifecycle of the project as additional resources are identified and/or procured. All project team members will be logged and maintained in the project stakeholder registry.

4.4 Project Governance Process

The Project's Governance Process consists of three levels of governance: Executive Steering Committee, the Project Management Team, and the Project Team. The roles and responsibilities for each level are defined within the decision escalation matrix in section 4.5. The individuals that make up each governance level will be identified during the planning phase of the project (FY20-21). Governance will take place during reoccurring status meetings, tentatively scheduled monthly. In the result a critical change or decision is needed, emergency meetings of any of the governing bodies may be scheduled at the Project Manager's discretion.



4.5 Escalation Process

	Schedule	Scope	Budget	Risks / Issues	Resources
Governance Body	<i>Decisions involving the creation and management of the project's Integrated Master Schedule (IMS). Includes any cross-project dependency identification and management.</i>	<i>Decisions involving the development and management of the project's scope. Includes management of both product and project scope.</i>	<i>Decisions involving the creation and management of the project's budget</i>	<i>Decisions involving potential impacts (risks) and issues that may jeopardize fulfillment of project objectives.</i>	<i>Decisions involving the acquisition and management of project resources.</i>
High Priority Items					
<p>Project Leadership Team Ensure the project meets overall objectives and:</p> <ul style="list-style-type: none"> - Provide management direction and support to the Project Management Team. - Assess the project's alignment with the strategic goals of the department. - Review and approve or disapprove high-priority changes to the project's scope, schedule, and costs. - Review, approve or disapprove and determine whether to proceed with any major project deliverables; and - Recommend suspension or termination of the project to the Governor, the President of the Senate, and the Speaker of the House of Representatives if determined that the primary objectives cannot be achieved. 	<ul style="list-style-type: none"> - Missed phase gate. - Schedule variances that will impact the IMS baseline (warranting re-baseline). - Significant schedule slippage that may include missing key deliverables or milestone dates. - Schedule variances that will cause a delay in work along the critical path. - SPI trending < 0.90 ($\pm 10\%$). 	<ul style="list-style-type: none"> - Changes in scope that impact the overall project definition and direction. - Legislative and/or policy directives. - Unstable project scope. - Deferral of functionality with impact to business objectives. - Go/No-Go decision points. 	<ul style="list-style-type: none"> - Spending over/under budget for an established reporting period ($\pm 10\%$) - Changes to the overall project budget (allocation, distribution, etc.). - CPI trending < 0.95 variance across three (3) or more months. 	<ul style="list-style-type: none"> - Escalating or new risks that will most likely impact the success of the project. - Escalating or new issues that are impacting the success of the project. 	<ul style="list-style-type: none"> - Enterprise (cross-department) staffing and resource management (allocations).
Medium Priority Items					
<p>Project Management Team (Project Manager)</p> <p>Provide daily planning, management, and oversight of the project.</p>	<ul style="list-style-type: none"> - Isolated schedule slippage. Impact >5 working days to 10 working days and can be managed within 	<ul style="list-style-type: none"> - Minor changes to project scope (or requirement delays) that can be managed 	<ul style="list-style-type: none"> - Spending over/under budget for an established reporting period ($\pm 5\%$). - Impact can be managed 	<ul style="list-style-type: none"> - New risks and issues that do not pose a significant threat to project success and can be 	<ul style="list-style-type: none"> - Resource management (allocations) within the project.



	<p>the working team (unless on the critical path).</p> <ul style="list-style-type: none"> - Schedule variances that will not cause a delay in work along the critical path. - Schedule variances that will not significantly impact the IMS baseline (not warranting re-baseline). - Decisions that affect a dependency external to the project 	<p>within the working team. Workaround exists.</p>	<p>within the project budget.</p>	<p>managed within the working team.</p>	
Low Priority Items					
<p><u>Project Team Lead(s)</u> In consultation with the Project Manager</p> <p><i>Provide daily planning, management and oversight of the project's workstreams</i></p>	<ul style="list-style-type: none"> - Impact 5 business days or less and can be managed within the workstream (unless on the critical path). - Schedule variances that will not cause a delay in work along the critical path. - Schedule variances that will not significantly impact the project schedule baseline (not warranting re-baseline). - Decisions that affect a dependency internal to the project. 	<ul style="list-style-type: none"> - Minor changes to workstream scope (or requirement delays) that can be managed within the working team. Workaround exists. 	<ul style="list-style-type: none"> - Impact can be managed within the workstream. 	<ul style="list-style-type: none"> - New risks and issues that do not pose a significant threat to workstream success and can be managed within the working team. 	<ul style="list-style-type: none"> - workstream resource management (allocations).



5 RESOURCE PLAN

5.1 Human Resources

Human resource management is the process developed to effectively identify, acquire, and manage the resources needed to meet the project objectives. This includes defining what resources are needed, assessing appropriate skill sets, and determining when and how long resources are needed for the project. As such, the procedures within the resource management plan focus on assessing resource needs, escalating the need to project leadership, and managing the need through work re-assignment, training or on-boarding of additional personnel. Please refer to the OIT Infrastructure Improvements Resource Plan that will be developed as part of the project initiation activities. The resource plan includes, for each anticipated person: the role on the project, the anticipated start date, the duration the resource will be needed and their assigned supervisor. The most current version of the resource plan shall be kept as part of the Project Control Book. Project resource planning does not account for resources contracted through the Support Services vendor.

5.2 Equipment/Materials Resources

All equipment, materials, and otherwise non-human resources will be identified and managed as deliverables within the project. Resources will be acquired via state procurement processes.

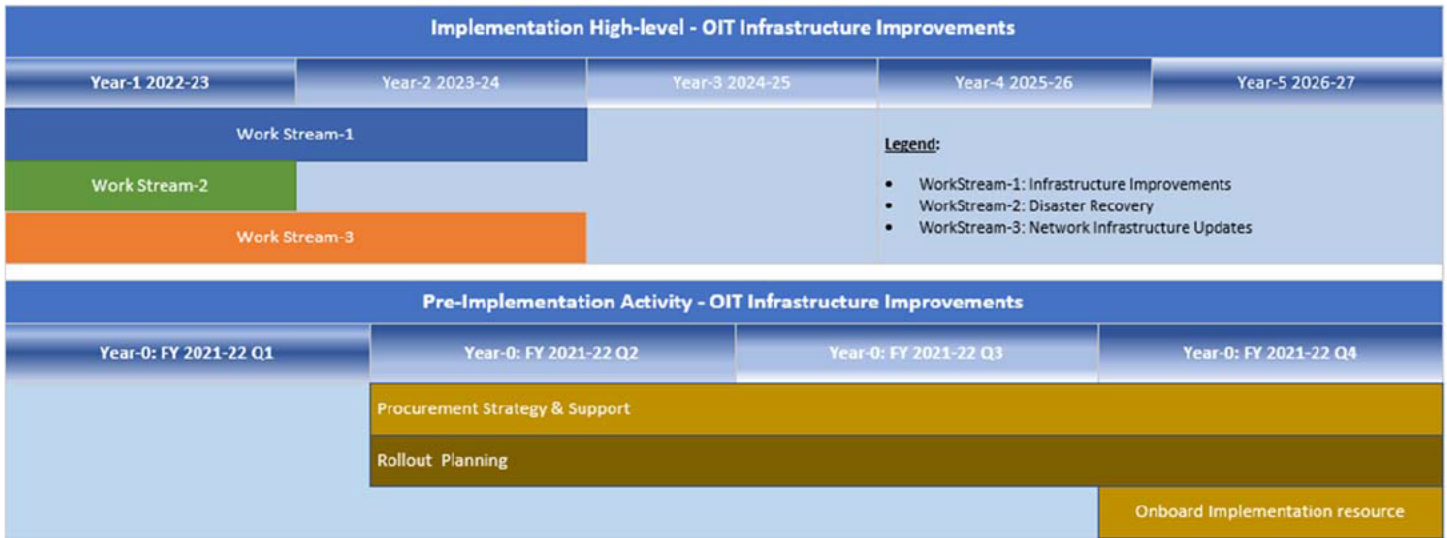
6 WORK BREAKDOWN STRUCTURE

Work Breakdown Structure will be developed in conjunction with Managed Service Provider before project initiation.

7 PROJECT SCHEDULE MANAGEMENT PLAN

7.1 Project Schedule

The project schedule is currently under development as part of the detailed planning occurring for the remainder of this fiscal year (FY 2021-22). The project management plan is a living document and will be updated throughout the life of the project. A high-level schedule has been developed and is detailed below.



7.2 Schedule Management

Schedule management refers to the processes required to ensure timely completion of the program objectives. The Project Manager is responsible for establishing the baseline and updating the IMS weekly with input from the respective team leads and teams.

- The IMS will be resource leveled. Resource leveling is the project management function of resolving resource over-allocation. Over-allocation means that a resource has been assigned more work than can be accomplished in available time as dictated by the resource's calendar definition.
- Tasks will be completed according to the program schedule and within the established timeframes. In the event of a slipping task, the process described in the section below will be followed.

The IMS will be updated on a routine basis with input from the individual team leads and respective teams. The initial baseline will be set in Microsoft Project as "Baseline 0." The Project Manager will be responsible for tracking and managing individual project tasks and reporting any slippage.

- The Project Manager will co-manage updates to the IMS with the Team Leads on a weekly basis. Information will be collected via weekly team meetings, analyzed, and reviewed collectively prior to incorporation. The updated IMS will be made available to all team members, reported in weekly status reports / meetings, and communicated to all governing bodies.
- The Project Manager will oversee the development of specific project tasks and manage resources to ensure that individual project objectives are met within the established timeframes.
- Weekly updates shall focus on recording the percent complete for tasks in 10% increments.

Schedule changes will be managed according to the Decision Escalation Matrix referenced in Section 4.5. Changes will follow the Change Management Process documented in Section 11. Schedule changes approved by the appropriate governing body will be documented in a separate spreadsheet that tracks the detailed description of the change, the person making the change, the version number of the schedule altered, and the rationale behind the requested change. Changes may not require an entirely new baseline and thus the baseline will also be tracked to document specific line item changes.

In accordance with IV&V and the Florida Digital Services (FLDS) project management expectations, the IMS will be tracked and monitored using the Schedule Performance Index (SPI) noting any standard deviations above or below 10%



from the planned and actual start/finish dates, and the Cost Performance Index (CPI) noting changes to the overall program budget (allocation, distribution, etc.).

8 COST MANAGEMENT PLAN

8.1 Project Estimated Budget

The Legislative Budget Request (LBR) submitted for FY 2022-23, estimates total project costs at \$4.4 million over 4 fiscal years. The budget for this project will be co-managed by the Project Manager and Contract and Budget Staff internal to the department. For detailed budget information, please refer to the Schedule IV-B Cost Benefit Analysis (CBA).

8.2 Project Spending Plan

The Contract and Budget Staff will develop an overall Project Spend Plan for each fiscal year that estimates the anticipated budget by month. The same budget information will be recorded in the PPM tool each month for monitoring and tracking by stakeholders.

The Contract and Budget Staff will review the budget information for all workstreams within the program once a month with the Program Manager and update the spend plan monthly to reflect actual expenditures to date for reporting to IV&V, FLDS, and the ESC.

8.3 Cost Management

Once a month, the Contract and Budget Staff and Project Manager will jointly review the planned budget and actual expenditures tracked in the Spend Plan to determine if the program is efficiently spending the resources. As specified in Section 13.4, Quality Assurance Assessments – Internal and External, the Contract and Budget Staff will review the Budget to Date as well as the overall Budget and report any variance.

All Team Leads will notify the Project Manager (and Contract and Budget Staff) in writing as to any anticipated budget revisions, the cause, and the impact to the project. In addition, the notification shall indicate when a decision is needed. This information shall be what is then used to initiate the Issue Management and Resolution process or the Change Control process, as agreed to by the Project Manager. For specific information on how budget issues will be handled, please refer to the Decision Escalation Matrix referenced in Section 4.5.

9 PROCUREMENT MANAGEMENT PLAN

9.1 Procurement Management Procedure

Any procurement of resources or services for the project will be conducted using State and Department policies and procedures. Specific procurement plans and approaches will be defined during the planning phase (FY 2021-22) of this project.

9.2 Contracts Management Procedure

Any contracts initiated for the project will be developed using State and Department policies and procedures. Specific contract management plans and approaches will be defined during the planning phase (FY 2021-22) of this project.



10 COMMUNICATIONS MANAGEMENT PLAN

Effective communication is one of the most important factors contributing to the success of the OIT Infrastructure Improvements project.

Three clear communication channels will be established during the project organization and include:

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

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

The Project Manager will meet weekly with the Project Management Team. Monthly meetings will be held with the Executive Steering Committee (ESC). Any decisions made by the ESC or recommendations made by the Project Management Team will be documented and included in the project artifacts. For clarification of governance roles and escalation practices, please refer to the Decision Escalation Matrix referenced in Section 4.5.

Additionally, the Project's Information Security Manager will be responsible for communications conducted as a part of Organizational Change Management (referenced in Section 12).

The following table details the project communications and meetings used to manage the project at this time. Additional details to the communications plan will be developed during the planning phase (FY 2021-22) of the project.

Project Communications				
Description	Target Audience	Delivery Method	Delivery Frequency	Owner
Project Control Book (includes risks, issues, action items, decisions, change control log, etc.)	Project Team, Project Management Team	Microsoft Teams	Weekly	Project Manager
Project Management Plan Document	Project Team, Sponsors, and Governing Bodies	Microsoft Teams	Within 30 days of approval	Project Manager
Status Reports	Project Team, Sponsors, and Governing Bodies	Microsoft Teams, Email	Monthly	Project Manager
Integrated Master Schedule (IMS)	Project Team, Sponsors, and Governing Bodies	Microsoft Teams, Email	Weekly	Project Manager
Support Services Vendor Deliverables	Project Team, Sponsors, and Governing Bodies	Microsoft Teams	Per Contractual Agreement	Vendor Project Manager
Meetings				
Description	Target Audience	Delivery Method	Delivery Frequency	Owner



Project Management Team Meeting	Project Management Team, Project Team	Meeting	Weekly	Project Manager
Executive Steering Committee	Sponsors, Executive Steering Committee Members	Meeting	Monthly	Project Manager

10.1 Updates to the Communications Plan

The Project’s Communications Plan will be updated by the Project Manager quarterly and distributed via e-mail.

10.2 Documentation Standards

The following Document Management Guidelines are in place to support the project:

- Version history is tracked for all documents within the PCB
- Document feedback and approvals are logged in the PCB
- Drafts and Final Submission Deliverables are clearly distinguished
- Approved Documents are stored in a separate folder in the PCB
- Document control information is captured for all official deliverables

10.2.1 Document Naming Conventions

Deliverable Expectation Document (DED)

The Deliverable Expectation Document (DED) naming standard (one DED for every deliverable) is as follows:

DED Del # - <Deliverable Name> v #.

Versions will be 1.0 for initial submission and increment by whole numbers for each formal submission. Incremental updates will utilize the minor version increments (e.g., 1.1, 1.2, and 1.3). All versions will be recorded in the document control section at the beginning of the document.

Deliverables

The Deliverable naming standard is as follows:

Del # - <Deliverable Name> v #.

Versions will be 1.0 for initial submission and increment by whole numbers for each formal submission. Incremental updates will utilize the minor version increments (e.g., 1.1, 1.2, and 1.3). All versions will be recorded in the document control section at the beginning of the document.

Deliverable Consolidated Comments

The Deliverable Consolidated Comments naming standard is as follows:

Del # - <Deliverable Name>Consolidated Comments v #.



Versions will be 1.0 for initial submission and increment by whole numbers for each formal submission. Incremental updates will utilize the minor version increments (e.g., 1.1, 1.2, and 1.3). All versions will be recorded in the document control section at the beginning of the document.

10.3 Centralized Document Repository

The Project Manager will establish a Project Control Book for the OIT Infrastructure Improvements Project within the Department's Microsoft Teams application. The Project Control Book contains artifacts specific to the project management aspects of the project as well as memorandums and meeting minutes. The Project Manager or their designee shall be responsible for publishing artifacts to this repository. Once available, a link to the specific 'Team' within Microsoft Teams will be added in this section.

11 CHANGE MANAGEMENT PLAN

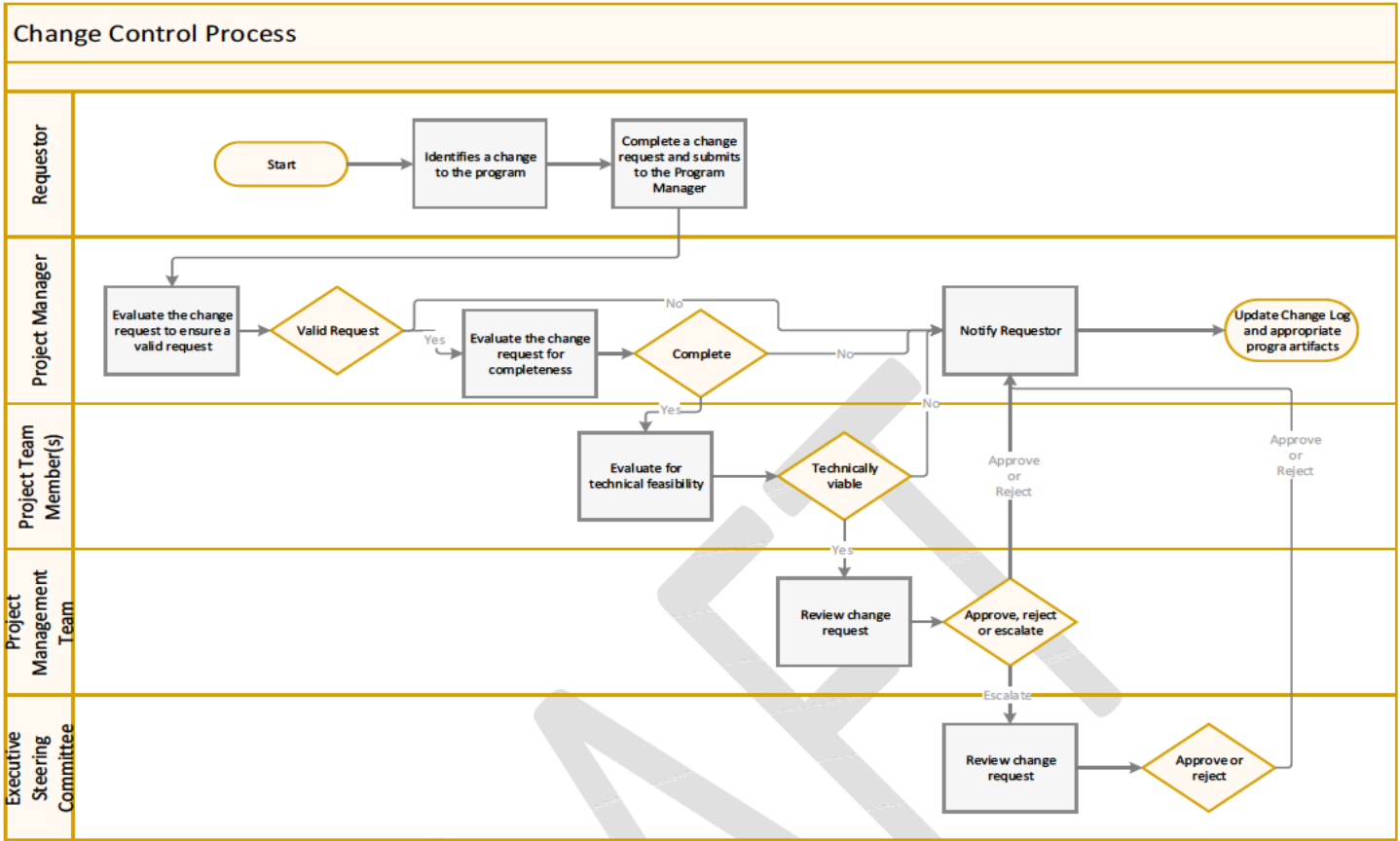
Changes should be expected during the project. These changes can result from the realization of risks, externally imposed requirements, estimation errors, leadership decisions, or adoption of new approaches to gain efficiency. Regardless the source, it is important that changes be managed to minimize adverse impacts to the project. Any change affecting scope, schedule, or cost initiates the change management process. Change management activities are subject to the governance and escalation processes described in the Organizational and Governance Plan.

11.1 Change Control Process

Below is a brief description of the change control process.

- A change to the project is identified.
- A change request is submitted to the Project Manager.
- The Project Manager will ensure the change is within the project's scope, identify impacts to the project's cost, schedule, and resources, and obtain specific requirements to implement the change.
- Change request is then evaluated for technical feasibility.
- Results of the change request evaluation are provided to the Project Management Team (PMT).
- PMT may approve, reject, or escalate to the Executive Steering Committee.
- If escalated, Governance team members will review the request and vote to either approve or reject the request.
- Requestor is notified of decision.

Please refer to the Change Management Process depicted on the following page:



11.2 Track Project Changes

All change requests will be tracked and managed via the change control log. The previously defined governance processes will be used to control changes.

12 ORGANIZATIONAL CHANGE MANAGEMENT PLAN

The goal of change is to improve the organization by altering what and/or how work is done. Change management activities are integral to the success of the project. Organizational change management (OCM) activities are facilitated by the Information Security Manager. OCM outlines the activities necessary to ensure staff participation in process development and improvement, skill set changes, and technology acceptance. Examples of these activities are the communication of project goals and benefits, documentation and communication of solution vendor/Department roles/responsibilities, development and communication of new process maps/roles, development and communication of a skills gap analysis, and the development and communication of a training plan.

Organizational change management (OCM) planning documents will be developed by the Department for OIT Infrastructure Improvements. These include the following artifacts:

- Communications Strategy and Plan: Helps to manage expectations about the OIT Infrastructure Improvements Project and provides consistent messages among project team members, eventual end-users of the solution and other impacted stakeholders. Included as a component of this document is a tactical Communication Plan that



charts out recurring and one-time communication events. This living document will be updated on a quarterly basis.

- **Organizational Analysis:** Details key aspects of the various end-user groups (internal and external, as applicable) for consideration into the to-be business processes and technology. It is intended to provide a gap-analysis of the end-user groups’ current and future work environments, tasks and activities, and knowledge, skills and abilities.
- **Training and Performance Support Strategy:** Details the overarching training needs and objectives for the project, per the Organizational Analysis. It also describes the various training methods (ex: Instructor-led, Web-based, Videos, Online Tip-sheets) that will be used; lays out a general training curriculum per user group; and describes any point-of-deployment and/or ongoing performance support mechanisms that will be used, such as help desks / user support sites.

13 QUALITY MANAGEMENT PLAN

The Quality Management Plan describes how quality will be managed throughout the lifecycle of the project. As part of the reporting and monitoring performed by Florida Digital Services (FLDS) as well as IV&V, the project will implement quality metrics to support transparency, traceability, and accountability against business objectives and benefits realization. The following tools will be used to manage quality of the project.

Tool	Description
Earned Value Management (EVM)	The Integrated Master Schedule (IMS) will be analyzed for earned value (EV) against the approved baseline.
Budget Variance	The IMS and Spend Plan will be analyzed for cost performance against the approved baseline.
Schedule Performance Index (SPI)	The IMS will be analyzed for schedule performance against the approved baseline.
Cost Performance Index (CPI)	The IMS will be analyzed for schedule performance against the approved baseline.
Status Reports	<p>The Project Manager will produce a weekly status report to keep stakeholders apprised, monitor the quality of the current project activities, and assess the likelihood of achieving key milestones. These status reports will also help monitor lessons learned and identify improvements for future phases and workstreams of the project.</p> <p>The weekly status report currently includes information to derive the following quality indicators:</p> <ul style="list-style-type: none"> • Progress against the baseline plan’s key milestones • Deliverables Progress – timeliness of submission, reviews, and approvals are key quality aspects for deliverables • Issues – Number of open priority issues and aging of issues • Risks – Total number of open Medium and High Risks • Action Items – Number and aging of open action items <p>Team members accountable for each workstream will provide the Project Manager with the data to support the Status Reports.</p> <p>Any Support Services vendor will produce:</p> <ul style="list-style-type: none"> • Weekly status reports for stakeholders • Monthly summary status reports for stakeholders



Tool	Description
Deliverable Expectations Document (DED)	The Project Team will work with the Vendor to document acceptance criteria for each deliverable, identify appropriate reviewers, and streamline the deliverable review process.

The purpose of the Quality Management Plan is to outline the processes to instill quality in the deliverables produced and services provided. The plan outlines both quality assurance activities as well as quality management metrics.

The objectives of the Quality Management Activities are to:

- Identify and correct defects early in the process
- Evaluate a deliverable against project standards and deliverable expectations
- Reduce the number of errors as the work effort progresses
- Reduce time and costs resulting from rework
- Monitor adherence to agreed-upon project processes

For purposes of this document, quality is defined as the degree to which a system, deliverable, or process meets specified requirements. The Quality Management Plan is made up of quality activities that fit into three main categories:

- Deliverable Quality
- Process Quality
- System Quality

The following subsections outline the key activities within the deliverable quality assurance, process quality management, and system quality categories.

13.1 Deliverable Quality

Deliverable Quality is used to evaluate whether project deliverables comply with the standards and objectives of the stakeholders. A key step in formulating a quality deliverable is to establish a shared set of expectations of what should be contained within the deliverable, who should contribute to the deliverable, and ultimately who will be involved in the review and approval of the work product.

These tenets of the formal Project deliverables will be documented and agreed to as part of the OIT Infrastructure Improvements Project's Deliverable Review Process.

13.2 Deliverable Review Process

Prior to starting the work to gather input and construct a deliverable, the Project Manager and deliverable author will confirm those individuals that will be responsible for contributing to and/or reviewing a deliverable. The Project Manager or deliverable owner will draft a Deliverable Expectation Document (DED) for the deliverable. The DED provides the author(s) guidance and direction on the deliverable format, level of detail. Identifies individuals that will contribute to the deliverable, confirms the deliverable reviewers, and reiterates the deliverable's deadlines.

The DED is an important project artifact in aligning expectations for the deliverable, defining specific roles for the deliverable, and is used in the quality assurance peer reviews for each submission. For each deliverable (regardless of



phase or deliverable review cycle), the peer review step relies on two documents to the quality assurance review: the approved DED and the consolidated comments from all reviewers noted in the approved DED as well as IV&V. Prior to the initial deliverable submission, the peer reviewer will make sure all sections in the DED are represented and address the content and format expectations outlined. For subsequent submissions, the peer reviewer will still evaluate the deliverable against the DED as well as evaluating the work product updates (or comment response) that were made for each comment received from the reviewers.

Outstanding points identified from the peer review are returned to the author(s). When another draft of the deliverable is available, the peer review process repeats. The Deliverable Review Process will be depicted visually and included here for reference upon approval of the Project and Organizational Governance Structures outlined within this document.

13.3 Deliverable Quality Metrics

The metrics for Deliverable quality are outlined in the following table. These metrics will be compiled and provided to the Project Manager and Project Director monthly.

Metric	Description	Target / Measurement
Number of Late Submitted deliverables	Count of deliverables originally planned for first submission in the prior month but whose delivery date was delayed.	Green: 0 Yellow: 1 to 2 Red: 3 or more
Mean duration of Deliverable Review Period	Mean calculation of the number of business days from the first period of the review until the deliverable is approved.	Green: 12 or fewer Yellow: 13 to 18 Red: 19 or more
Percent of planned approved deliverables not yet approved	Percentage of deliverables, since project start, that were planned to be approved but have yet to be approved.	Green: ≤ 10% Yellow: 10% < to ≤ 25% Red: 25% >

13.4 Quality Assurance Assessments – Internal and External

The Department will contract with an Independent Verification and Validation (IV&V) vendor for the duration of the project to provide a baseline assessment of the overall quality of the project, monthly progress monitoring, quality checkpoints, recommended improvements, and validation of realized project objectives.

The FLDS will also perform monthly reports on the overall status of the project. The Project Manager will be responsible for providing the appropriate documents such as an updated IMS, Spend Plan, and any other requested documentation to support status updates which will be provided to legislative staff pursuant to Rule 60GG-1 of the Florida Administrative Code.

The project will use existing Department tools to assist in performing internal reviews for EVM, SPI, CPI, and probability of achieving key milestones. Monthly reporting to the Department’s Tier I Governance will include an assessment of the overall health of the project (red-yellow-green status) based on the following metrics for the reporting period:



Metric	Measurement	Target / Measurement	Reporting Period
Scope	Did the project experience a scope change that impacted the project's costs, schedule or quality?	Green – No change in scope and scope is being managed Yellow – Scope change pending approval and impacts one of the three attributes Red – Scope change pending approval and impacts at least two of the three attributes	Weekly
Schedule	Are the Milestones and Deliverables on schedule?	Green: ≤ 5 business days Yellow: 6 < to ≤ 10 business days Red: 10 > business days	Weekly
Budget (to date)	Is the project within budget for this reporting period? Spend Plan (30-day period) are completed as of the last day of the previous month.	Green: Variance is ± 10% Yellow: Variance is ± 11%-20% Red: Variance is ± 21% or greater	Monthly
Budget (overall)	Is the project within budget overall? Spend Plan (total project budget) are completed as of the last day of the previous month.	Green: Variance is ± 10% Yellow: Variance is ± 11%-20% Red: Variance is ± 21% or greater	Monthly
Issue	Is the number and/or severity of issues increasing and/or is the issue overdue for resolution?	Green – No new issue was reported and/or the previously reported issue is being managed and on-target for resolution by the completion date Yellow – A new issue was reported and/or the previously reported issue is not being managed and/or not on-target for resolution by the completion date Red – Two or more new issues were reported and/or the previously reported issue is not being managed and/or on-target for resolution by the completion date * Managed is defined as PM is providing actionable updates to the status report indicating that the issue is being worked	Weekly
Risk	Is the number and/or severity of risks stable or decreasing	Green – Risks are stable or decreasing Yellow – A new risk was added to the project Red – Multiple risks were added and/or a previously reported risk increased in probability	Weekly

13.5 System Quality

System Quality is used to evaluate whether the system development and configuration complies with the requirements and business processes identified in the planning phases of each workstream of the project. System Quality Activities include requirements traceability, testing and defect management, and stage containment activities.



13.5.1 Requirements Traceability

See [section 2.9](#)

13.5.2 Testing and Defect Management

Testing activities are one of the primary mechanisms for confirming system quality. The project will evaluate quality as it pertains to testing and defect management using the following metrics.

- Defect Creation Count by Program Area and Defect Severity (System and Integration Testing, Performance Testing, and User Acceptance Testing phases) – this quality metric will measure the number of defects that were created within distinct phases of the testing process categorized by Program Area (e.g., Security in Operations, Community Corrections, etc.) and severity
- Defect Root Cause Disposition by Program Area and Defect Severity (All testing phases) – this quality metric will provide a count by program area and severity based on the disposition of a defect: disposition groupings and types will be defined during the planning phase.
- Change Requests by Program Area (All testing phases) – this quality metric will provide the number of new requests that are escalated to the Change Management process
- Defect Resolution Aging Report (UAT phase only) – this quality metric will provide the median calculation as to duration of how long a defect takes to resolve and provide back to the user for validation
- Defect by Program Area Closure Report (UAT Phase only) – this quality metric will provide the median calculation, by program area, of how long it takes a business area to test and close defects that have been returned to them for validation

14 RISK AND ISSUE MANAGEMENT

Project risk and issue management focuses on identifying and prioritizing risks based on impact and probability. A risk is not necessarily a problem – it is a recognition that a problem or opportunity may impact the project. Conversely an issue *is* a current problem that unless resolved will negatively impact the project. In accordance with Florida Digital Services oversight and project management rule 60GG-1, the Department will identify a Risk Manager for the project. The Department plans to solicit the vendor community for a Risk Manager Consultant.

14.1 Defining a Risk

The risk and issue management plans are critical procedures for the OIT Infrastructure Improvements project. A risk can be defined as an uncertain event or condition that, if it occurs, has a positive or negative impact on project’s objectives. Risks and issues will be managed at the project level as detailed in this plan.

The Risk Manager will monitor all project risks on an ongoing basis and maintain the risk register in the Project Control Book which includes the following information:

Risk Details	Description
Risk ID	The numeric ID assigned upon entry into the Project Control Book
Risk Name	The short risk name.
Risk Status	Field noting the status of the mitigation plan: New: Default value. Leave until initial risk review has occurred.



	<p>Mitigation Plan Defined: Status of all risks actively accepted or being mitigated.</p> <p>Risk Became Issue: Status of risks escalated as an issue. Record the associated Issue Number in the Resolution field.</p> <p>Closed: Status of resolved risks that were not escalated to issues.</p>
Assigned To	The person assigned for overall risk responsibility.
Risk Description	<p>A detailed description of the risk.</p> <p>Risks should be documented using an “If...then...” framework to clearly capture the potential risk and impact in the statement.</p>
Impacted Areas	Areas the risk could impact – check all that apply – budget, hardware, management, physical, schedule, scope, staffing.
Date Logged	The date and time stamp the risk is entered into the Project Control Book.
Probability of Occurrence	<p>Ranking the potential for risk occurrence:</p> <p>Low: <10% chance of risk realization.</p> <p>Medium: 10%-60% chance of realization</p> <p>High: >60% chance of risk realization</p>
Mitigation Approach	<p>The risk response:</p> <p>Accept: This approach reflects a risk that is acknowledged as valid, but cannot be avoided or mitigated.</p> <p>Avoid: This approach reflects a risk where steps are taken to disengage any activities associated with the inherent risk.</p> <p>Transfer: This approach reflects a risk that is transferred to another entity not associated with the OIT Infrastructure Improvements project.</p> <p>Mitigate: This approach reflects a risk that has one to many identified actions that can be taken to reduce the probability and/or impact should the risk be realized.</p>
Impact	<p>The probable impact on the project the risk would have if it is realized. Some risks could have a high probability, but the impact could be low and vice versa.</p> <p>Low: Variance to impacted area is anticipated to be < 10%.</p> <p>Medium: Variance to impacted area between 10% - 25%.</p> <p>High: Variance to impacted area is anticipated to be > 25%.</p>
Mitigation Description	Detailed risk response.



Anticipated Resolution Date	The latest date in the mitigation plan's anticipated action completion. If there is no mitigation plan yet documented OR the risk is "accepted", record the date two weeks out from the current date.
Actual Resolution Date	The actual resolution date when the risk is either closed, transferred, or escalated to an issue.
Resolution	A chronological history of the activities taken to manage this risk. Latest entry should be listed at the top. Each entry should begin with the date (MM-DD-YYYY) and the name (first initial, last name) of the author of the update
Logged By	The name of the person entering the risk into the Project Control Book.

14.2 Risk Management Plan

Risk Identification Process

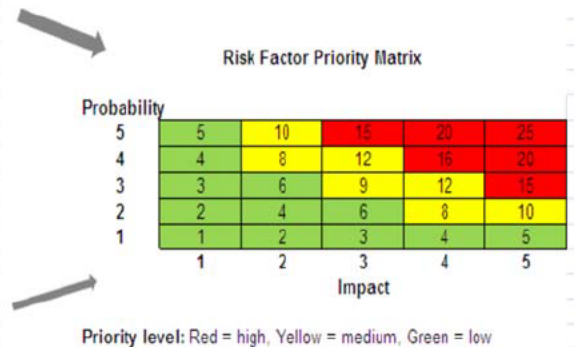
Risks for the project may be identified by any stakeholder, end user, management personnel or external source. A newly identified risk must be documented in written format (via e-mail, memo, or documented in meeting minutes) and provided to the Risk Manager, who will then add the item to the risk register in the Project Control Book. All risks (new and existing) are reviewed weekly and presented at the weekly Project Management Team meeting. The Risk Manager will review the risk register and discuss identified risks with the Executive Steering Committee as needed. All risks will be managed according to the Decision Escalation Matrix referenced in Section 4.5.

Risk Evaluation and Scoring

Risk probability is a measure of the likelihood that a certain risk will occur. The probability of occurrence for the risk can be defined on a level from 1-5. Risk impact is a measure of the expected degree of impact that the risk, if it occurs, will have on the program. The degree of impact for the risk can be defined on a level from 1-5. The Risk Manager will calculate the risk score as the product of the risk probability score and impact score when both are multiplied. Each risk shall be scored and included in the weekly review and presentation at the weekly status meeting for progress monitoring and tracking. The illustration below depicts the priority matrix once the probability and impact for each individual risk has been assessed.

Probability		
What is the probability the Precursor Condition to the Risk will happen?		
Level	Approach and Processes	
1	Not Likely	0-20% Probability of Occurrence
2	Low Likelihood	20-40% Probability of Occurrence
3	Likely	40-60% Probability of Occurrence
4	Highly Likely	60-80% Probability of Occurrence
5	Near Certainty	80-100% Probability of Occurrence

Impact			
Given the Risk realized, what would be the magnitude of the impact?			
Level	Quality/Scope	Schedule/Time	Budget/Cost
1	Minimal or no impact	Minimal or no impact	Minimal: < 5%
2	Minor	Slight delay < 1 month	Minor: > 6% - 10%
3	Moderate	Minor schedule slip (1 to 3 months)	Moderate: 11% - 15%
4	Major	Major schedule slip (3 to 6 months)	Major 16% - 20%
5	Unacceptable	Unacceptable schedule delay (> 6 months)	Significant >20%





For high risks, mitigation plans will be developed to eliminate the risk or the potential impacts to the program. All high-level risks will be documented and communicated to the Executive Steering Committee for review and evaluation.

Risk Plan Maintenance

The Risk Manager meets weekly with the Project Management Team to discuss any new risks or issues and review ongoing risk mitigation plans. Subsequent to the meeting, the Risk Manager will update the risk details in the Project Control Book as necessary and include in weekly reporting to Leadership.

14.3 Issue Management and Resolution

All issues will have a plan for management and resolution which will be developed to eliminate potential impacts to the project. In general issue resolution will follow the decision escalation matrix depicted in Section 4.5. The Project Manager will monitor all program issues on an ongoing basis and maintain the issue log in the Project Control Book which includes the following information:

Issue Details	Description
Topic	The short description of the issue. If this issue is a risk that is being escalated, use "Risk Name" in this field.
Description	A detailed description of the issue. If escalated from a risk, please note that and the date it became an issue.
Start Date	Date the issue was escalated from a risk OR date Project Team became aware of the issue.
Deadline	Date by which the issue needs to be resolved or, if applicable, escalated.
Priority	Ranking the issue priority: Low: Minimal impact to the project. Medium: Progress disrupted with manageable extensions to short-term schedule and cost. High: Significant disruption to project schedule (i.e., greater than 2 weeks for key milestones), cost (i.e., greater than 5% increase in baselined costs), or quality. Threatens the success of the project.
Budget Impact	Numeric field to record the proposed budget impact.
% Complete	Numeric field to record the percent complete status for the issue and proposed resolution strategy: 0%: Issue has not been assigned and/or no activity has been initiated to resolve the issue. 50%: Issue resolution is in progress and there is no concern about the resolution being achieved by the deadline date. 100%: Issue has been resolved.
Assignee(s)	The person(s) assigned to the issue.



15 SYSTEM SECURITY PLAN

FDC adheres to State of Florida Administrative Code 60GG-2, which outlines security controls that should be implemented within each agency. Rule 60GG-2 provides a crosswalk to federal national Institute of Standards and Technology (NIST) security guidelines (i.e. NIST 800-53). Likewise, the State's primary datacenter has security policy specific to their environment and must adhere to 60GG-2, Florida Administrative Code. FDC's standard operating procedure number 206.007, USER SECURITY FOR INFORMATION SYSTEMS outlines the processes for Department employees, contractors and subcontractors to follow to ensure the security of Departmental data and other information resources and the measures to follow in the event of a security incident. This project will follow procedure 206.007.

DRAFT

C. Functional and Technical Requirements

The following embedded document includes the OIT Infrastructure Improvements

#	Domain	Requirement
1	Managed Detection and Response	MDR Service Provider shall ensure 24x7x365 monitoring of security events in the FDC environment
2	Managed Security Information & Event Management (SIEM)	Managed Security Service Provider (MSSP) shall provide monitoring of existing Splunk implementation
3	Managed Security Information & Event Management (SIEM)	MSSP shall import FDC SIEM data into MSSP SIEM
4	Managed Security Information & Event Management (SIEM)	MSSP shall monitor FDC SIEM
5	Managed Security Information & Event Management (SIEM)	MSSP shall maintain FDC SIEM
6	Managed Security Information & Event Management (SIEM)	MSSP shall provide ongoing reports to FDC
7	Managed Security Information & Event Management (SIEM)	MSSP shall provide support in the creation of reporting in the enterprise SIEM
8	Managed Security Information & Event Management (SIEM)	MSSP shall ensure the SIEM can collect data from all FDC log sources
9	Managed Security Information & Event Management (SIEM)	MSSP shall provide support for ad hoc query functions that can be performed by FDC personnel
10	Managed Security Information & Event Management (SIEM)	MSSP shall provide monthly analytics on events and escalations.
11	Managed Security Information & Event Management (SIEM)	MSSP shall collect data from FDC resources both on premise and in the cloud.
12	Managed Security Information & Event Management (SIEM)	MSSP shall utilize worldwide threat intelligence to increase likelihood of early detection of a security compromise.
13	Managed Security Information & Event Management (SIEM)	MSSP shall ensure that logs are stored for at least the minimal time required in FDC policy.
14	Managed Security Information & Event Management (SIEM)	MSSP shall use heuristic detection methods to determine early threat behavior.
15	Managed Security Information & Event Management (SIEM)	MSSP shall provide authentication capability that allows for integration with Active Directory.
16	Managed Security Information & Event Management (SIEM)	MSSP Shall provide Key Performance Metrics quarterly
17	Vulnerability Management	The MSSP shall jointly manage the Vulnerability Management platform with FDC.
18	Vulnerability Management	The MSSP shall receive all results from Vulnerability scans and recommend remediation actions.
19	Vulnerability Management	The MSSP shall help develop the scanning schedules to ensure high accuracy and low performance impact.
20	Vulnerability Management	The MSSP shall perform quarterly health and inventory checks to ensure all systems are being scanned regularly.
21	Vulnerability Management	The MSSP shall track vulnerability remediation and ensure ServiceNow tickets are created.
22	Enterprise Firewall	MSSP shall ensure that firewall logs are ingested into the SIEM in a real-time or near real-time manner
23	Enterprise Firewall	MSSP shall ensure that firewalls remain in supported firmware versions
24	Enterprise Firewall	MSSP shall ensure web gateway module logs are saved to the enterprise SIEM

#	Domain	Requirement
25	Enterprise Firewall	MSSP shall monitor FDC Enterprise firewalls
26	Enterprise Firewall	MSSP shall monitor FDC Enterprise firewall IPS modules and Secure web gateway modules.
27	Intrusion Prevention	MSSP shall provide additional IPS appliance to ensure defense in depth.
28	Intrusion Prevention	MSSP shall maintain and update IPS appliance with real-world threat intelligence based signatures.
29	Network Access Control	NAC software shall provide granular access control over devices on the FDC network.
30	Network Access Control	NAC software shall detect, restrict and alert on rogue devices that connect to the FDC network
31	Network Access Control	NAC software shall scale to accommodate all devices on the FDC network.
32	Infrastructure Implementation	Network Infrastructure implementor shall provide implementation schedule for site hardware installation
33	Infrastructure Implementation	Network Infrastructure implementor shall provide site survey for each site
34	Disaster Recovery	Managed DR provider shall work with FDC to accommodate RTO and RPO goals.
35	Disaster Recovery	Managed DR provider shall accommodate all FDC compliance requirements
36	Disaster Recovery	Managed DR provider shall work with FDC to verify all servers have been identified
37	Disaster Recovery	Managed DR provider shall verify DR network infrastructure is up and running
38	Disaster Recovery	Managed DR provider shall provide FDC with connectivity to DR resources
39	Disaster Recovery	Managed DR provider shall provide FDC with accounts on DR infrastructure
40	Disaster Recovery	Managed DR provider shall provide FDC with DR testing plan

D. Cost Benefit Analysis

The required Excel spreadsheet for section IV. Schedule IV-B Benefits Realization and Cost Benefits Analysis.

CBAForm 2 - Project Cost Analysis

Agency	<u>Department of Corrections</u>	Project	<u>Infrastructure Improvements</u>
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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 (*)	\$3,664,640	\$450,000	\$0	\$300,000	\$0	\$4,414,640
CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related Costs)</i>	\$3,664,640	\$4,114,640	\$4,114,640	\$4,414,640	\$4,414,640	
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	\$3,664,640	\$450,000	\$0	\$300,000	\$0	\$4,414,640
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$3,664,640	\$450,000	\$0	\$300,000	\$0	\$4,414,640
CUMULATIVE INVESTMENT	\$3,664,640	\$4,114,640	\$4,114,640	\$4,414,640	\$4,414,640	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous	Confidence Level		
Order of Magnitude	Confidence Level		
Placeholder	Confidence Level	0%	

CBAForm 3 - Project Investment Summary

Agency	<u>Department of Corrections</u>	Project	<u>Infrastructure Improvements</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27	TOTAL FOR ALL YEARS
Project Cost	\$3,664,640	\$450,000	\$0	\$300,000	\$0	\$4,414,640
Net Tangible Benefits	(\$2,294,836)	(\$2,294,836)	(\$2,294,836)	(\$2,294,836)	(\$2,294,836)	(\$11,474,180)
Return on Investment	(\$5,959,476)	(\$2,744,836)	(\$2,294,836)	(\$2,594,836)	(\$2,294,836)	(\$15,888,820)
Year to Year Change in Program Staffing	1	1	1	1	1	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$14,704,026)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27
Cost of Capital	2.69%	2.90%	3.09%	3.29%	3.48%

E. Glossary

Acronym	Description
CJI	Criminal Justice Information.
CJIS	Criminal Justice Information Services
COTS	Commercial off the Shelf software
DR	Disaster Recovery
EDR	Endpoint Detection and Response
FDC	Florida Department of Corrections
FLDS	Florida Digital Service
HIPAA	Health Insurance Portability and Accountability Act of 1996
IDS	Intrusion Detection System
IPS	Intrusion Prevention System
MFA	Multifactor Authentication
MSSP	Managed Security Service Provider
MDR	Managed Detection and Response
NAC	Network Access Control
NIST	National Institute of Standards and Technology
OCM	Operational Change Management
OIT	Office of Information Technology
PII	Personally Identifiable Information
SIEM	Security Incident and Event Management
RTO	Recovery Time Objective
RPO	Recovery Point Objective
SOAR	Security Orchestration, Automation, and Response
XDR	Extended Detection and Response

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