



FLORIDA
DEPARTMENT of
CORRECTIONS

Governor

RON DESANTIS

Secretary

RICKY D. DIXON

501 South Calhoun Street, Tallahassee, FL 32399-2500

www.dc.state.fl.us

LEGISLATIVE BUDGET REQUEST

October 14, 2022

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. John Shettle, Interim Staff Director
Senate Committee on Appropriations
201 The Capitol
Tallahassee, FL 32399-1300

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 2023-24 Fiscal Year.

Sincerely

Ricky D. Dixon
Secretary

DEPARTMENT OF CORRECTIONS
PAY ADDITIVE REQUEST
TEMPORARY SPECIAL DUTY – GENERAL
FOR FISCAL YEAR 2021-2022

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 Resources 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.

Temporary Special Duties (TSD) Pay, FY21-22, by Class Title

Prepared 07-26-2022

Class Title	Total Paid in FY 21-22	Number of Positions
CLASSIFICATION SUPERVISOR - SES	\$262.60	1
CONSTRUCTION PROJECTS CONSULTANT I	\$290.08	1
CORRECTIONAL OFFICER	\$398.34	1
CORRECTIONAL OFFICER CAPTAIN	\$21,676.96	21
CORRECTIONAL OFFICER LIEUTENANT	\$41,505.28	70
CORRECTIONAL OFFICER SERGEANT	\$26,554.15	48
CORRECTIONAL SENTENCE SPECIALIST - SES	\$647.64	1
CORRECTIONAL SERVICES CONSULTANT	\$1,396.44	1
MAINTENANCE & CONSTRUCTION OFFICER-DC	\$3,070.60	1
MAINTENANCE & CONSTRUCTION SUPT - SES	\$216.26	1
MASTER ELECTRICIAN	\$1,170.33	1
PLACEMENT & TRANSITION SPECIALIST	\$1,755.01	1
PLUMBER	\$2,369.24	2
SENIOR CLASSIFICATION OFFICER	\$50,121.14	12
SENIOR INSPECTOR - DC	\$6,154.75	3
SENIOR MAINTENANCE MECHANIC	\$628.57	1
SENIOR REFRIGERATION MECHANIC	\$527.45	1
SYSTEMS PROJECT ANALYST	\$98.69	1
VOCATIONAL FOOD SERVICE COORDINATOR	\$1,453.49	2
Grand Total	\$160,297.01	170

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

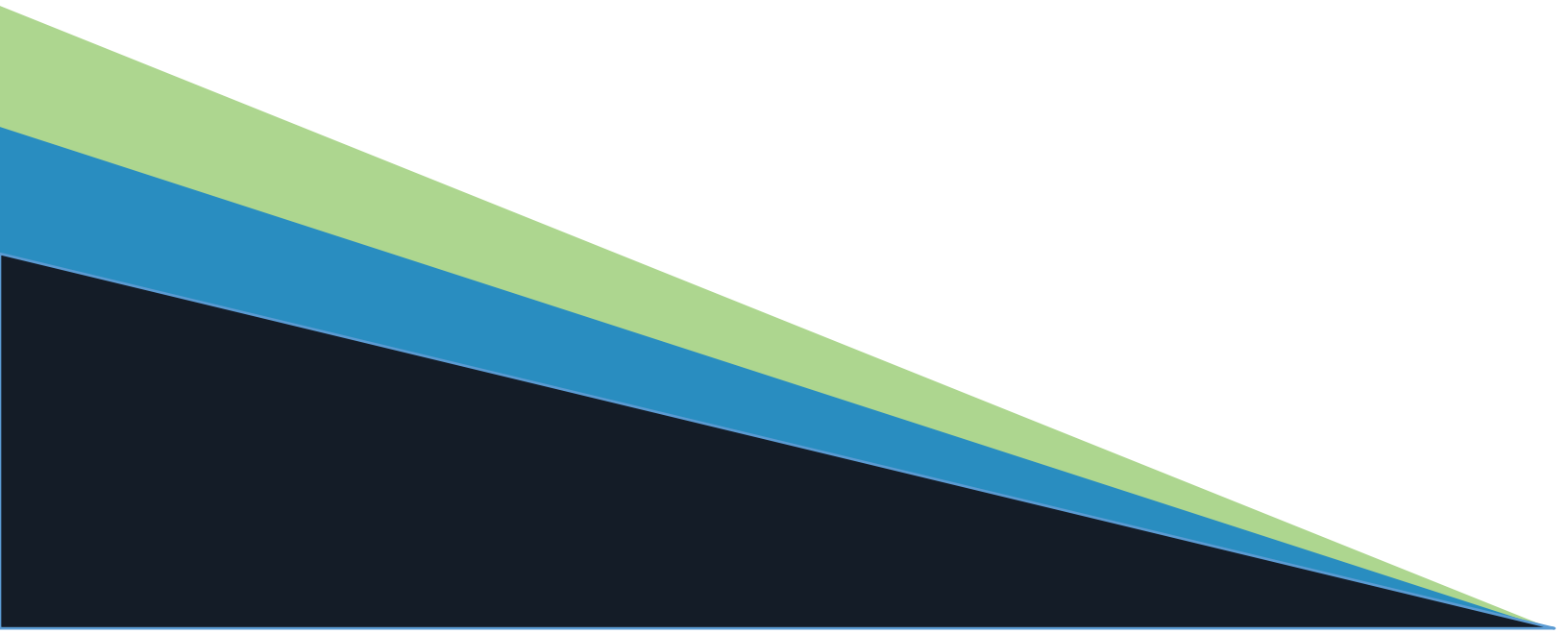
Each of the above agreements contains language that states, “Each time an employee is designated in writing by the employee’s immediate supervisor to act in a vacant established position in a higher broadband level than the employee’s current broadband level, and performs a major portion of the duties 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, 2022

Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney 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: Settlement has been reached, and implementation of the agreement is underway. **This case is considered closed and will be removed from the report for the next fiscal year.**

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.

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August 23, 2022

Agency: Department of Corrections

Contact Person: Alexandria Williams, Chief Legal Counsel 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: On June 29, 2022, the parties filed a second joint motion to modify the settlement agreement. On July 5, 2022, the court issued an order extending the jurisdiction of the consent decree. A status conference was held on July 27, 2022, and the court ordered the parties to try and resolve the issue of how to conduct the next round of site visits.

Agency Attorneys: Dorothy Burnsed, 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. Andrea Costello, Esq., 14260 W. Newberry Road, Suite 412, Newberry, Florida 32669, Kathryn Strobach Esq. and Molly Paris, Esq., 2400 E. Commercial Blvd., Suite 525, Ft. Lauderdale, Florida 33308, and Qian Shen, Esq., 400 South Hope Street, Los Angeles, CA 90071.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Chief Legal Counsel Phone: (850) 717-3603

Names of the Parties: Florida Department of Corrections v. Justin Bates

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

Case Number: 2021 CA 002131

Summary of Complaint: The FDC asserts that Bates, through counsel, is abusing the compliance review hearing request process, as it is provided for in chapter 112 part VI, by making successive requests which are outside the scope of the part's specified rights and FDC's corresponding procedures. FDC demands judgment declaring the rights of the parties under Part VI of Chapter 112, Florida Statutes; injunctive relief requiring the defendant to follow any declaratory judgment; injunctive relief requiring defendant to follow the policies and procedures of the FDC as they pertain to Part VI of Chapter 112.

Amount of the Claim: Injunctive and declaratory relief action

Specific Law(s) Challenged: Concerns the interpretation of Part VI of Chapter 112 of the Florida Statutes

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

Agency Attorneys: Department of Corrections, 501 S. Calhoun St, Tallahassee, FL 32399-2500.

Plaintiff's Attorneys: Bobi J. Frank, Erica L. Hay 18 NW 33rd Court, Gainesville, FL 32607.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Chief Legal Counsel Phone: (850) 717-3603

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

Court with Jurisdiction: Seventeenth Judicial Circuit in and for Broward County

Case Number: 2022 CA 421

Summary of Complaint: ACLU brings two claims against the FDC. In count I, ACLU alleges that FDC violated the Public Records Act by failing to provide ACLU with records responsive to its public records request. For relief, ACLU requests that the Court compel FDC to produce the records. In count II, ACLU alleges a violation of section 900.05, Florida Statutes. For relief, ACLU requests that the Court compel FDC to collect and forward data to the Florida Department of Law Enforcement (“FDLE”).

Amount of the Claim: Injunctive and declaratory relief action

Specific Law(s) Challenged: Concerns the interpretation of section 900.05, Florida Statutes.

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

Agency Attorneys: Florida Department of Corrections, 501 S. Calhoun Street, Tallahassee, Florida 32399.

Plaintiff’s Attorneys: Michael B. Chavies, Scott E. Allbright, Jr. Akerman LLP, Three Brickell City Centre, 98 Southeast Seventh Street, Suite 1100, Miami FL 33131, Benjamin James Stevenson, ACLU Foundation of Florida 3 W Garden St., Suite 712, Pensacola, FL 32502-5636, Jacqueline Nicole Azis, ACLU Foundation of Florida, 4023 N. Armenia Ave., Suite 450, Tampa, FL 33607, Daniel Tilley, ACLU Foundation of Florida, 4343 W. Flagler St., Suite 400, Miami, FL 33134.

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August 23, 2022

Agency: Department of Corrections

Contact Person: Alexandria Williams, Chief Legal Counsel Phone: (850) 717-3603

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

Court with Jurisdiction: United States District Court, Southern 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: On August 18, 2022, the court issued an order granting Defendant Inch's motion for summary judgment. The trial is scheduled to begin August 29, 2022.

Agency Attorneys: Barbara Junge, Esq., and Christopher Kondziela, Esq., Office of the Attorney General, 110 S.E. 6th Street, Ft. Lauderdale, Florida 33301.

Plaintiff's Attorneys: Daniel Marshall, Esq. and Jesse Isom, Esq. P.O. Box 1151, Lake Worth, Florida 33460, Michael McGinley, Esq. 2929 Arch Street, Philadelphia, PA 19104, and Eric Hagerman, Esq., 1900 K Street, NW, Washington, DC 20006.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Chief Legal Counsel 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 has approved the settlement agreement. The department is working towards complying with the terms of the settlement agreement.

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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Contact Person: Alexandria Williams, Chief Legal Counsel 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: Carol Wright, Esq., 400 N. Tampa St., Suite 2700, Tampa, Florida 33602, David Poell, Esq., 70 W. Madison St., Suite 4800, Chicago, Illinois 60602, and Maria DeLiberato, Esq., P.O. Box 18988, Tampa, Florida 33679.

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Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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

Plaintiff Attorneys: Pro Se

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Agency: Department of Corrections

Contact Person: Sean J Anderson, Executive Senior Attorney Phone: (850) 717-3597

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: Discovery is ongoing.

Agency Attorneys: 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: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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 Attorney: Jerry Girley, Esq., 117 E. Marks Street, Suite A, Orlando, Florida 32803.

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Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

Names of the Parties: Edwards, Yvonne as Personal Representative for the Estate of Terrance Williams v. Dixon, et al.

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

Case Number: 2022-CA-9

Summary of Complaint: Plaintiff claims deliberate indifference to the medical needs that resulted in the death of Terrence Williams. Plaintiff alleges that staff failed to treat the decedent for diabetes.

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, Fourteenth Amendment of the US Constitution, and the Wrongful Death Act.

Status of the Case: Motion for Abatement is pending.

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

Plaintiff Attorney: Marwan Porter, Porter Law Firm, 5033 SE Federal Hwy, Stuart, FL, 34997.

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Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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: Settlement was reached in this case March 31, 2022. **This case is considered closed and will be removed from the report for the next fiscal year.**

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: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

Names of the Parties: Leroy Ferrell as Executor of the Estate of Larian Ferrell v. FDC, et al.

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

Case Number: 4:21-cv-397

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: Discovery is ongoing.

Agency Attorney: Liane Labeouf, Esq., 2898-6 Mahan Dr, Tallahassee, FL 32308.

Plaintiff's Attorney: Amber Hall, 113 S. Monroe St, Tallahassee, 32301.

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Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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: 2021-CA-136

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: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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: Motion for Summary Judgment is pending.

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: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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

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 case is currently on appeal. On January 13, 2021, the Northern District Court dismissed the federal claims and subsequently remanded the state law claims back to state court. The Leon County case is stayed pending the ruling of the appeal.

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: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

Names of the Parties: Andrew Holston, Jr. v. Lars Severson, et al.

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

Case Number: 2022-CA-78

Summary of Complaint: Complaint alleges violations of section 1983 for failure to intervene and protect decedent from synthetic marijuana.

Amount of the Claim: The complaint seeks compensatory and punitive damages.

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

Status of the Case: Discovery is ongoing.

Agency Attorney: David Tadros, Wyland and Tadros, 2505 Metrocentre Blvd, 2nd Floor, West Palm Beach, FL 33407.

Plaintiff's Attorney: Pro Se.

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Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

Names of the Parties: Amber Kirkland as PR of the Estate of Antonio Kirkland v. Ricky Dixon, et al.

Court with Jurisdiction: United States District Court, Middle District of Florida, Ft. Myers Division

Case Number: 2:21-cv-562

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: Discovery is ongoing.

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

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

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Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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'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: Discovery is ongoing.

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

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

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Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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: Eleventh Judicial Circuit, Miami-Dade County, Florida

Case Number: 2021-CA-27256

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: Discovery is ongoing.

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
Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2022

Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

Names of the Parties: Jatoon Moss as the Personal Representative of the Estate of Craig Ridley v. Ricky Dixon, et al.

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

Case Number: 3:21-cv-1026

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

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

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

Schedule VII: Agency Litigation Inventory
Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2022

Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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: Second Judicial Circuit, Leon County, Florida

Case Number: 2020-CA-1695

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: 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.

Schedule VII: Agency Litigation Inventory
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August 23, 2022

Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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: Discovery is ongoing.

Agency Attorneys: Leonard Hackett, Esq., and Vincent Cano, Esq. 4309 Salisbury Road, Jacksonville, Florida 32216 (Attorneys for FDC); Thomas Thompson, Esq., 1330 Thomasville Road, Tallahassee, Florida 32303. (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
Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2022

Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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: Discovery is ongoing.

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.

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

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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: Discovery is ongoing.

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.

Schedule VII: Agency Litigation Inventory
Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2022

Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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: Eleventh Circuit Court of Appeals, Atlanta, Georgia

Case Number: 5:19-cv-00280 (Middle District); 22-10881 (Eleventh Circuit)

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: Defendants' motion for summary judgment was granted. The case is currently on appeal.

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.

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

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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.

Schedule VII: Agency Litigation Inventory
Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2022

Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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: The case has settled. **This case is considered closed and will be removed from the report for the next fiscal year.**

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

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

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

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

Names of the Parties: William Melendez, Ricky Dixon, et al.

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

Case Number: 3:20-cv-1023

Summary of Complaint: Plaintiff alleges that the conditions of confinement in Florida's Close Management housing status constitutes an 8th Amendment violation, a due process claim regarding Plaintiff's assignment to Close Management, and Excessive Force, Retaliation, and ADA violations.

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

Specific Law(s) Challenged: 8th Amendment, 14th Amendment, section 1983, ADA

Status of the Case: Discovery is ongoing.

Agency Attorney: Samantha Baker, 3507 E. Frontage Rd, Tampa, FL 33607.

Plaintiff's Attorney: Maggie Filler, 375 E Chicago Ave, Chicago, IL 60611.

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Agency: Department of Corrections

Contact Person: Alexandria Williams, Chief Legal Counsel 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: On July 25, 2022, the court issued an order denying the motion for class certification. On July 27, 2022, the court issued an order denying the department's motion for partial summary judgment. A trial date has not been set.

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, Rebecca Klonek, Esq. and Maite Garcia, Esq., P.O. Box 533986, Orlando, Florida 32853, Dante Pasquale Trevisani, Esq., Kara Wallis, 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, Lori E. Rifkin, Esq., 3630 High Street, Suite 18917, Oakland, CA 94619.

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Agency: Department of Corrections

Contact Person: Katie Jackson, Assistant General Counsel Phone: (904) 431-6854

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 subsequently filed a motion to re-open the case and enforce the stipulations of settlement. The parties are working towards submitting a proposed stipulated order to resolve the motion. The case has been settled, however the Plaintiff claims FDC has failed to comply with the terms of the settlement. The parties are working on drafting the terms of a mutually agreeable order in an attempt to resolve the case. **There has been no activity in the case since June 22, 2016, and the inmate is no longer in our custody. Due to lack of activity, we will remove this case from future reports.**

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, P.A., 12000 Biscayne Blvd., Suite 609, North Miami, Florida 33181.

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Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2022

Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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: The case is stayed pending the outcome of *Sims v. Inch*, 11th Cir. Case number 19-13745.

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

Plaintiff Attorney: Pro Se

Schedule VII: Agency Litigation Inventory
Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2022

Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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

Plaintiff Attorney: Pro Se

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

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

Names of the Parties: Walker Davis v. Mark Inch

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

Case Number: 2:21-cv-14106

Summary of Complaint: Inmate claims that the grooming policy violated his 1st Amendment right to freely practice his religion under the Religious Land Use Institutionalized Persons Act (RLUIPA), prohibiting him from growing a fist length beard (about 3 1/2 - 4 inches).

Amount of the Claim: Plaintiff seeks 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: The case is stayed pending the outcome of *Sims v. Inch*, 11th Cir. Case No. 19-13745.

Agency Attorney: Christopher M. Kondziela, Esq., 110 S.E. 6th Street, 10th Floor, Fort Lauderdale, Florida 33301.

Plaintiff Attorney: Pro Se

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Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2022

Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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 laws is specifically challenged. The Plaintiff alleges a violation of 42 U.S.C. §2000 (RLUIPA)

Status of the Case: A jury trial is set for November 2022.

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

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

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Significant Litigation Impacting Budget, Policy, or Agency Functions
August 23, 2022

Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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: 2:20-cv-358

Summary of Complaint: Plaintiff alleges conspiracy in an attempt to shave his beard in violation of a temporary restraining order and realleges the same claims raised in case 2:17-cv-00648-JES-UAM.

Amount of the Claim: Plaintiff seeks declaratory relief, injunctive relief, and \$50,000 in punitive damages.

Specific Law(s) Challenged: No state laws is specifically challenged. The Plaintiff alleges a violation of 42 U.S.C. §2000 (RLUIPA), Religious Freedom Restoration Act of 1993, 1st, 8th, and 14th Amendment rights.

Status of the Case: Motion to Dismiss granted July 22, 2022.

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

Plaintiff Attorney: Pro se

Schedule VII: Agency Litigation Inventory
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August 23, 2022

Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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, 2022

Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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 Attorney: 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.

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August 23, 2022

Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

Names of the Parties: Jamal Sultan v. Ricky Dixon, et al.

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

Case Number: 5:21cv590

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 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 March 4, 2022, the court issued an order staying the case pending a resolution in *Sims v. Inch*, Case No. 19-13745.

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

Plaintiff's Attorney: Pro Se.

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Agency: Department of Corrections

Contact Person: Sean J. Anderson, Executive Senior Attorney Phone: (850) 717-3597

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.

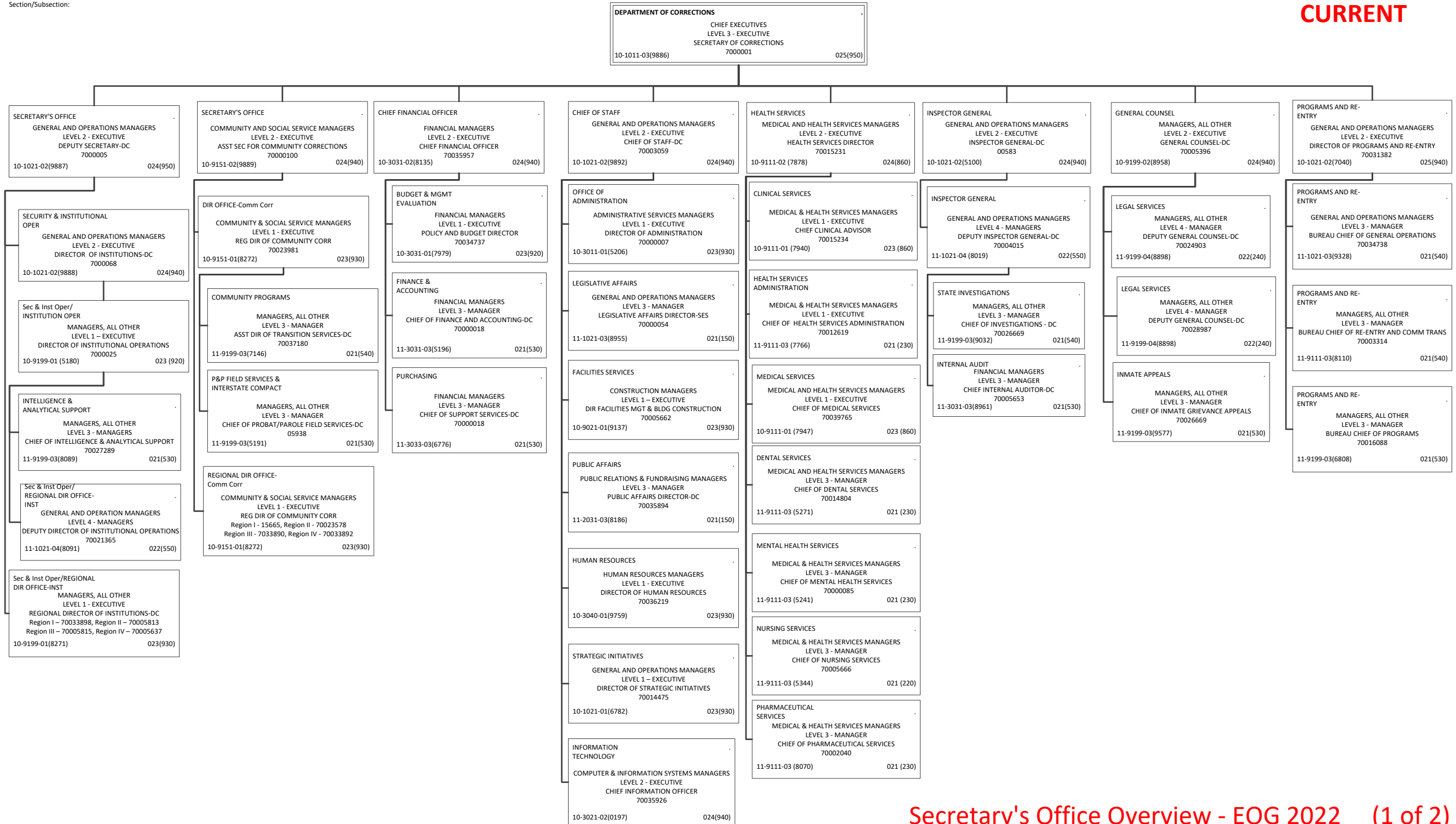
Status of the Case: On August 13, 2021, the court issued an order staying the case pending a resolution in *Smith v. Dozier*, No. 19-3520 and *Sims v. Inch*, No. 19-13745.

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.

AGENCY OVERVIEW

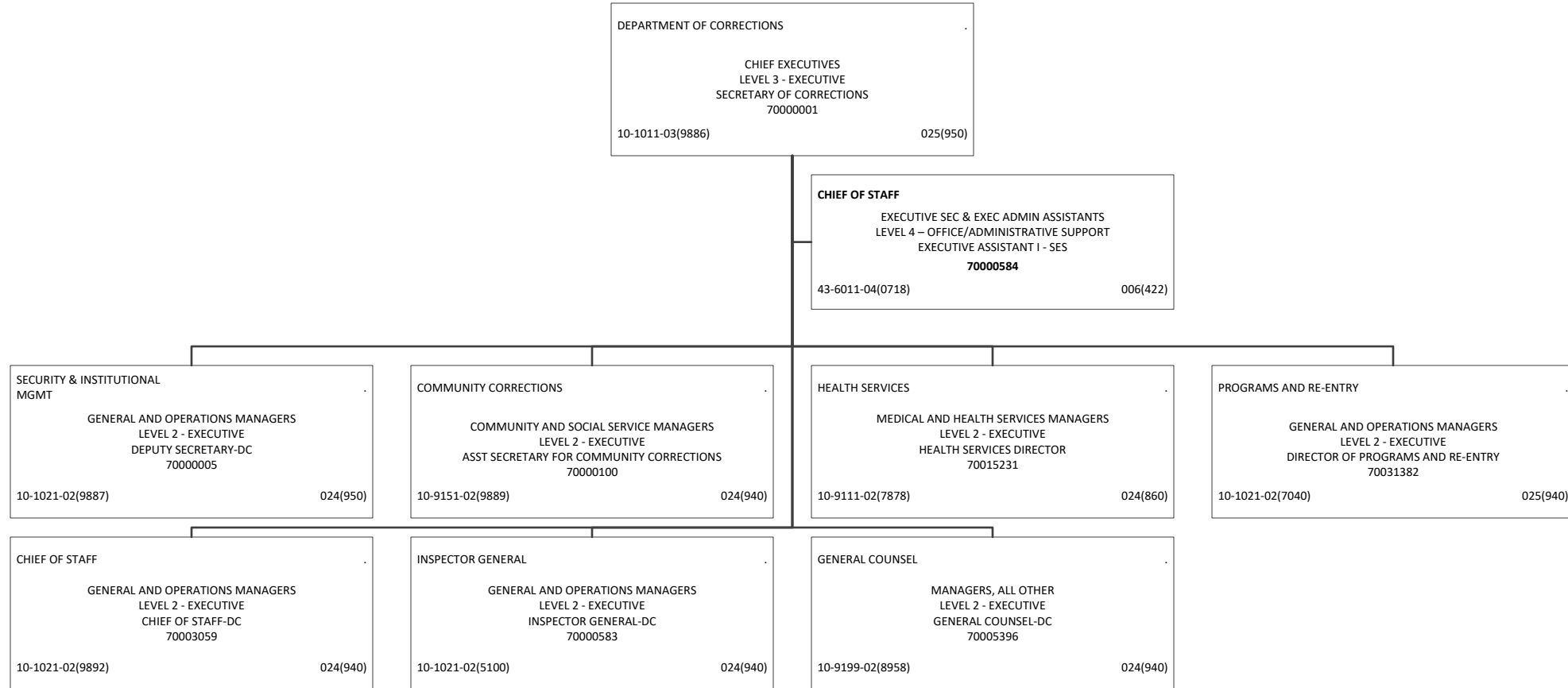
CURRENT



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

SECRETARY'S OFFICE

CURRENT



OVERVIEW

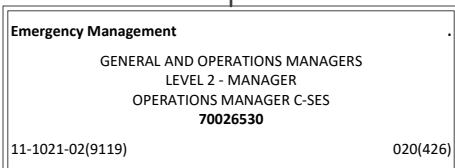
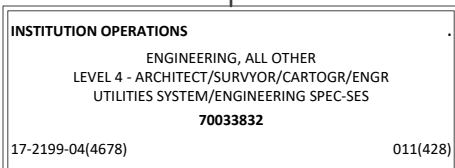
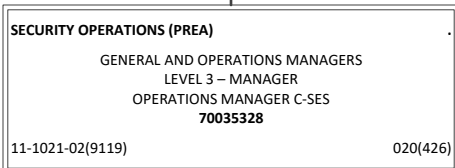
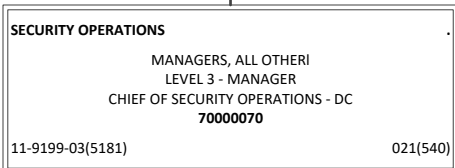
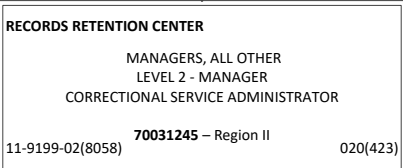
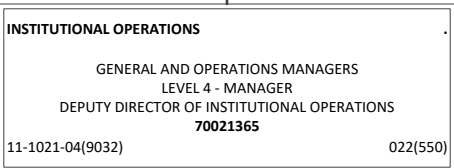
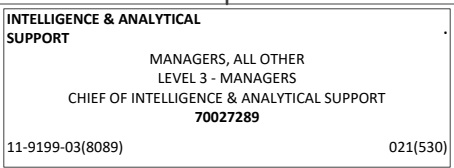
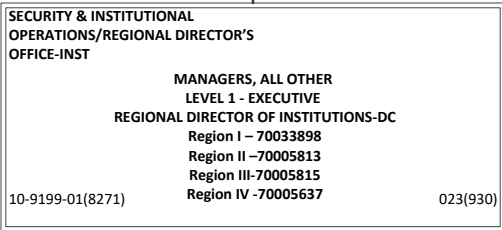
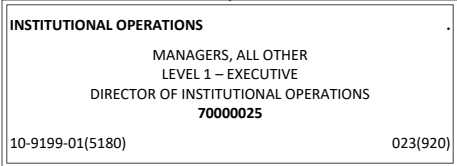
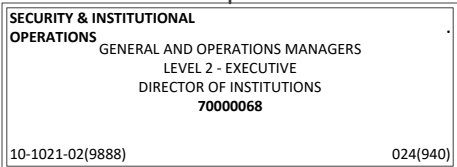
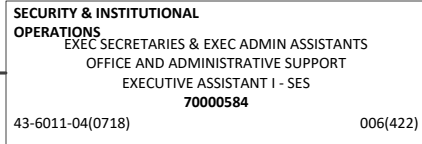
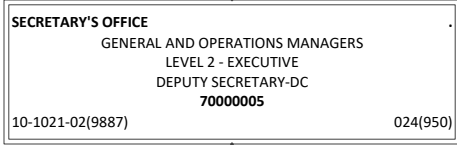
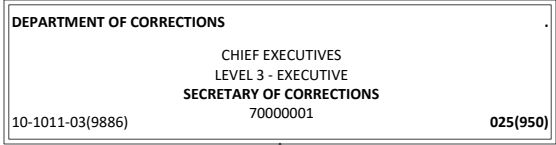
CURRENT

Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: DEPUTY SECRETARY/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: 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
 Section/Subsection: PREA
 Section/Subsection: AUDITS
 Section/Subsection: EMERGENCY MANAGEMENT
 Section/Subsection: EAC



DIR. OF INSTITUTIONS

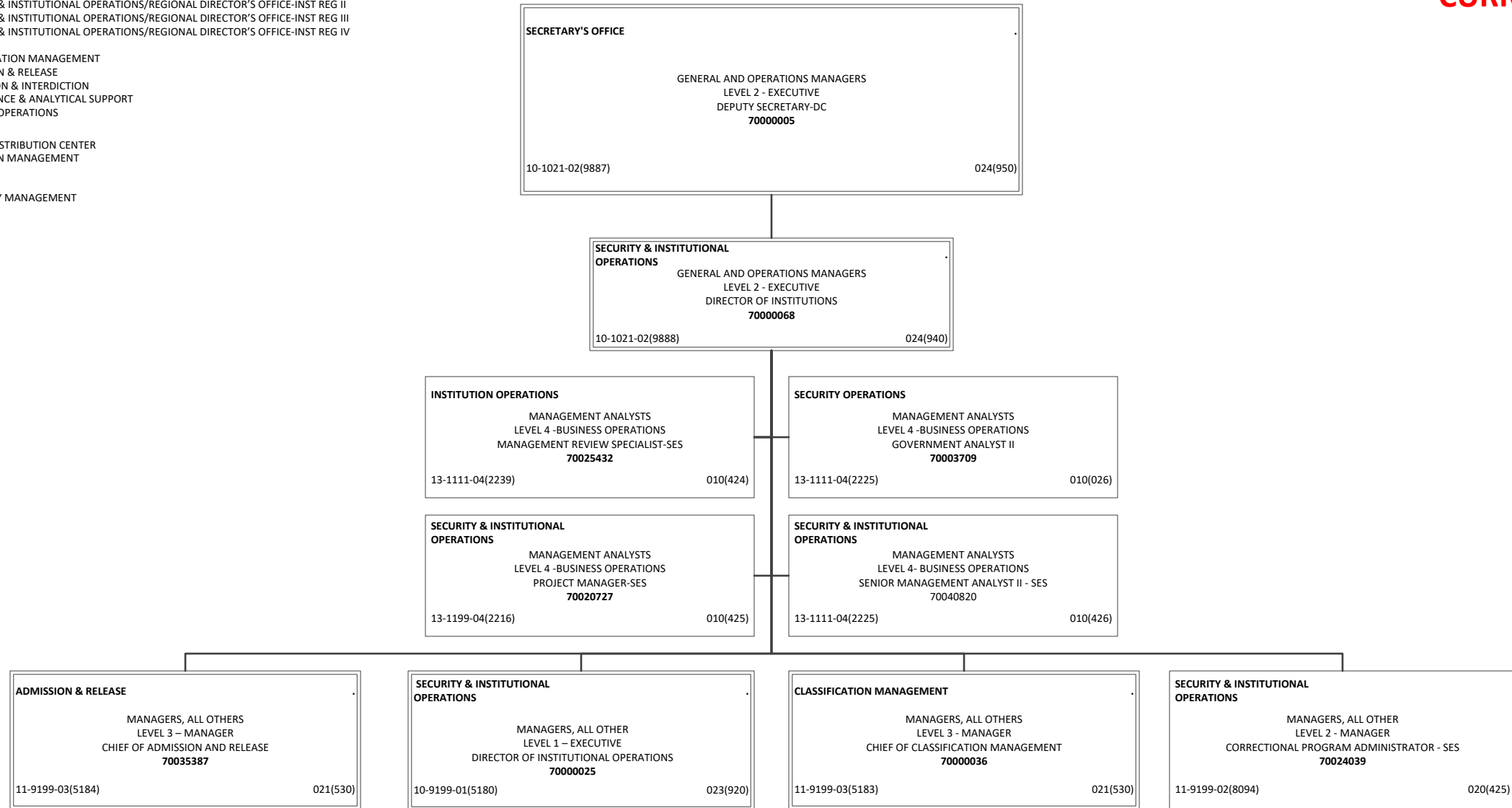
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Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: DEPUTY SECRETARY/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: 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
 Section/Subsection: PREA
 Section/Subsection: AUDITS
 Section/Subsection: EMERGENCY MANAGEMENT
 Section/Subsection: EAC



DIR. INSTITUTIONAL OPERATIONS - DIRECTOR

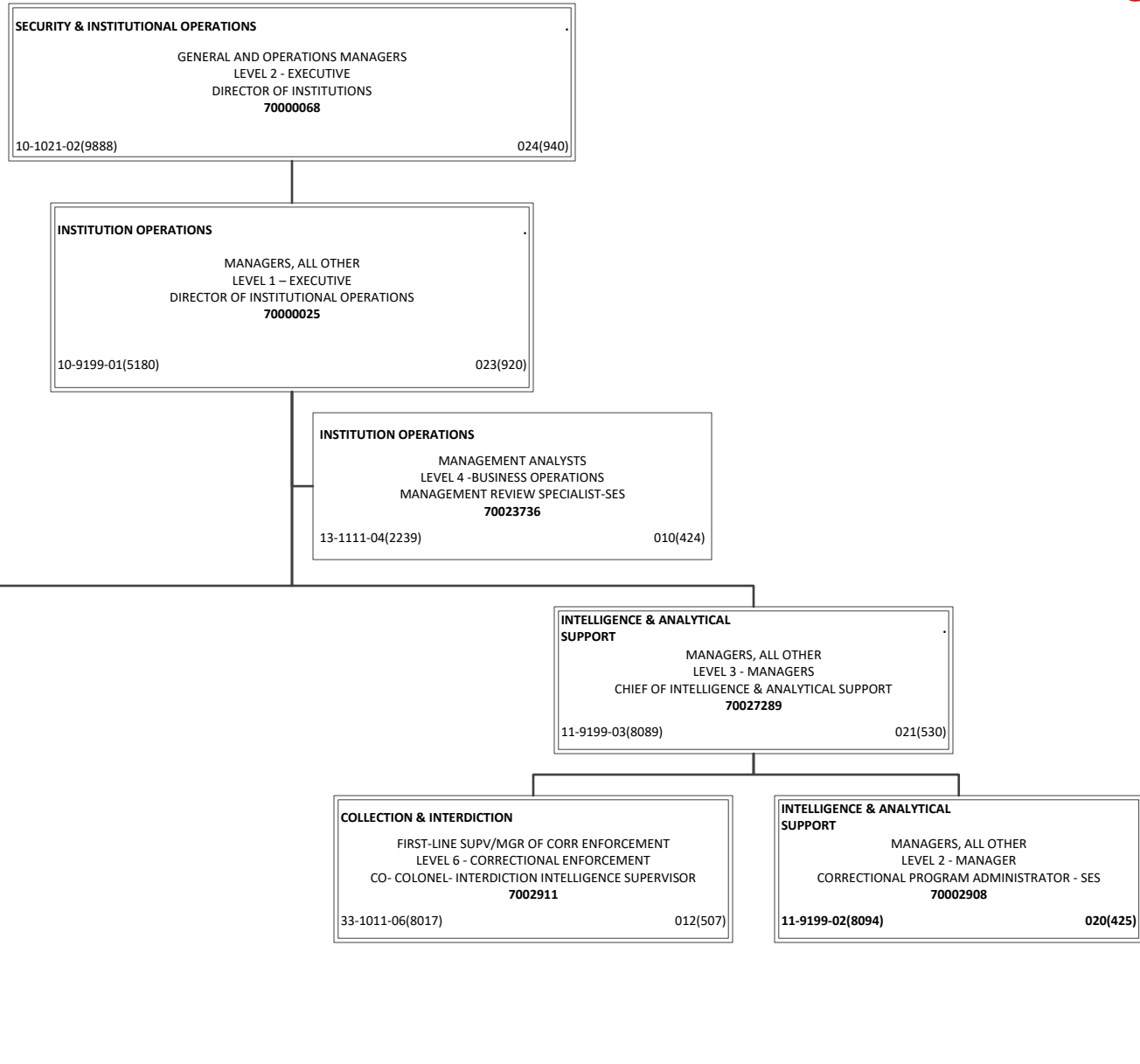
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Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: DEPUTY SECRETARY/SECURITY & INSTITUTIONAL OPERATIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

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

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



DEPUTY DIR. INSTITUTIONAL OPERATIONS

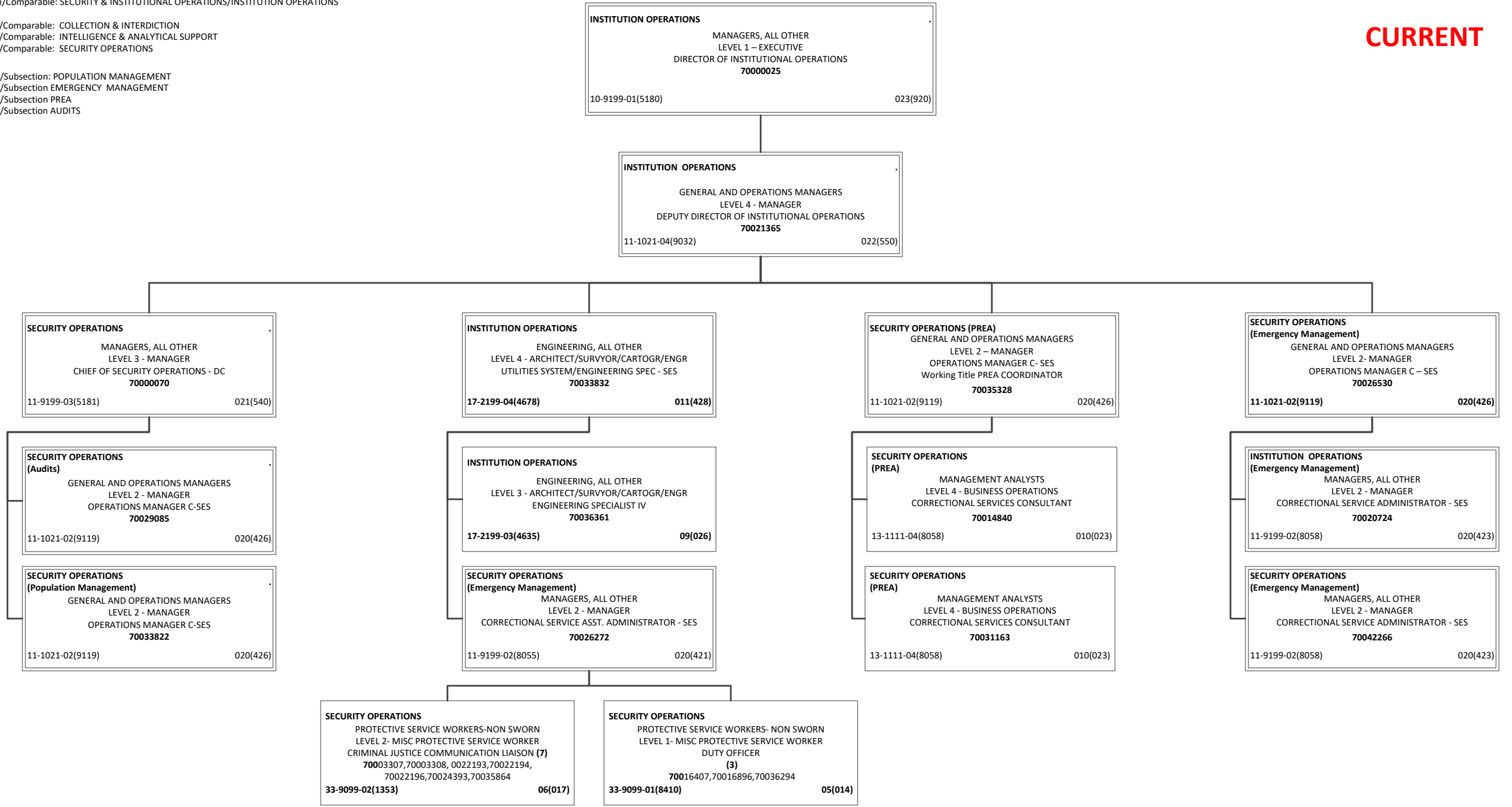
CURRENT

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



CHIEF SECURITY OPERATIONS (29085)

Name of Agency: DEPARTMENT OF CORRECTIONS

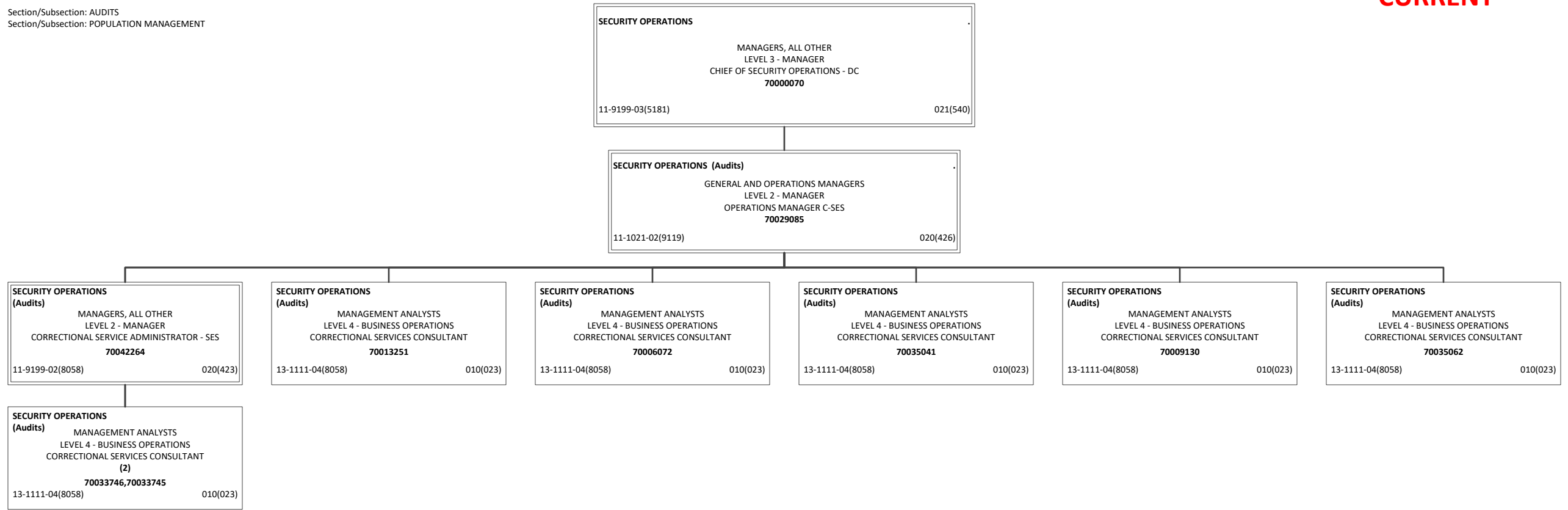
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: AUDITS

Section/Subsection: POPULATION MANAGEMENT

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

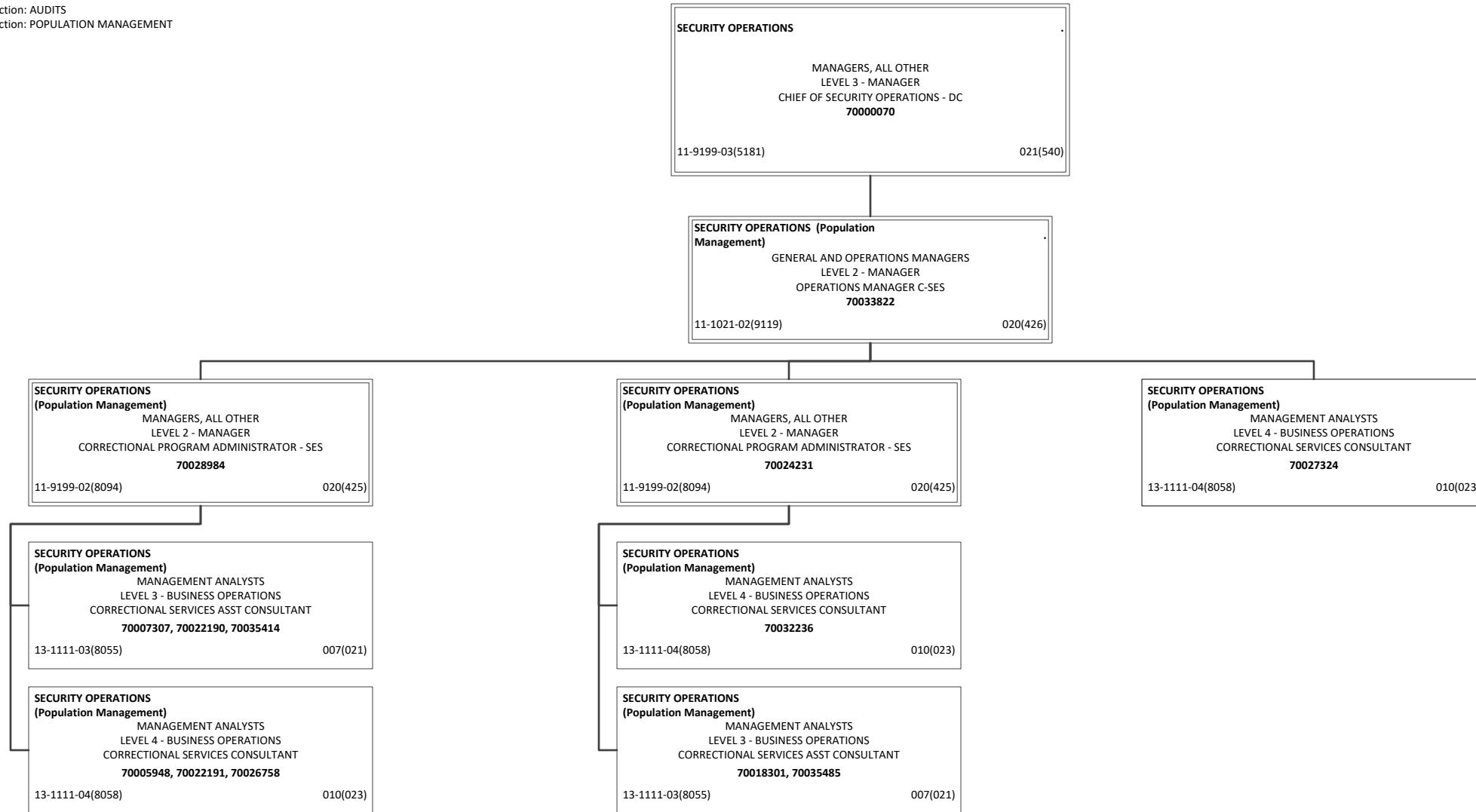
Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: AUDITS

Section/Subsection: POPULATION MANAGEMENT

CHIEF SECURITY OPERATIONS (33822)

CURRENT



SECURITY OPERATIONS - PREA (35328)

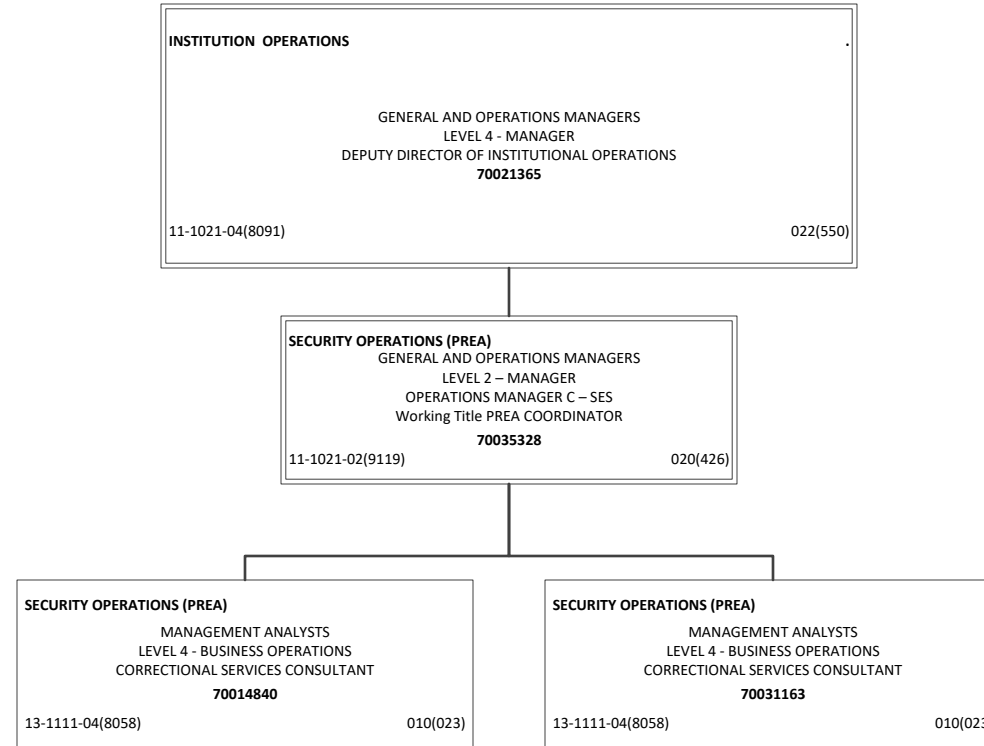
Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: PREA

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

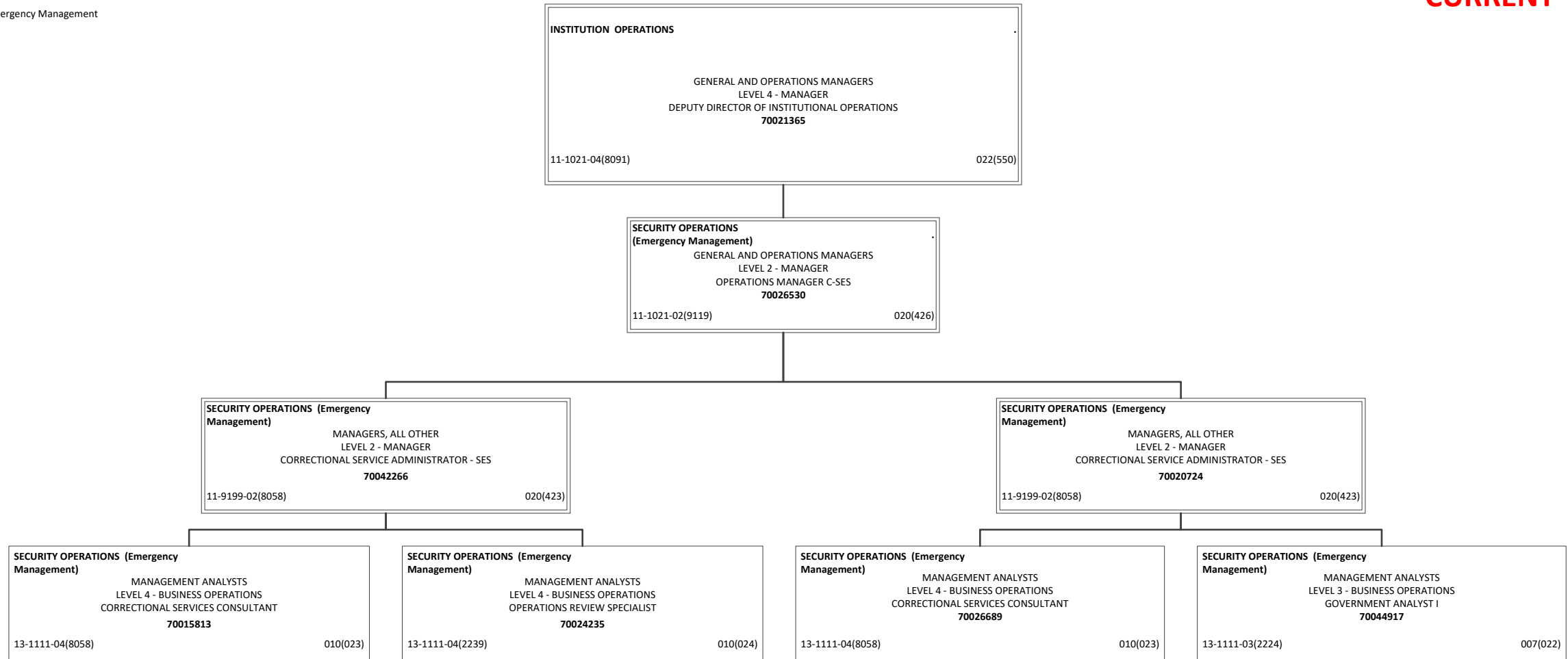
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: Emergency Management

SECURITY OPERATIONS - Emergency (Operations Manager 26530)

CURRENT



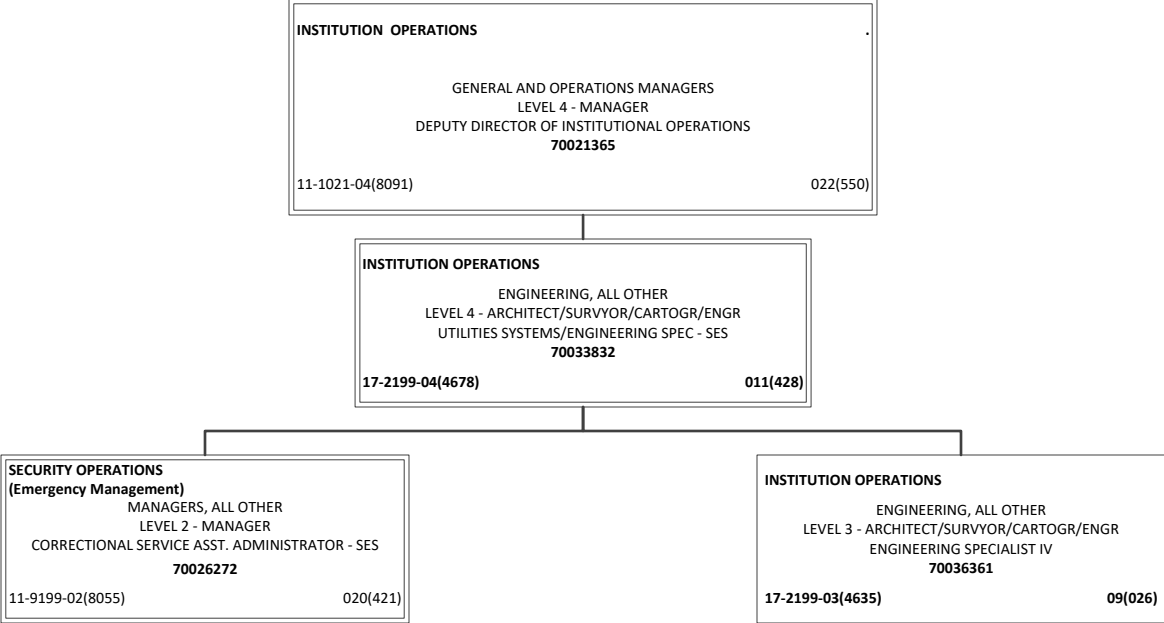
UTILITIES SYSTEMS/ENGINEERING SPEC-SES (33832)

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

CURRENT



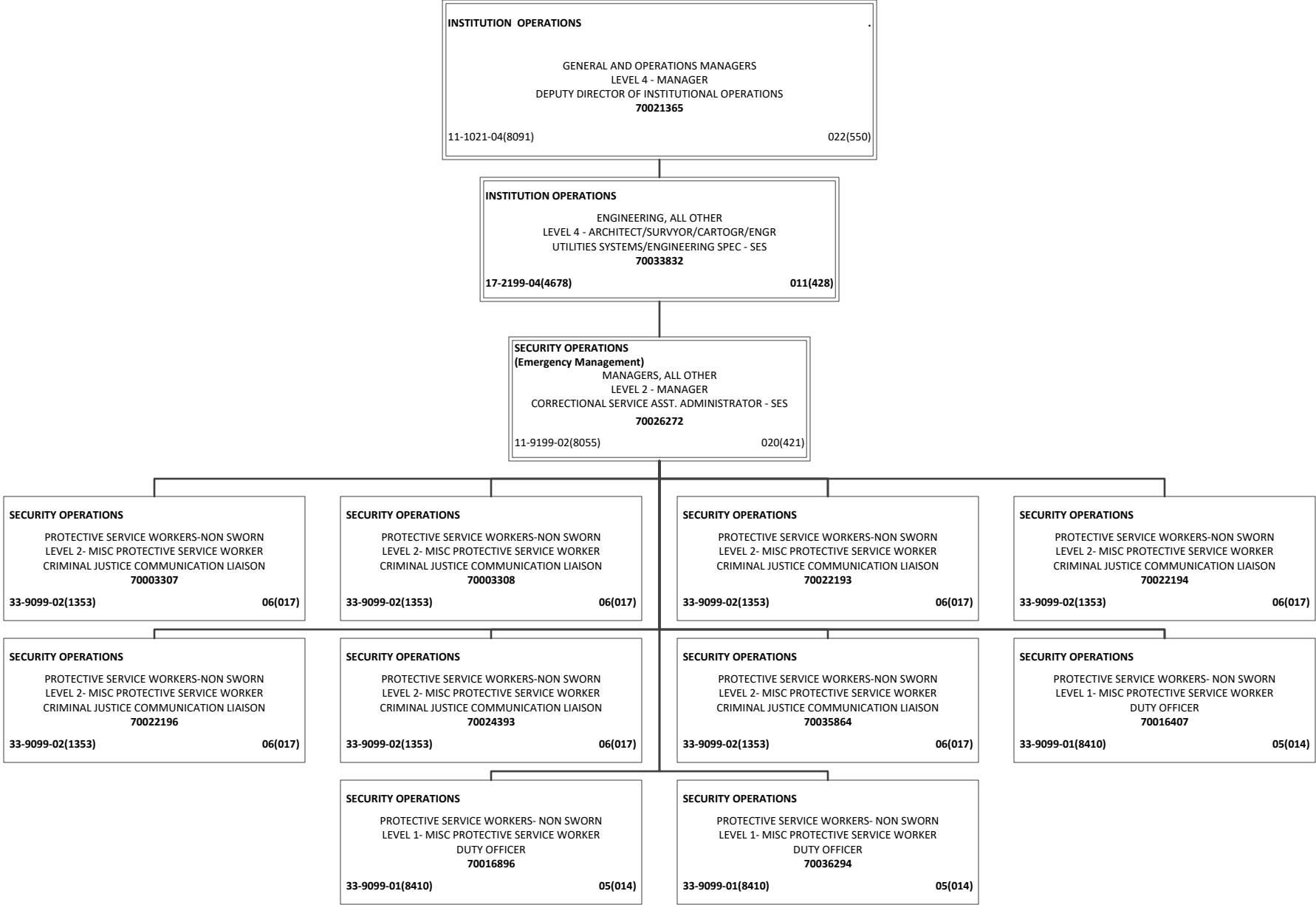
UTILITIES SYSTEMS/ENGINEERING SPEC-SES (26272)

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

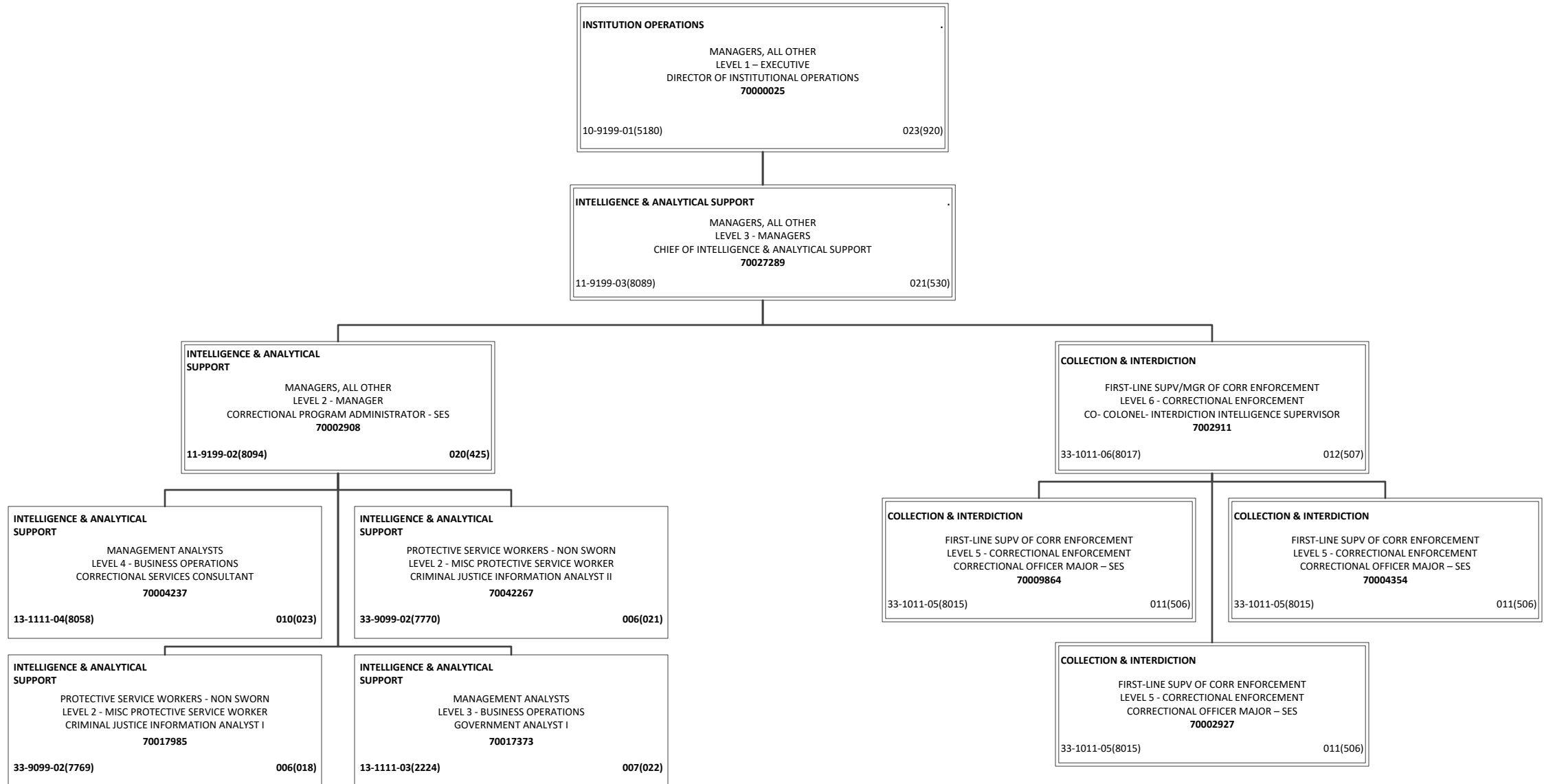
Section/Subsection EMERGENCY MANAGEMENT

CURRENT



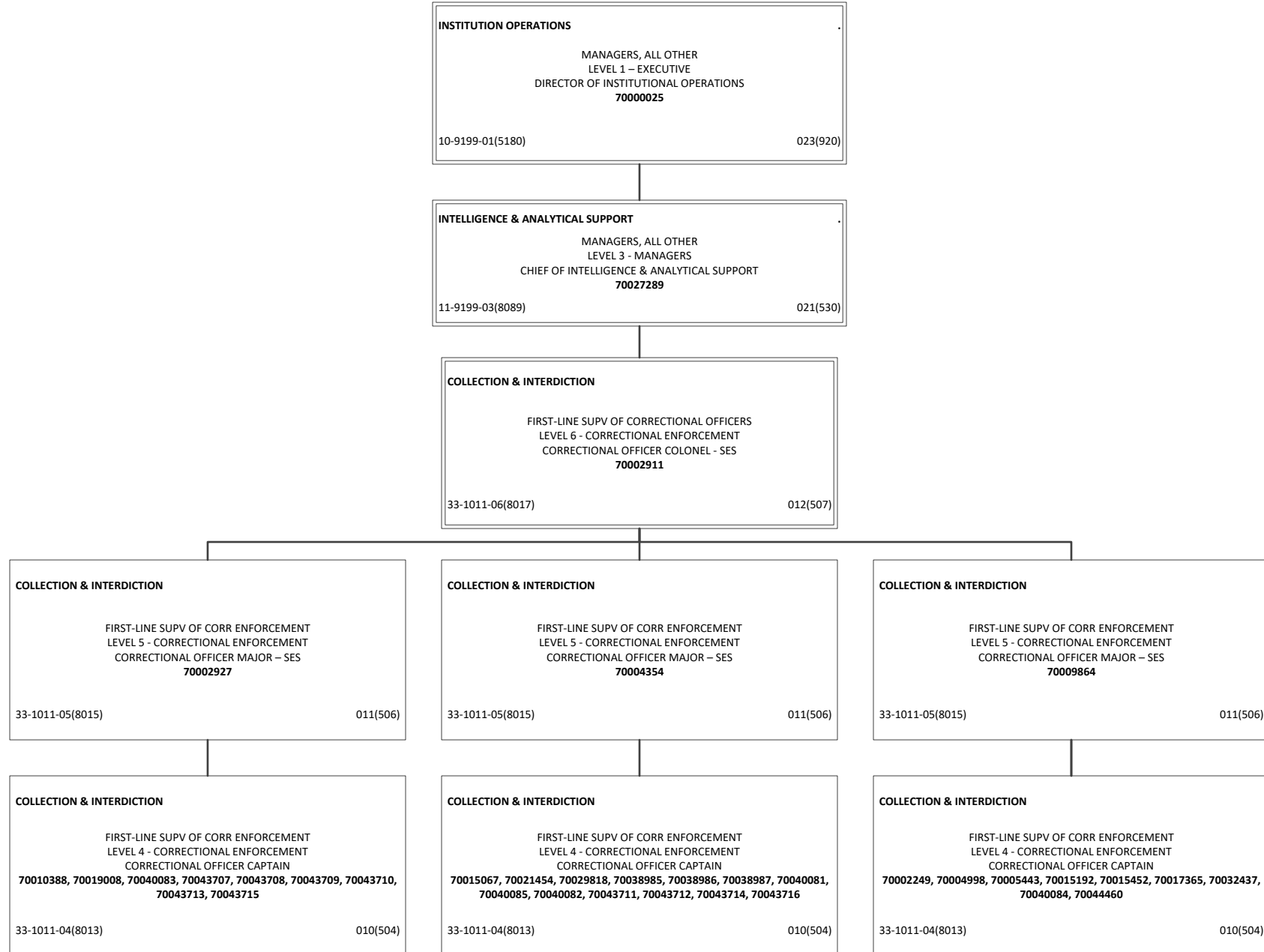
INTELLIGENCE & ANALYTICAL SUPPORT

CURRENT



COLLECTION & INTERDICTION

CURRENT

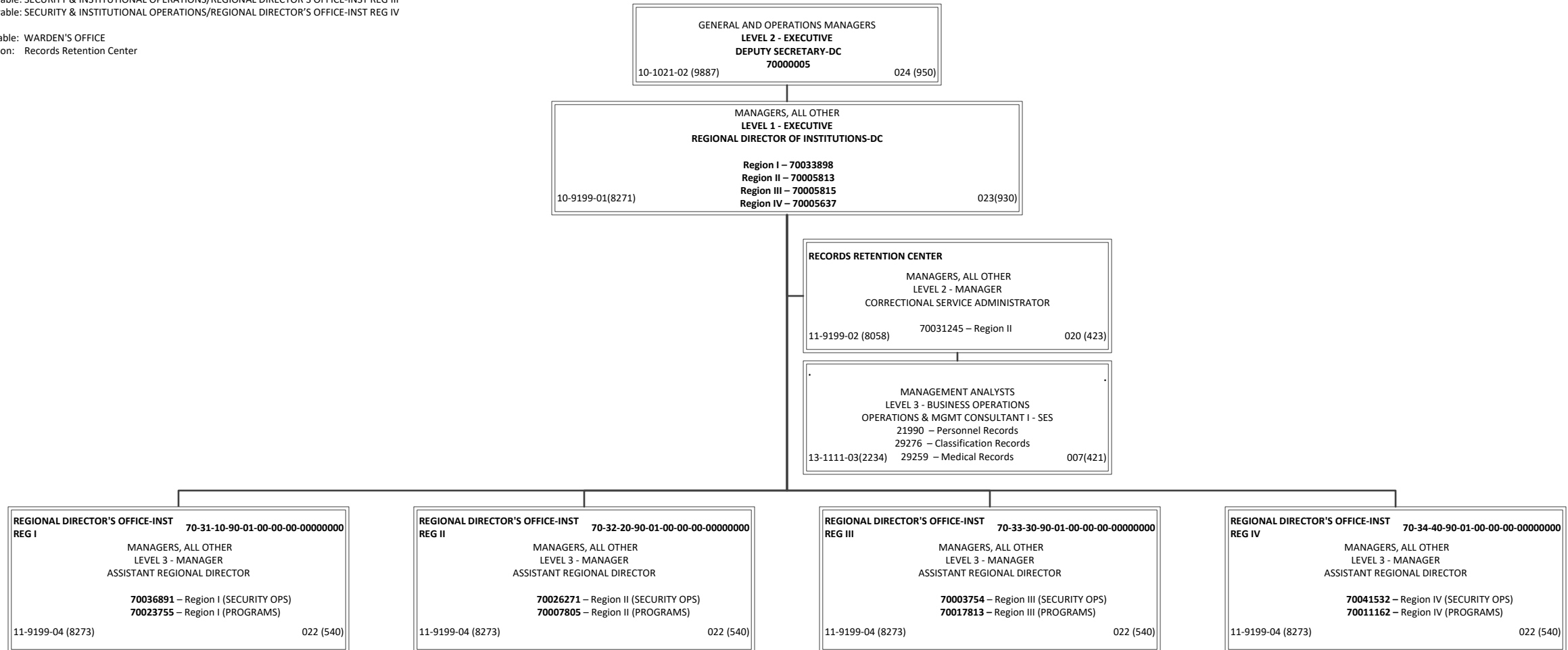


REGIONAL DIRECTOR'S OFFICE (OVERVIEW)

CURRENT

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 (WITH INST.)

CURRENT

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

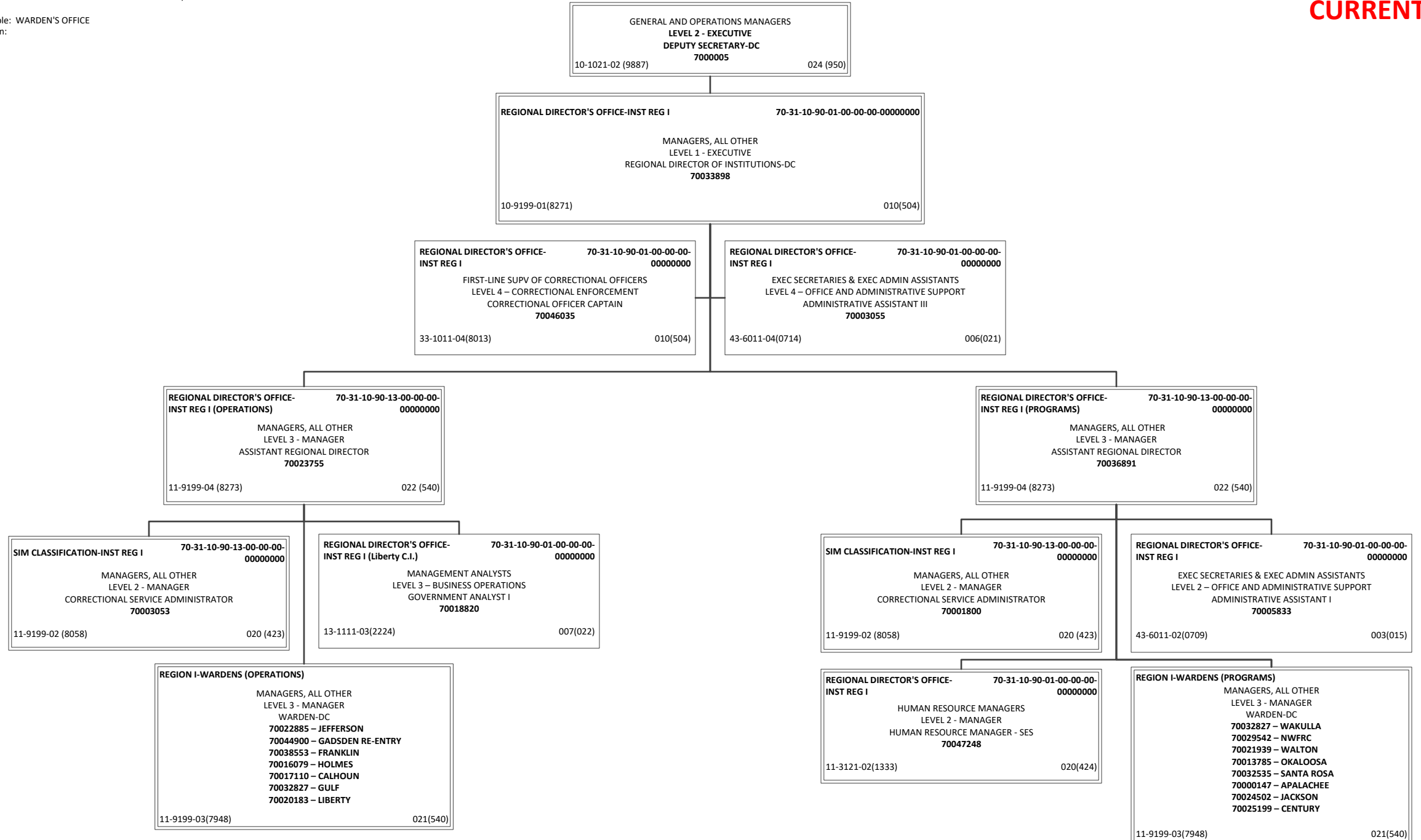


REG I DIRECTOR'S OFFICE

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

Bureau/Comparable: WARDEN'S OFFICE
 Section/Subsection:

CURRENT

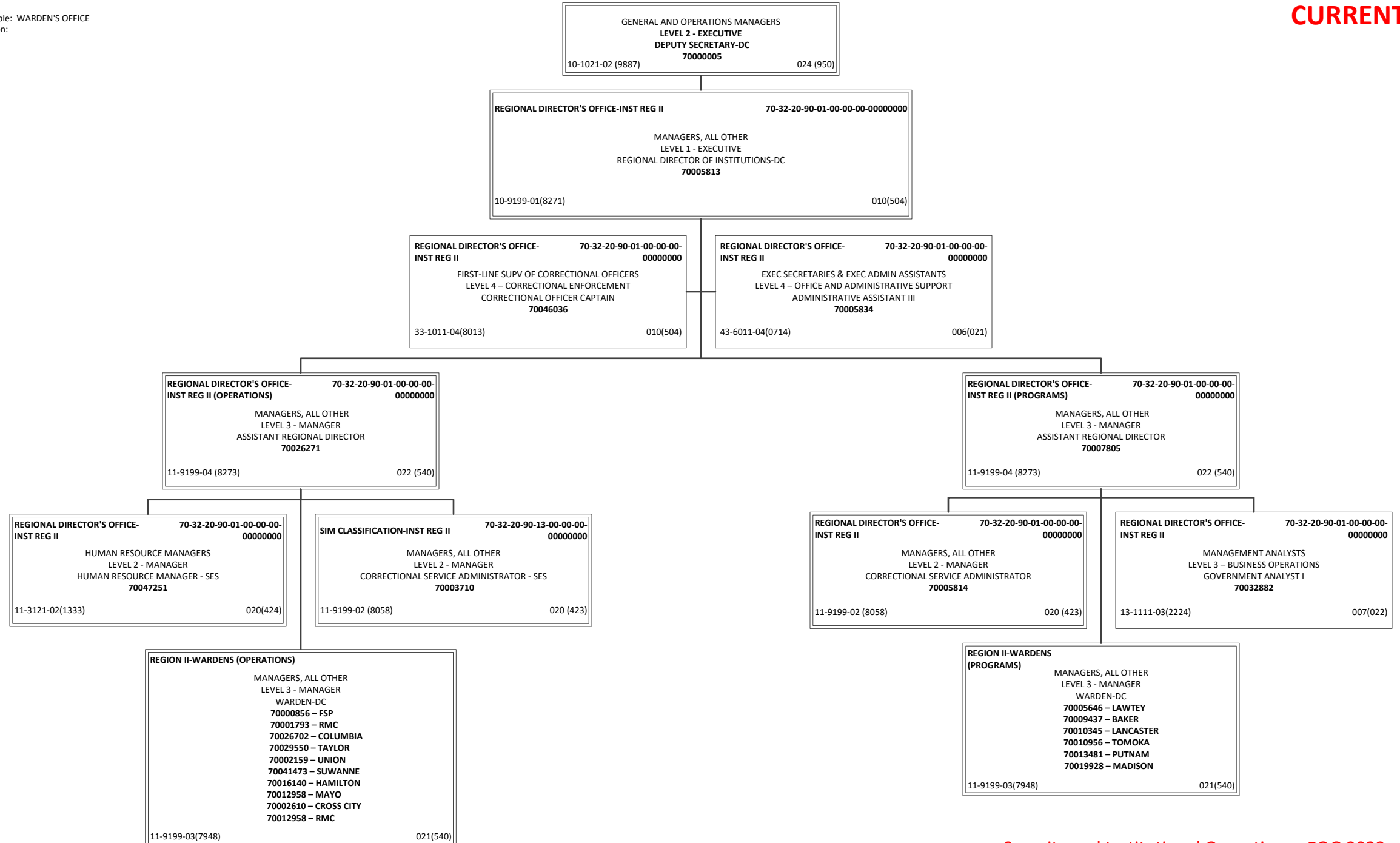


REG II DIRECTOR'S OFFICE

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

Bureau/Comparable: WARDEN'S OFFICE
 Section/Subsection:

CURRENT



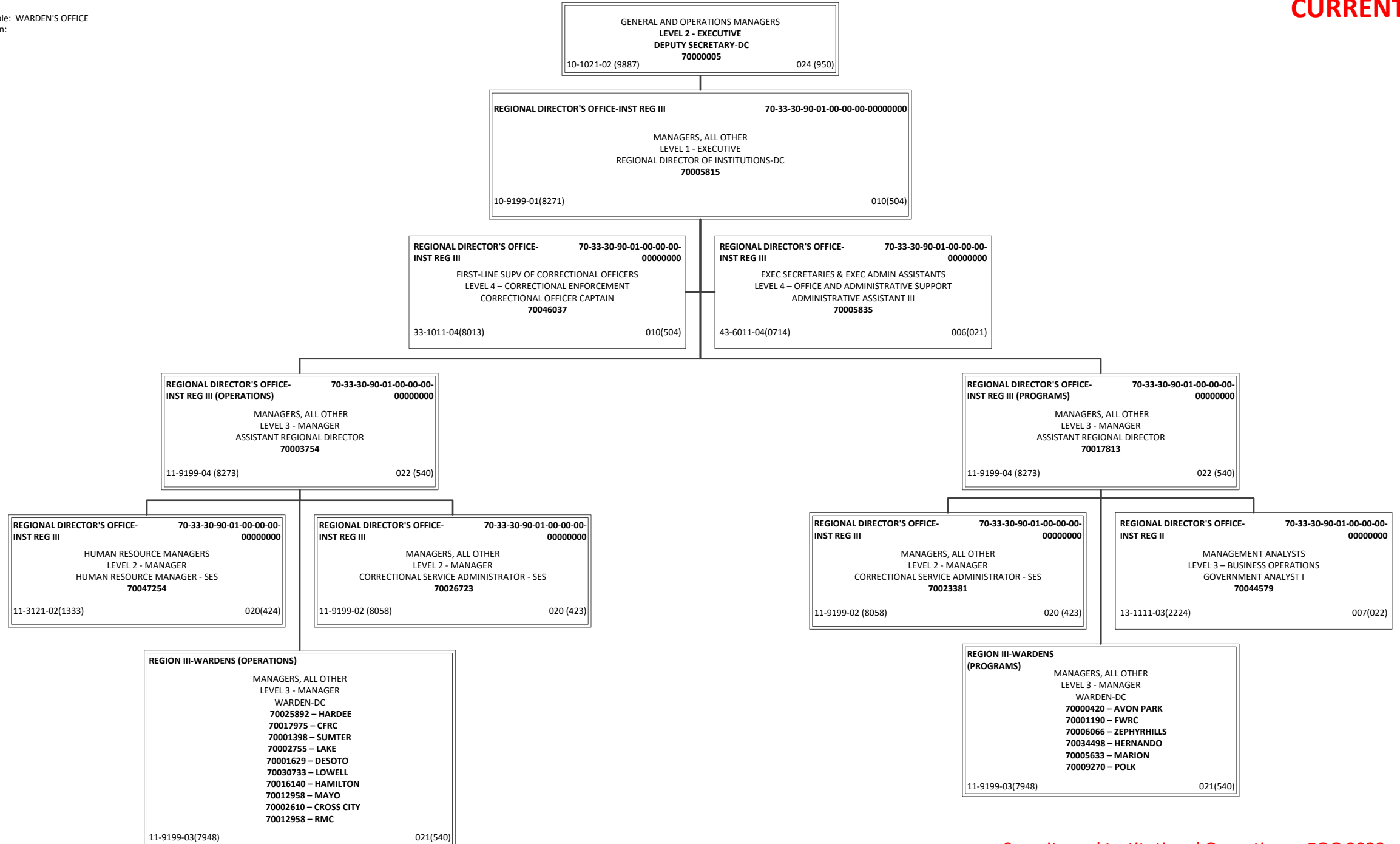
Name of Agency: DEPARTMENT OF CORRECTIONS

REG III DIRECTOR'S OFFICE

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

Bureau/Comparable: WARDEN'S OFFICE
Section/Subsection:

CURRENT

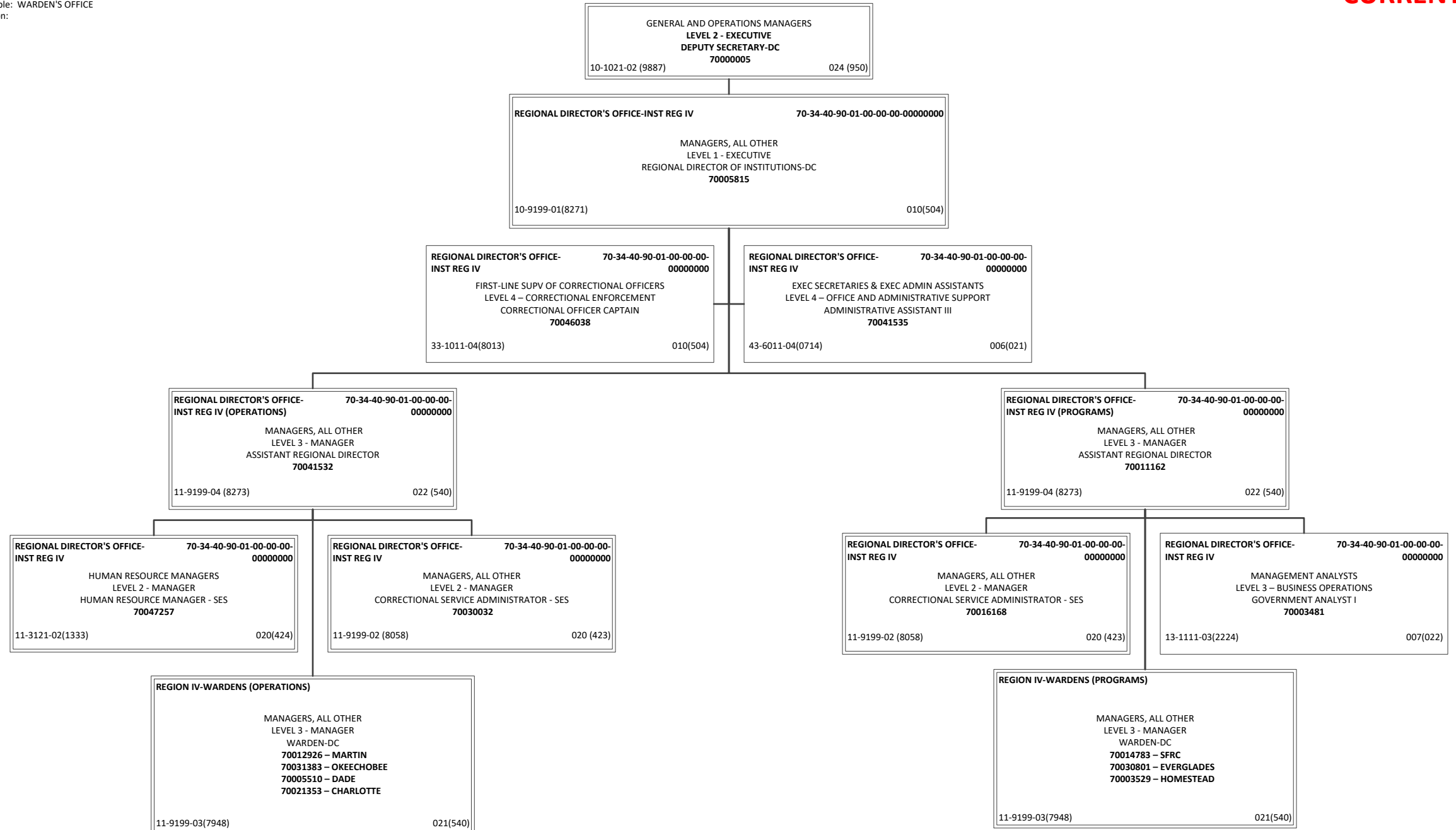


REG IV DIRECTOR'S OFFICE

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

CURRENT

Bureau/Comparable: WARDEN'S OFFICE
 Section/Subsection:



REGIONAL DISTRIBUTION CENTER

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

CURRENT

INMATE MEDICAL RECORDS 70-32-20-90-02-01-00-00-00000000
 MANAGERS, ALL OTHER
 LEVEL 1 - EXECUTIVE
 REGIONAL DIRECTOR OF INSTITUTIONS-DC
7005813
 10-9199-01(8271) 023(930)

RECORDS RETENTION CENTER 70-32-20-90-02-00-00-00-00000000
 MANAGERS, ALL OTHER
 LEVEL 2 - MANAGER
 CORRECTIONAL PROGRAM ADMINISTRATOR - SES
70031245
 11-9199-02(8094) 020(425)

PERSONNEL RECORDS
 MANAGEMENT ANALYSTS
 LEVEL 4 - BUSINESS OPERATIONS
 OPERATIONS & MGMT CONSULTANT II - SES
70021990
 13-1111-04(2236) 010(423)

INMATE CLASSIFICATION RECORDS
 MANAGEMENT ANALYSTS
 LEVEL 3 - BUSINESS OPERATIONS
 OPERATIONS & MGMT CONSULTANT I - SES
70029276
 13-1111-03(2234) 007(421)

INMATE MEDICAL RECORDS 70-32-20-90-02-01-00-00-00000000
 MANAGEMENT ANALYSTS
 LEVEL 4 - BUSINESS OPERATIONS
 OPERATIONS & MGMT CONSULTANT II - SES
70029259
 13-1111-04(2236) 010(423)

INMATE MEDICAL RECORDS 70-32-20-90-02-01-00-00-00000000
 MANAGEMENT ANALYSTS
 LEVEL 1 - BUSINESS OPERATIONS
 RECORDS ANALYST
70036287
 13-1111-01(2208) 003(017)

MANAGEMENT ANALYSTS
 LEVEL 1 - BUSINESS OPERATIONS
 RECORDS ANALYST
70035421
 13-1111-01(2208) 003(017)

MANAGEMENT ANALYSTS
 LEVEL 1 - BUSINESS OPERATIONS
 RECORDS ANALYST
70035427
 13-1111-01(2208) 003(017)

INMATE MEDICAL RECORDS 70-32-20-90-02-01-00-00-00000000
 FILE CLERKS
 LEVEL 3 - OFFICE/ADMINISTRATIVE SUPPORT
 HEALTH INFORMATION SPECIALIST-SES
70003545
 43-4071-03(5666) 005(415)

INFORMATION & RECORD CLERKS, ALL OTHER
 LEVEL 2 - OFFICE/ADMINISTRATIVE SUPPORT
 RECORDS SPECIALIST
70029258
 43-4199-02(0130) 003(015)

MANAGEMENT ANALYSTS
 LEVEL 1 - BUSINESS OPERATIONS
 RECORDS ANALYST
70035424
 13-1111-01(2208) 003(017)

INMATE MEDICAL RECORDS 70-32-20-90-02-01-00-00-00000000
 MANAGEMENT ANALYSTS
 LEVEL 1 - BUSINESS OPERATIONS
 RECORDS ANALYST
70035428
 13-1111-01(2208) 003(017)

INMATE MEDICAL RECORDS 70-32-20-90-02-01-00-00-00000000
 INFORMATION & RECORD CLERKS, ALL OTHER
 LEVEL 2 - OFFICE/ADMINISTRATIVE SUPPORT
 RECORDS SPECIALIST
70029257
 43-4199-02(0130) 003(015)

REGIONAL DISTRIBUTION CENTER 70-32-20-90-02-00-00-00-00000000
 MANAGEMENT ANALYSTS
 LEVEL 1 - BUSINESS OPERATIONS
 RECORDS ANALYST
70003534
 13-1111-01(2208) 003(017)

SECURITY OPERATIONS Audits (Operations Manager 29085)

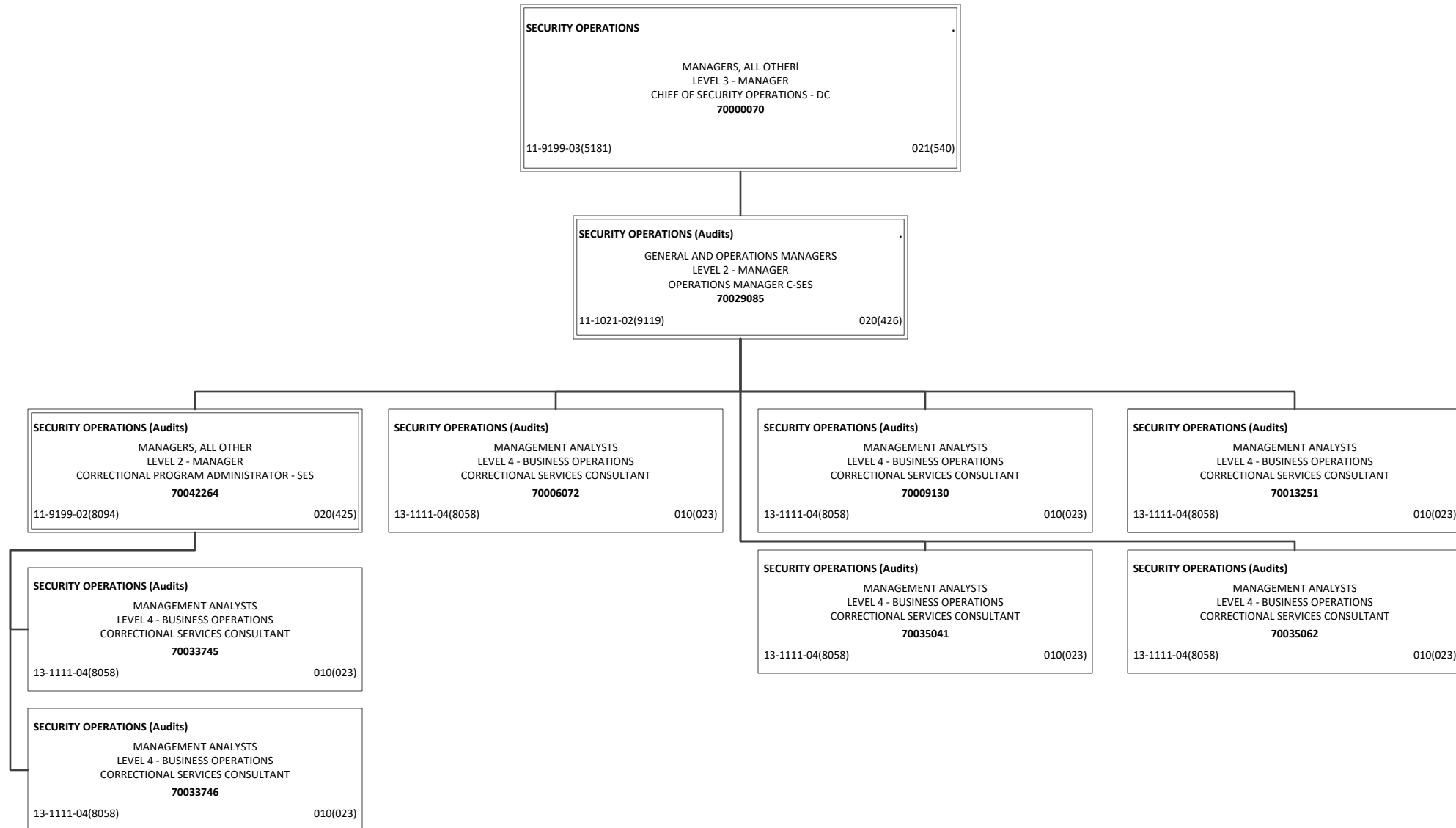
Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: AUDITS

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

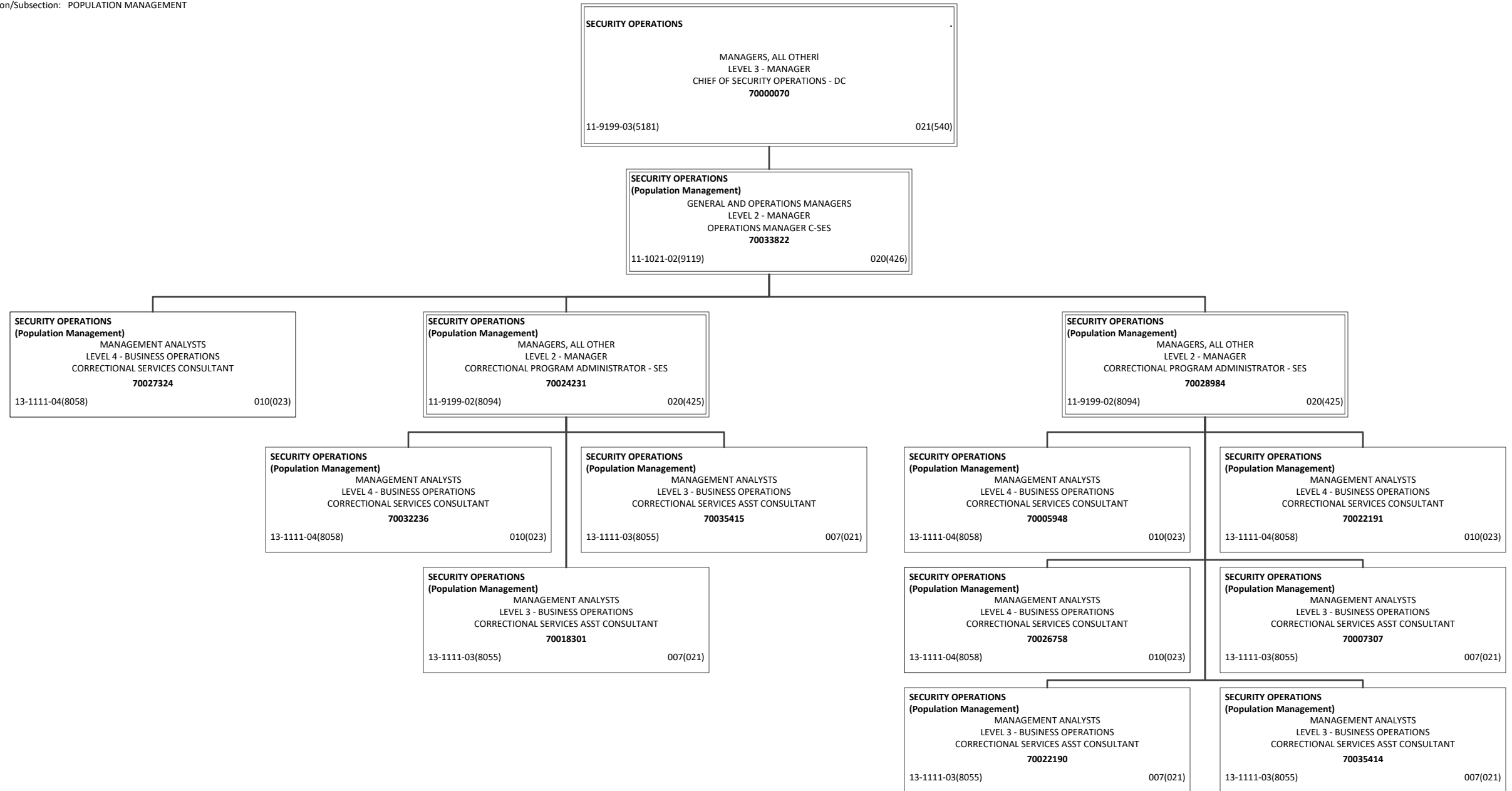
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: POPULATION MANAGEMENT

SECURITY OPERATIONS Population Management (Operations Manager 33822)

CURRENT



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

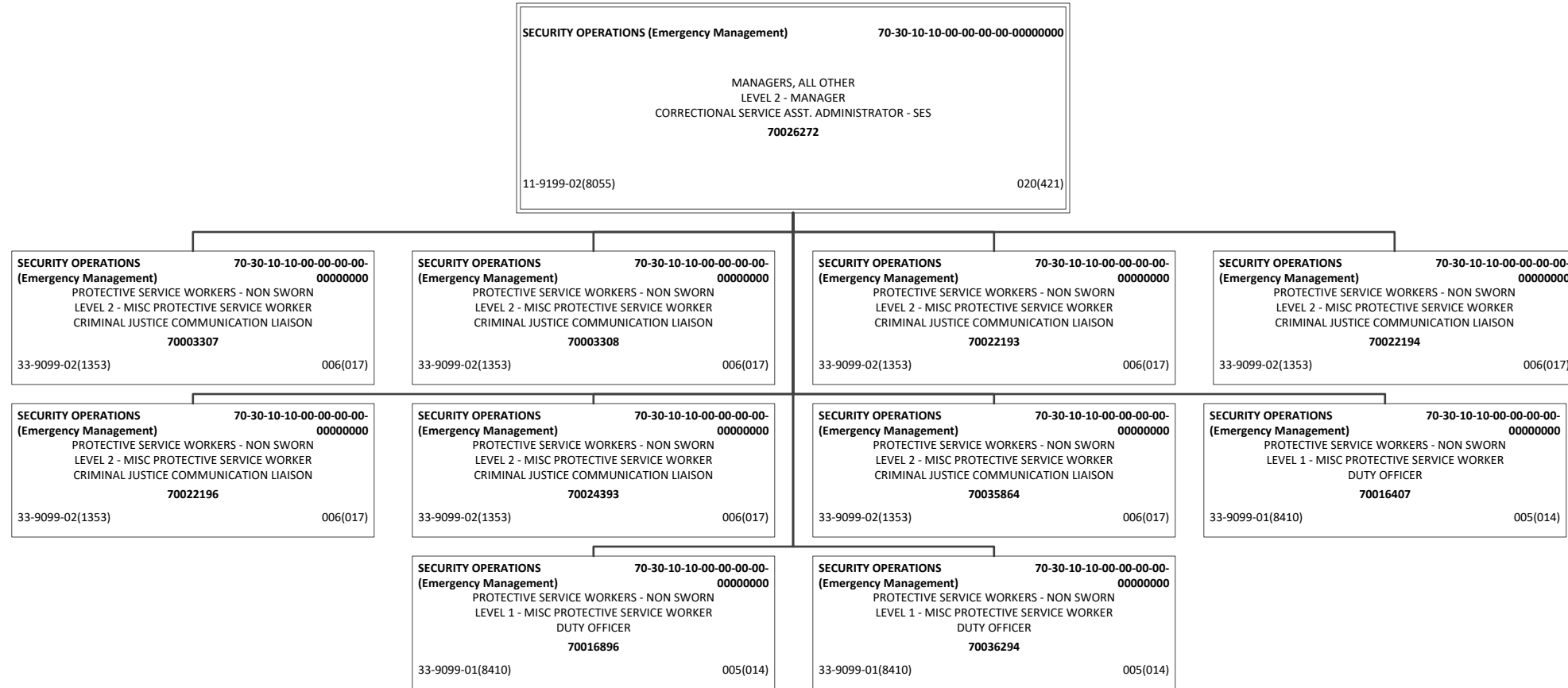
Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

Bureau/Comparable: SECURITY OPERATIONS

Section/Subsection: Emergency Management

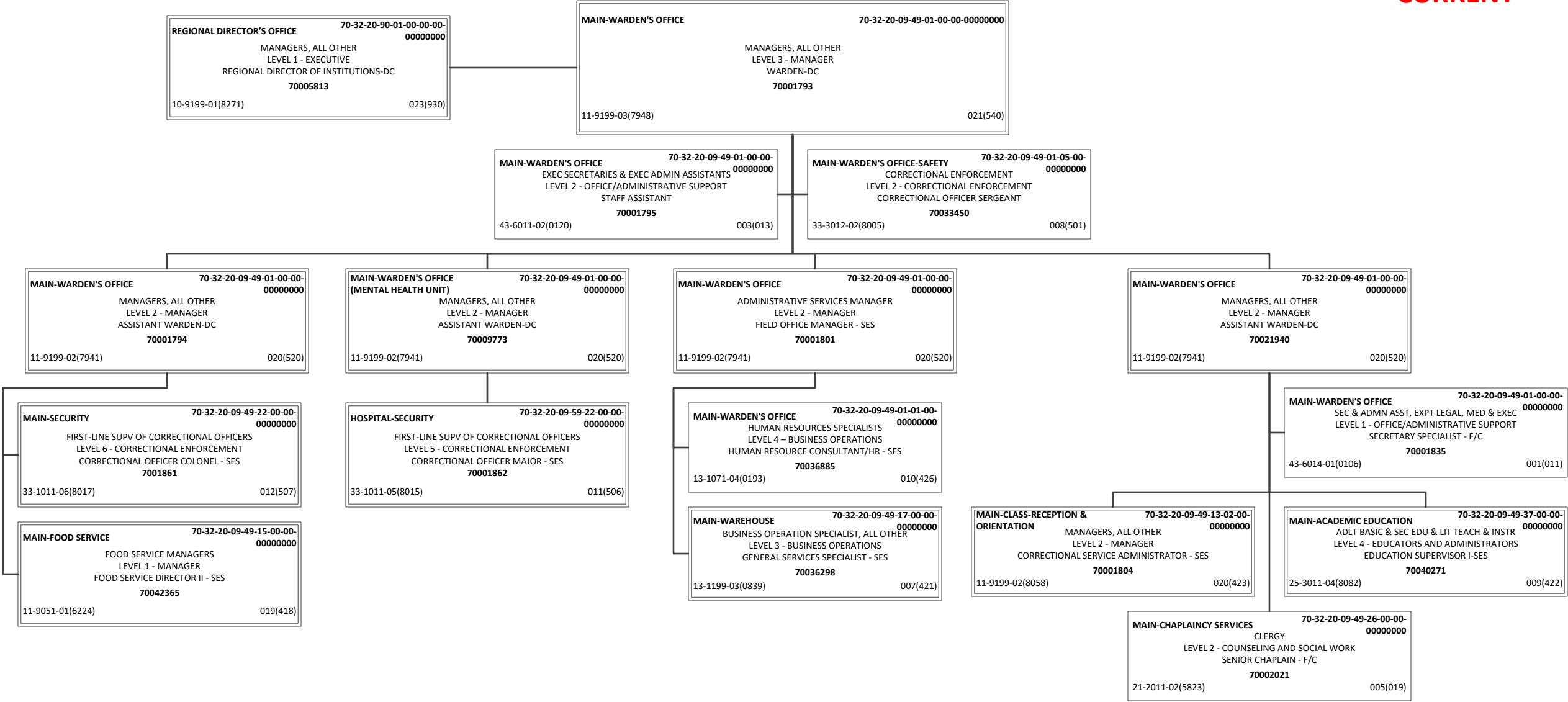
CURRENT



RECEPTION & MEDICAL CENTER - WARDEN'S OFFICE

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:

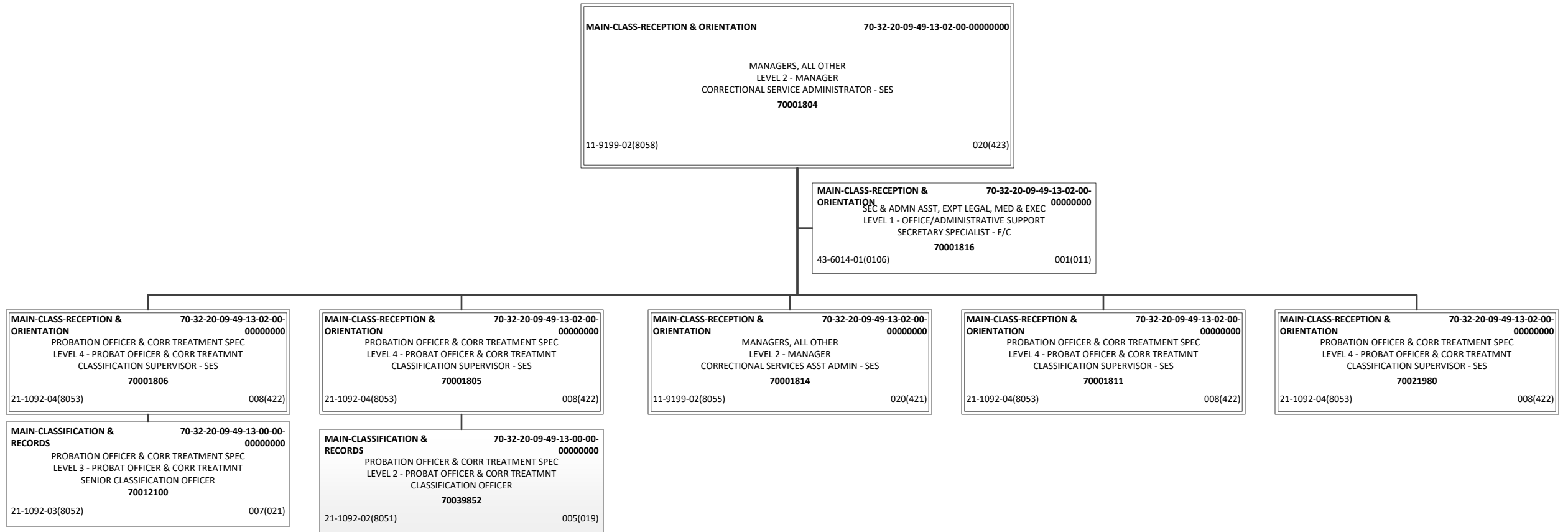
CURRENT



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

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

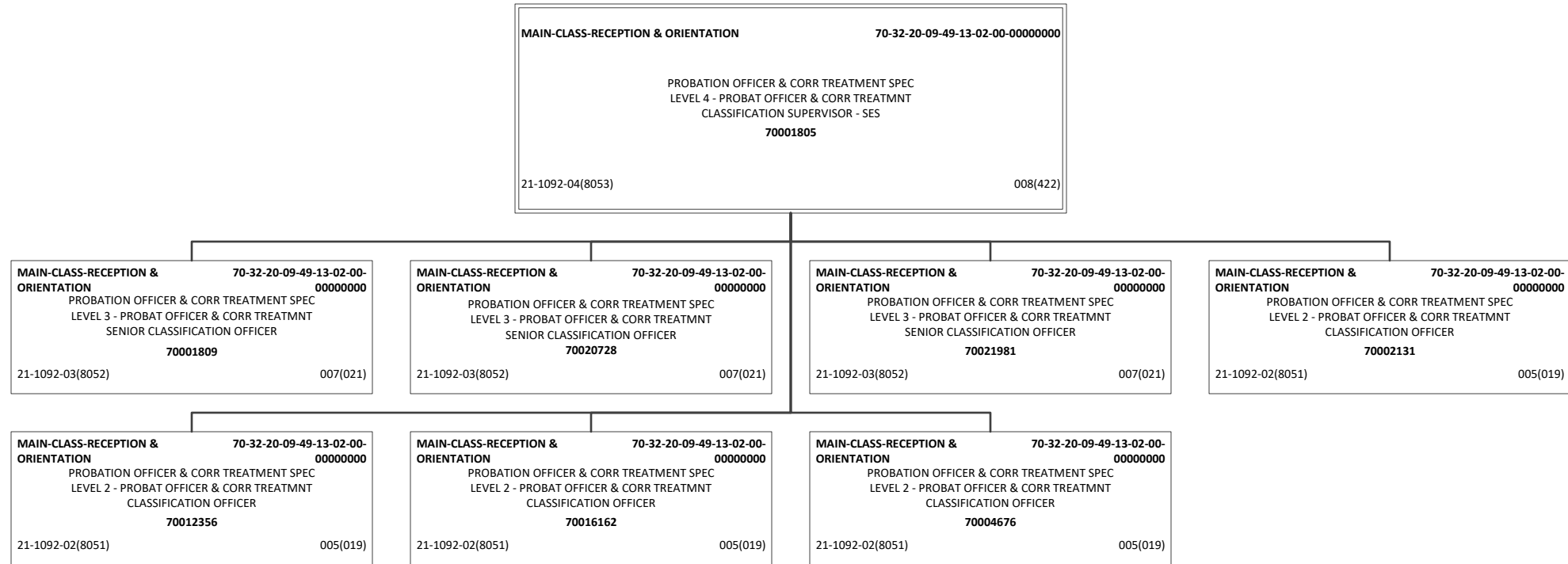
CURRENT



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

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

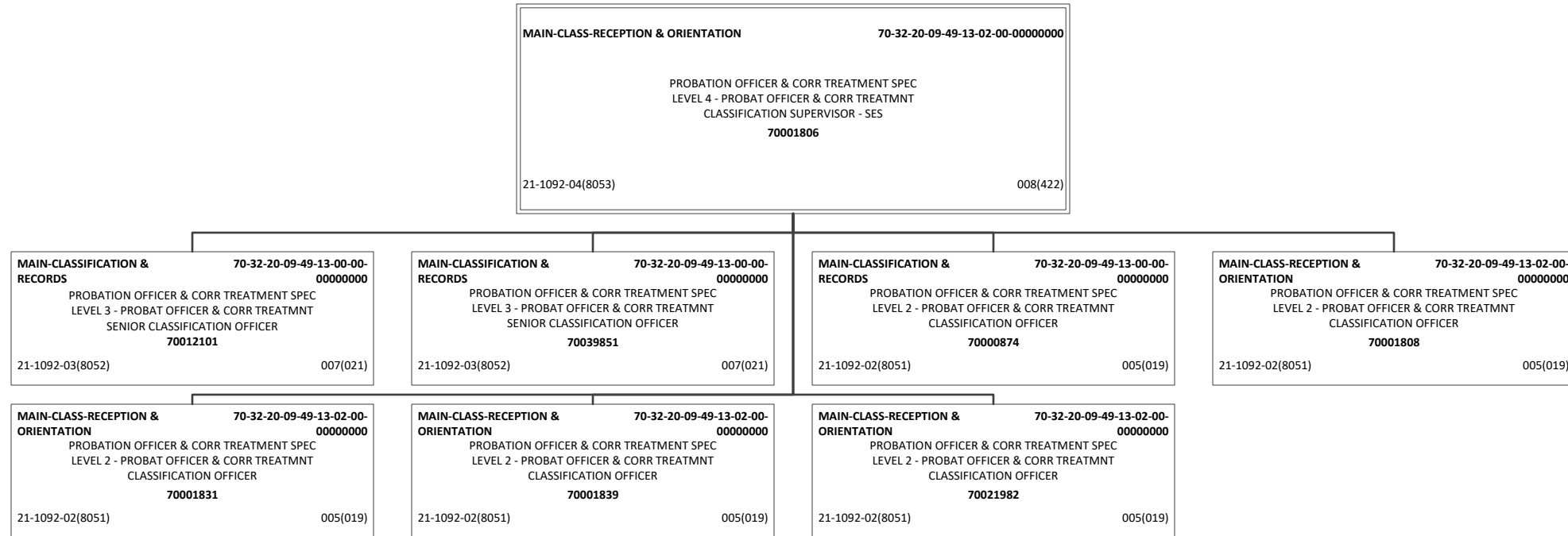
CURRENT



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

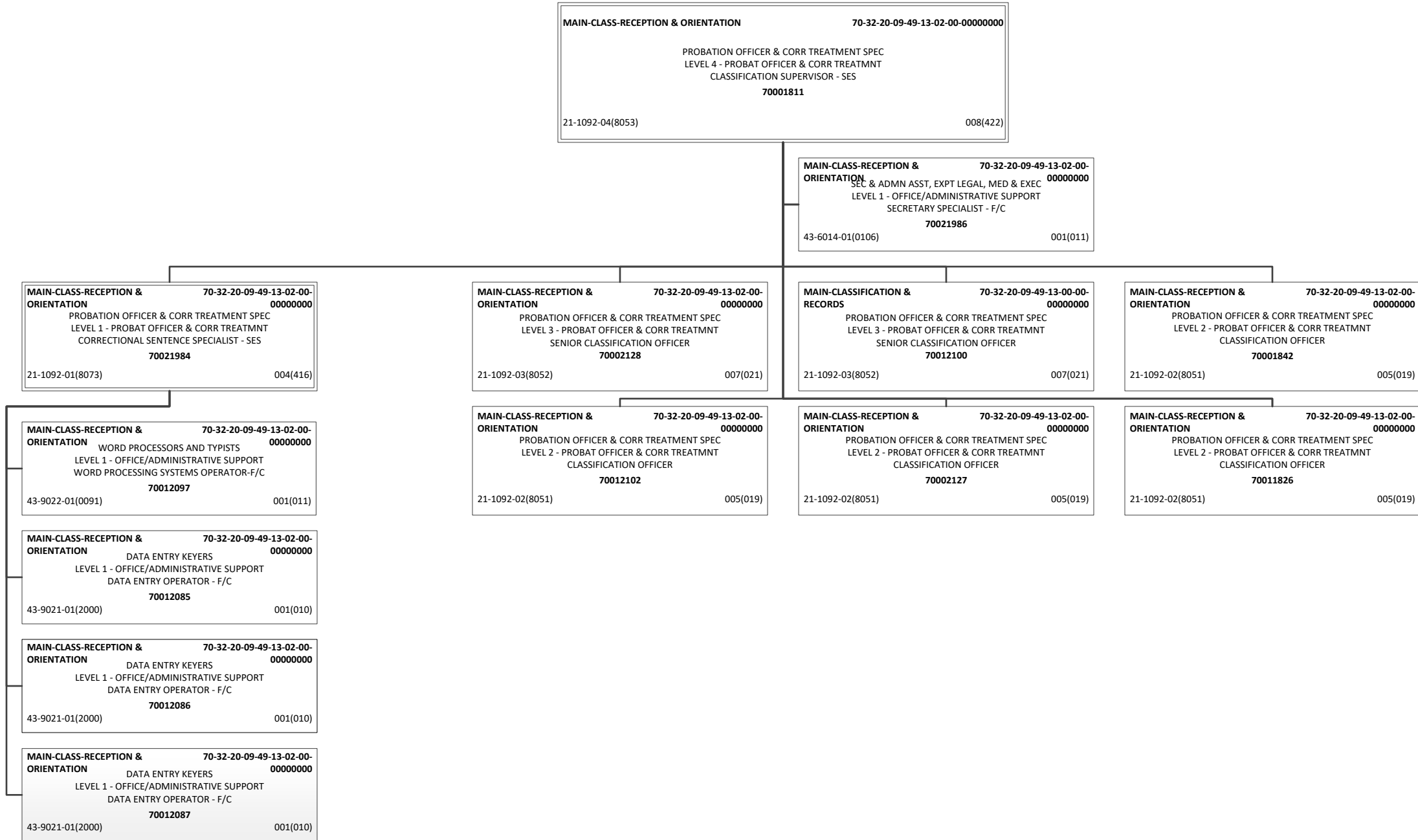
CURRENT



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

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

CURRENT



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

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

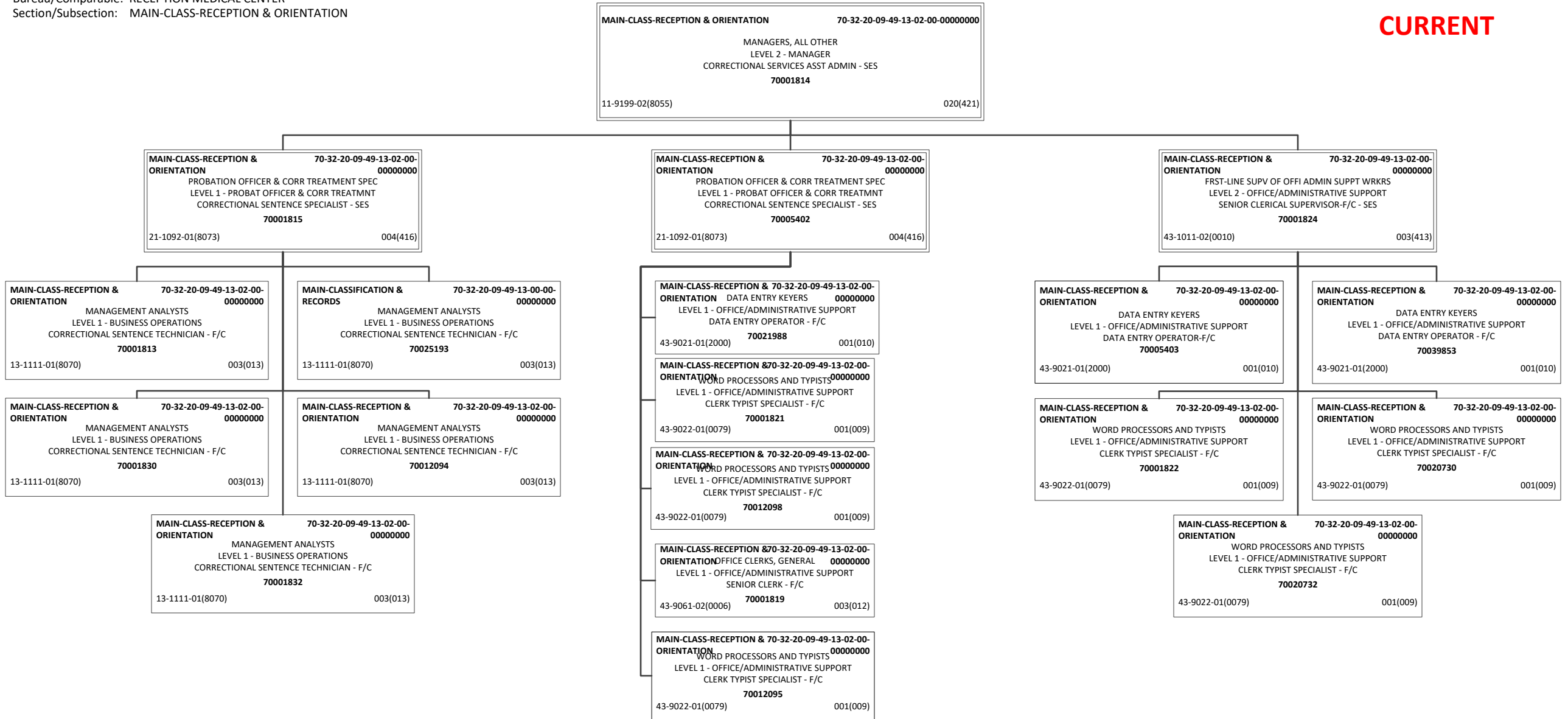
CURRENT



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

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

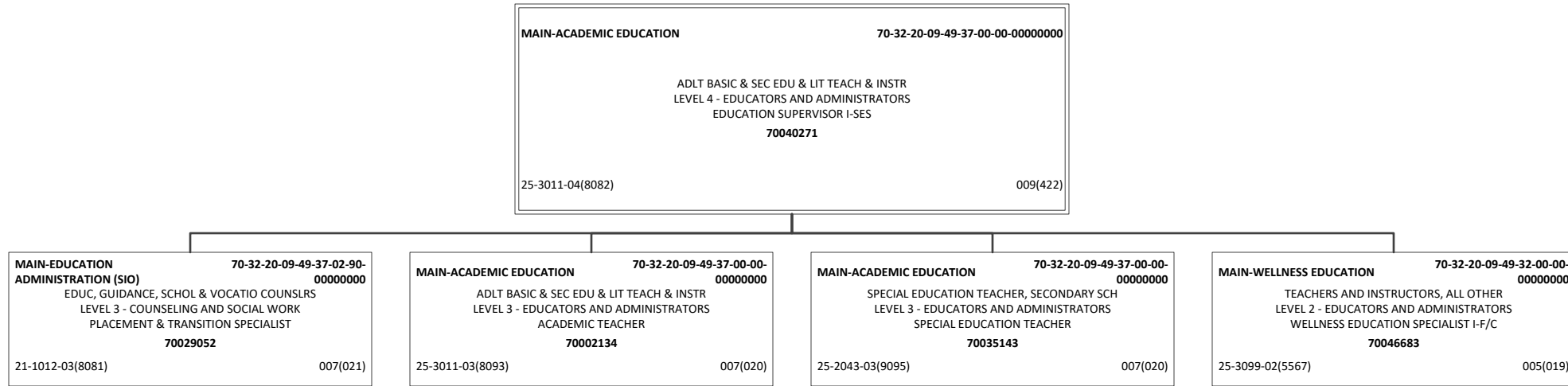
CURRENT



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

RECEPTION & MEDICAL CENTER - ADADEMIC EDUCATION

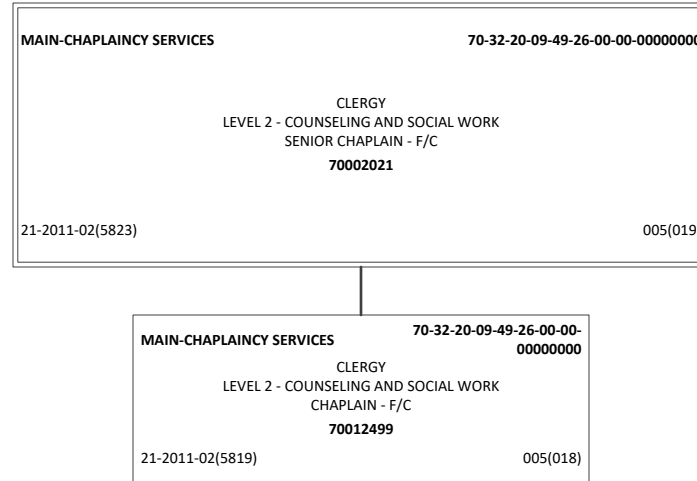
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Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
Bureau/Comparable: RECEPTION MEDICAL CENTER
Section/Subsection: MAIN-CHAPLAINCY SERVICES

RECEPTION & MEDICAL CENTER - CHAPLANCY SERVICES

CURRENT



RECEPTION & MEDICAL CENTER - FOOD SERVICE

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

CURRENT

MAIN-FOOD SERVICE	70-32-20-09-49-15-00-00-00000000
FOOD SERVICE MANAGERS LEVEL 1 - MANAGER FOOD SERVICE DIRECTOR II - SES 70042365	
11-9051-01(6224)	019(418)

MAIN-FOOD SERVICE	70-32-20-09-49-15-00-00-00000000
FOOD SERVICE MANAGERS LEVEL 1 - MANAGER FOOD SERVICE DIRECTOR I - SES 70042369	
11-9051-01(6223)	019(415)

MAIN-FOOD SERVICE	70-32-20-09-49-15-00-00-00000000
VOCATIONAL EDUCAT TEACHER, POSTSECONDARY LEVEL 1 - EDUCATORS AND ADMINISTRATORS VOCATIONAL FOOD SERVICE COORDINATOR 70042366	
25-1194-01(1320)	002(013)

MAIN-FOOD SERVICE	70-32-20-09-49-15-00-00-00000000
VOCATIONAL EDUCAT TEACHER, POSTSECONDARY LEVEL 1 - EDUCATORS AND ADMINISTRATORS VOCATIONAL FOOD SERVICE COORDINATOR 70042367	
25-1194-01(1320)	002(013)

MAIN-FOOD SERVICE	70-32-20-09-49-15-00-00-00000000
VOCATIONAL EDUCAT TEACHER, POSTSECONDARY LEVEL 1 - EDUCATORS AND ADMINISTRATORS VOCATIONAL FOOD SERVICE COORDINATOR 70042368	
25-1194-01(1320)	002(013)

MAIN-FOOD SERVICE	70-32-20-09-49-15-00-00-00000000
VOCATIONAL EDUCAT TEACHER, POSTSECONDARY LEVEL 1 - EDUCATORS AND ADMINISTRATORS VOCATIONAL FOOD SERVICE COORDINATOR 42533	
25-1194-01(1320)	002(013)

MAIN-FOOD SERVICE	70-32-20-09-49-15-00-00-00000000
VOCATIONAL EDUCAT TEACHER, POSTSECONDARY LEVEL 1 - EDUCATORS AND ADMINISTRATORS VOCATIONAL FOOD SERVICE COORDINATOR 70042370	
25-1194-01(1320)	002(013)

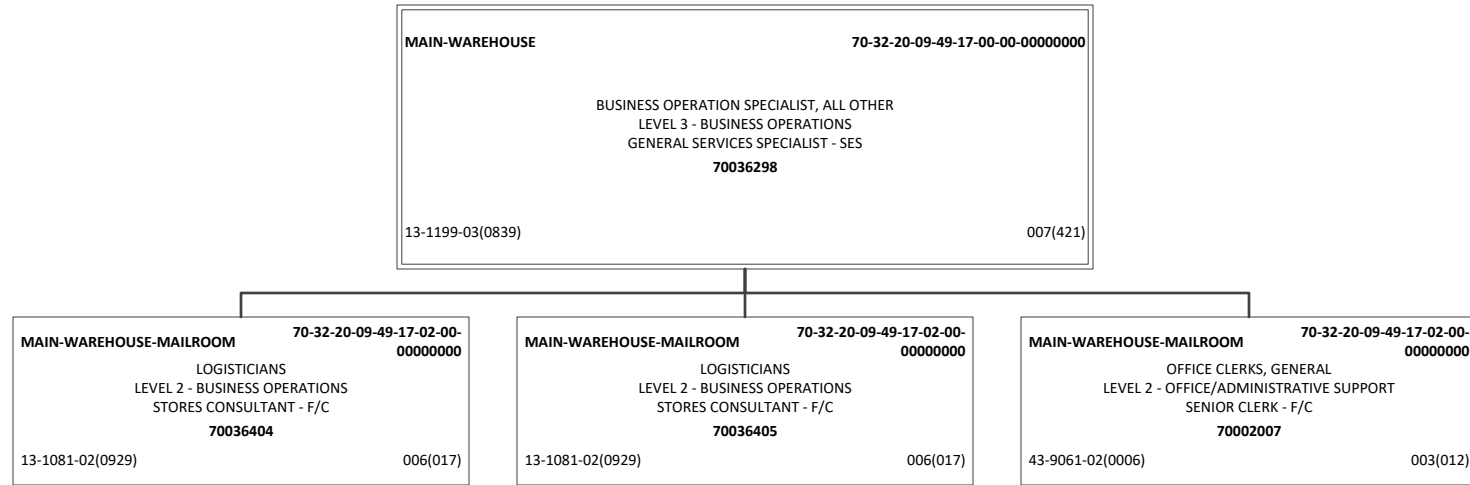
MAIN-FOOD SERVICE	70-32-20-09-49-15-00-00-00000000
VOCATIONAL EDUCAT TEACHER, POSTSECONDARY LEVEL 1 - EDUCATORS AND ADMINISTRATORS VOCATIONAL FOOD SERVICE COORDINATOR 70042371	
25-1194-01(1320)	002(013)

MAIN-FOOD SERVICE	70-32-20-09-49-15-00-00-00000000
VOCATIONAL EDUCAT TEACHER, POSTSECONDARY LEVEL 1 - EDUCATORS AND ADMINISTRATORS VOCATIONAL FOOD SERVICE COORDINATOR 70042372	
25-1194-01(1320)	002(013)

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

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
 Section/Subsection: MAIN-SECURITY

RECEPTION & MEDICAL CENTER - SECURITY MAIN

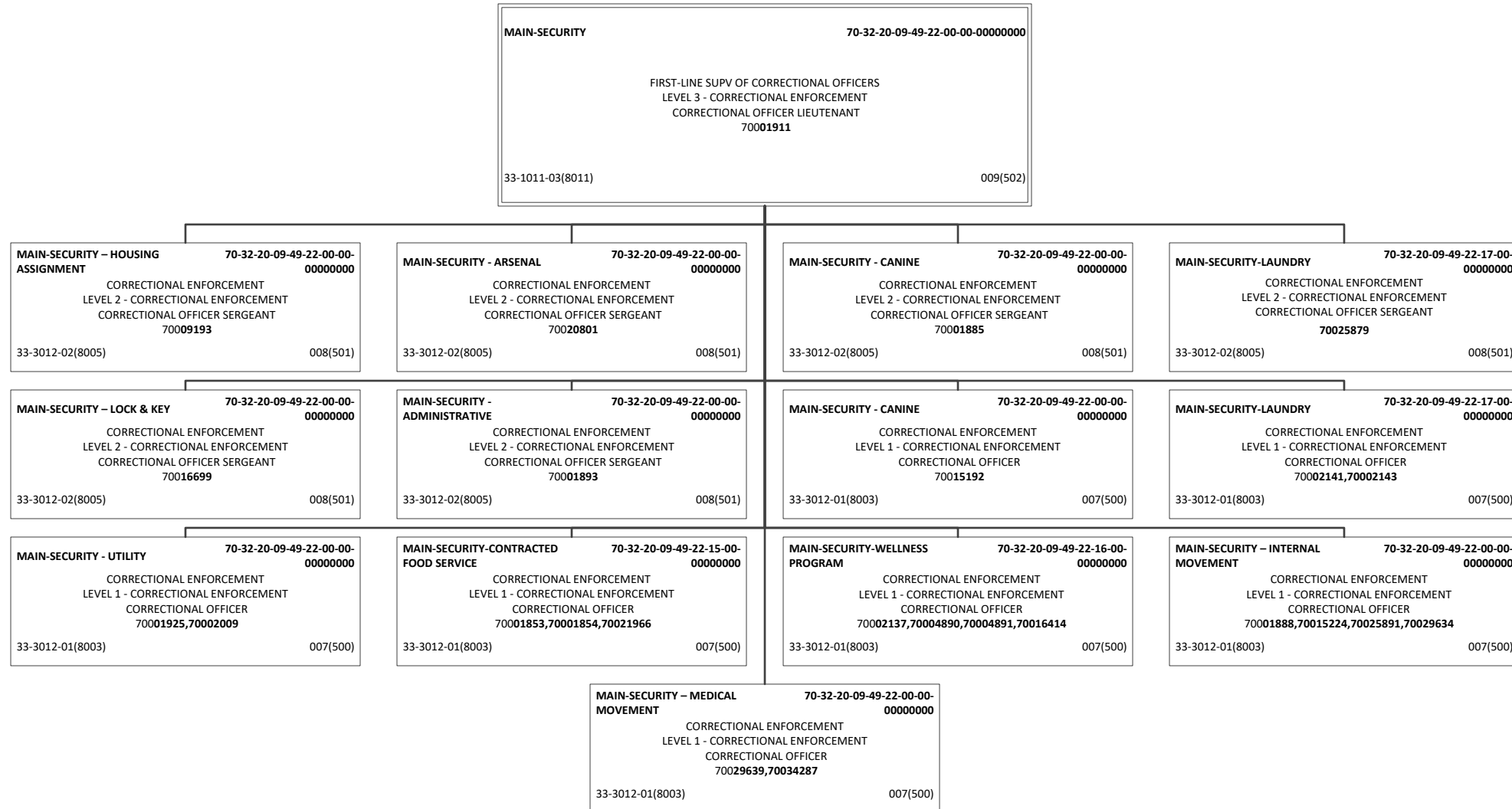
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: MAIN-SECURITY

RECEPTION & MEDICAL CENTER - SECURITY MAIN - ADMIN

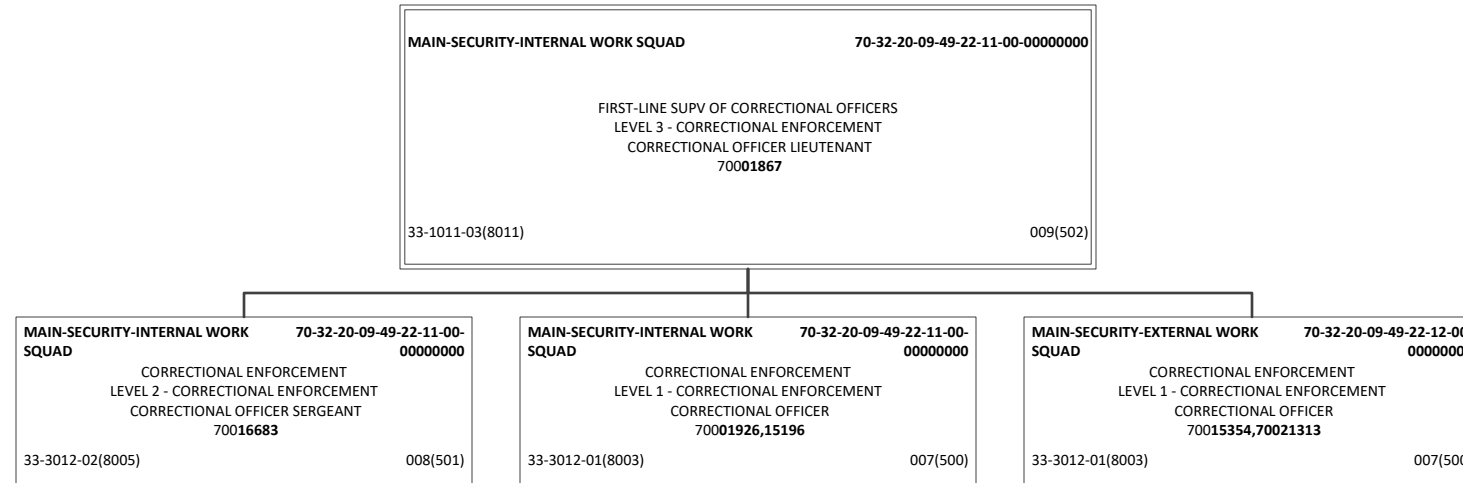
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: MAIN-SECURITY-INTERNAL WORK SQUAD

RECEPTION & MEDICAL CENTER - SECURITY MAIN - WORK SQUAD

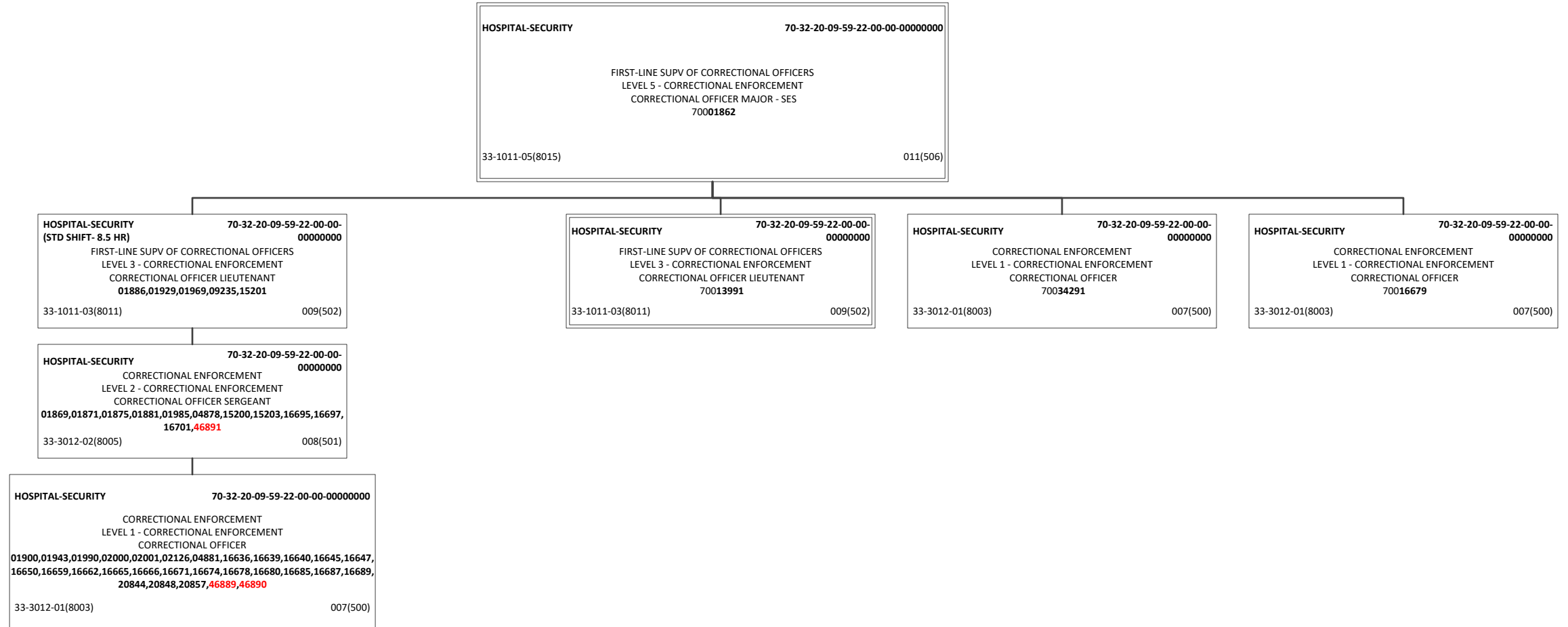
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: HOSPITAL-SECURITY

RECEPTION & MEDICAL CENTER - SECURITY HOSPITAL

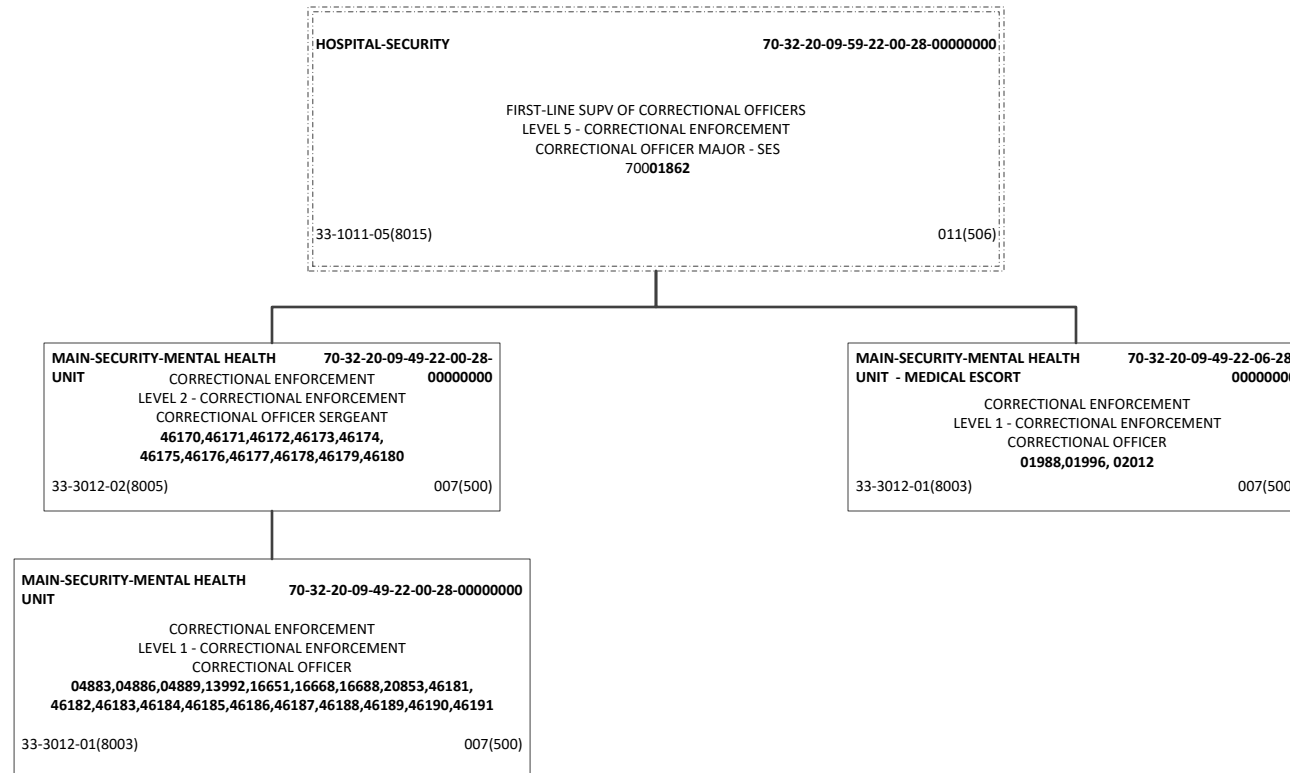
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: MAIN-SECURITY-MENTAL HEALTH UNIT

RECEPTION & MEDICAL CENTER - MENTAL HEALTH UNIT

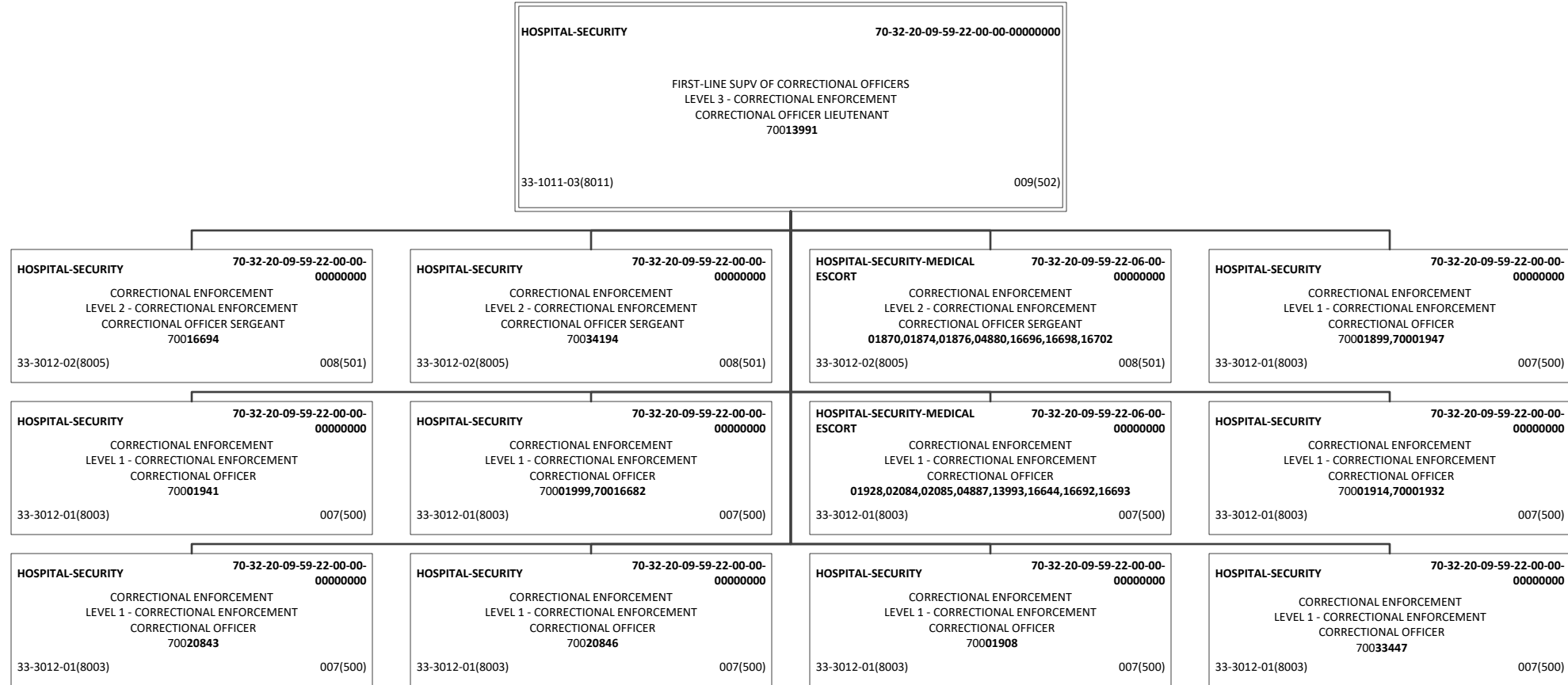
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RECEPTION & MEDICAL CENTER - SECURITY HOSPITAL - ADMIN

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)

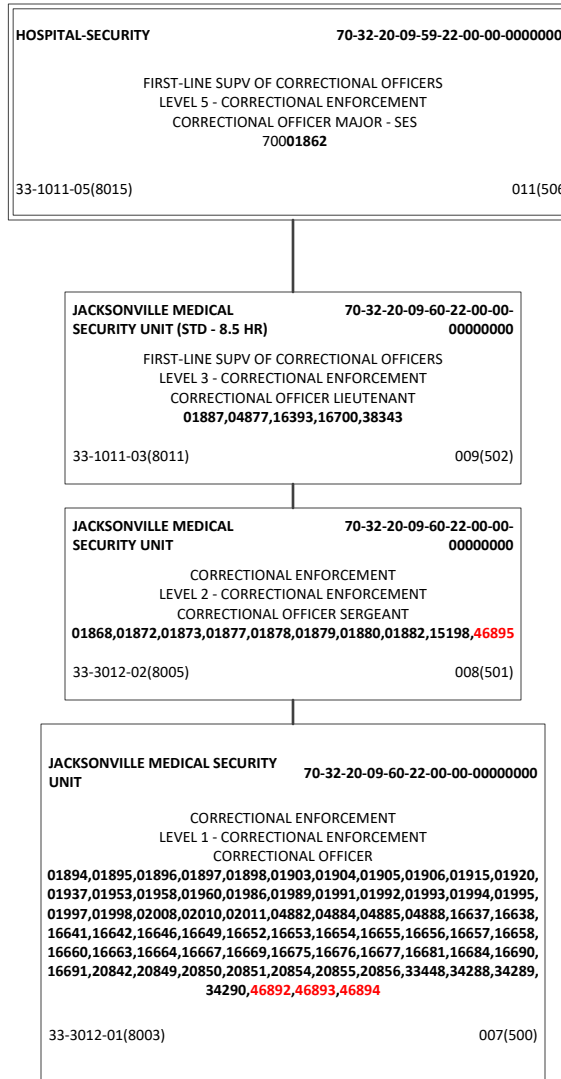
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RECEPTION & MEDICAL CENTER - SECURITY HOSPITAL - JACKSONVILLE MEDICAL SECURITY UNIT

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)

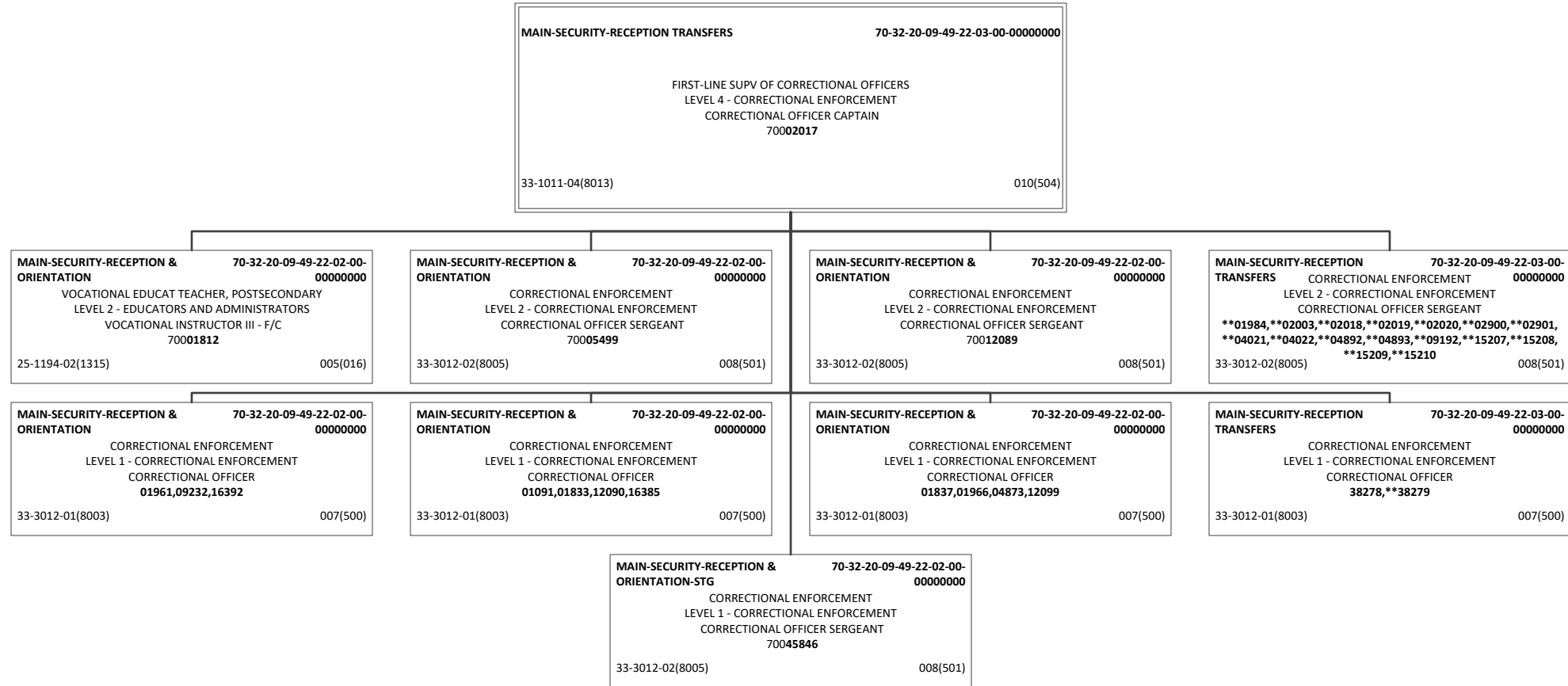
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RECEPTION & MEDICAL CENTER - SECURITY MAIN - RECEPTION TRANSFERS

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

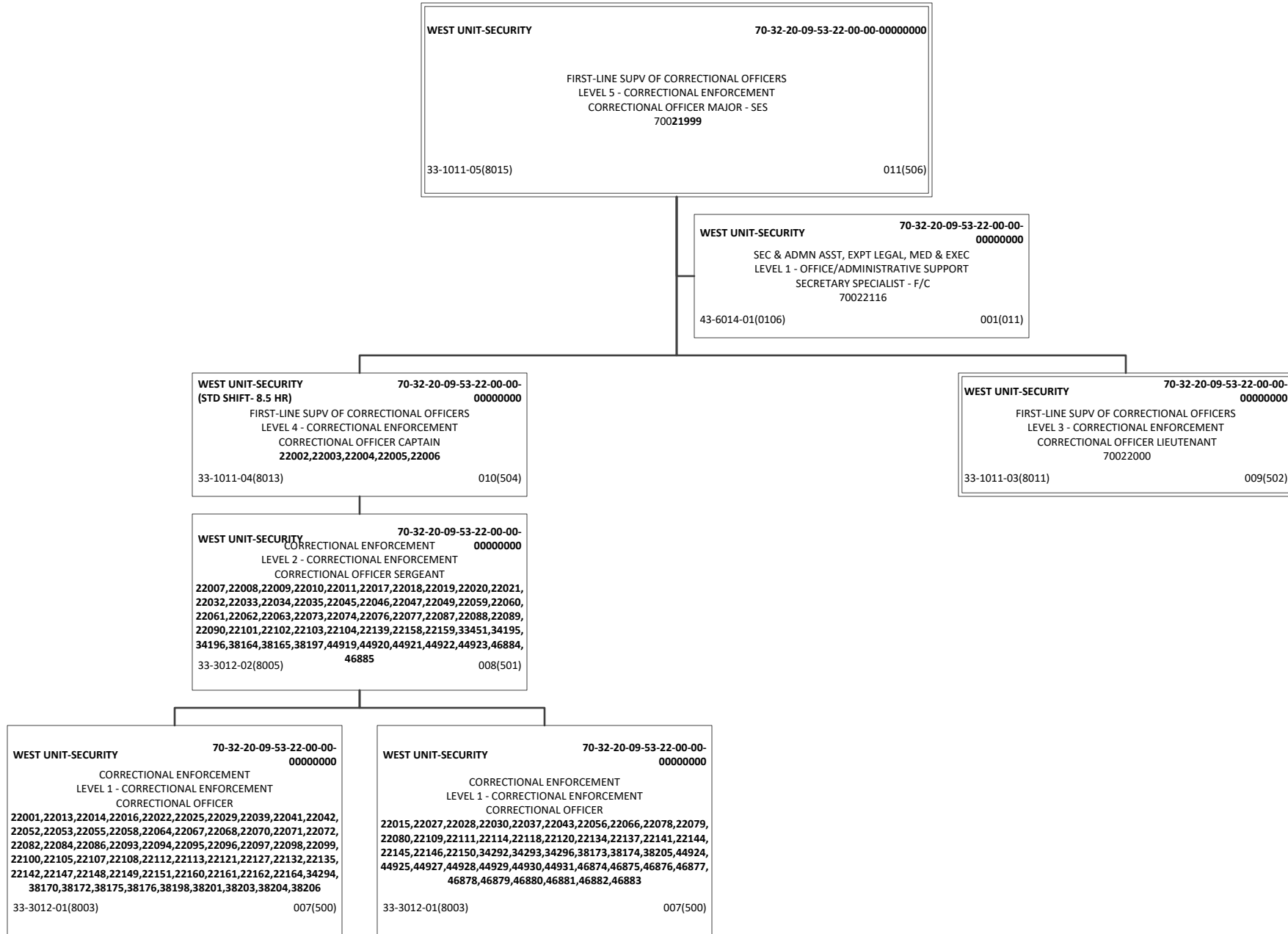
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RECEPTION & MEDICAL CENTER - SECURITY - WEST UNIT

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

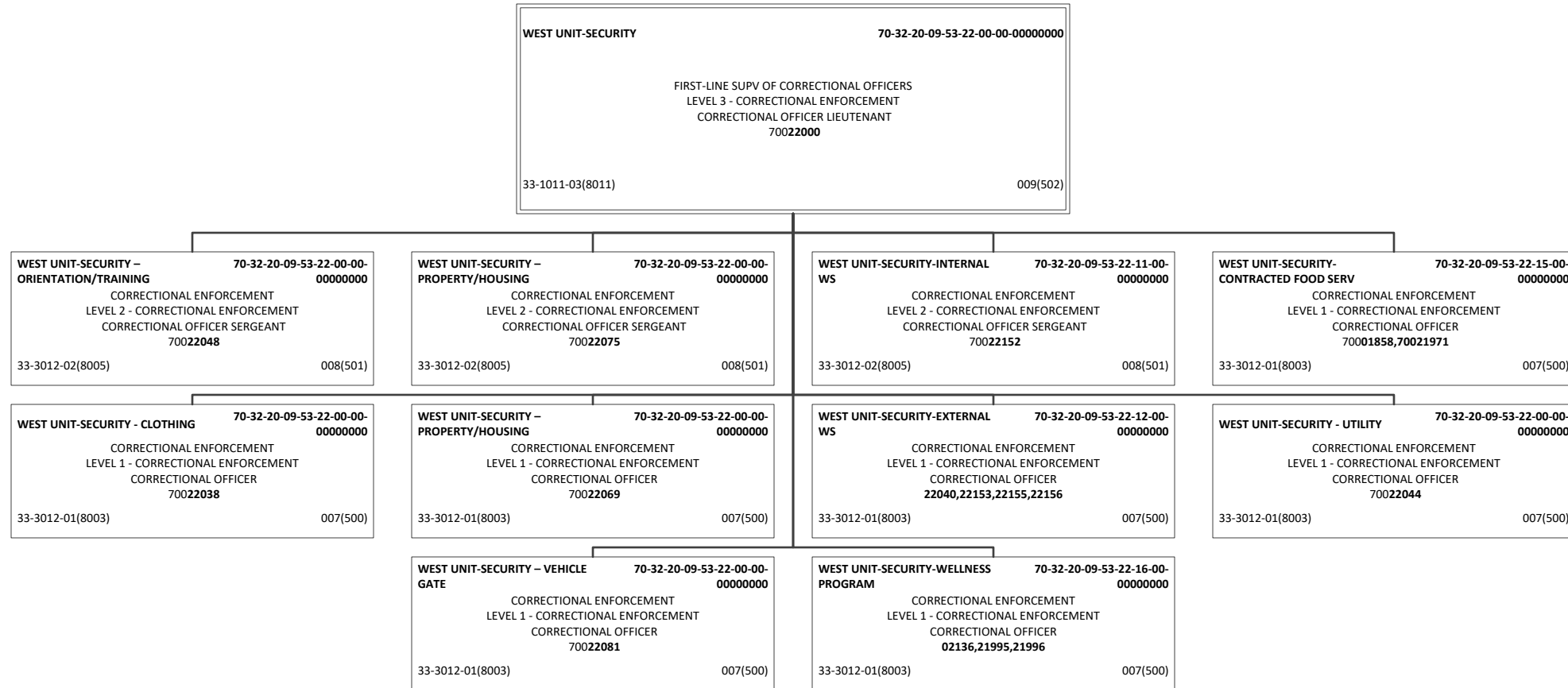
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: WEST UNIT-SECURITY

RECEPTION & MEDICAL CENTER - SECURITY - WEST UNIT - ADMIN

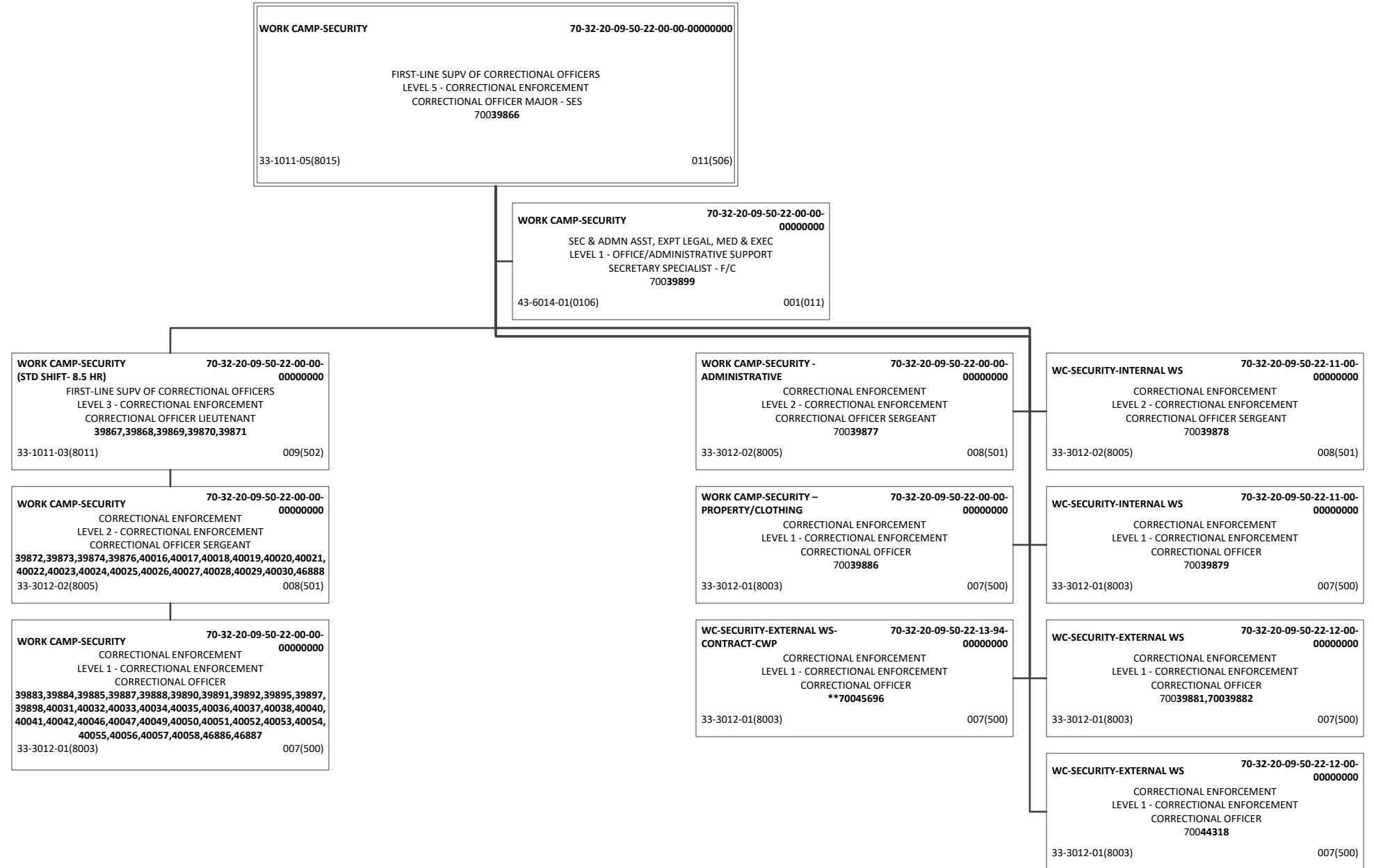
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY AND INSTITUTIONAL OPERATIONS/REGIONAL DIRECTOR'S OFFICE-INST REG II
 Bureau/Comparable: RECEPTION MEDICAL CENTER
 Section/Subsection: WORK CAMP-SECURITY

RECEPTION & MEDICAL CENTER - SECURITY - WORK CAMP

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

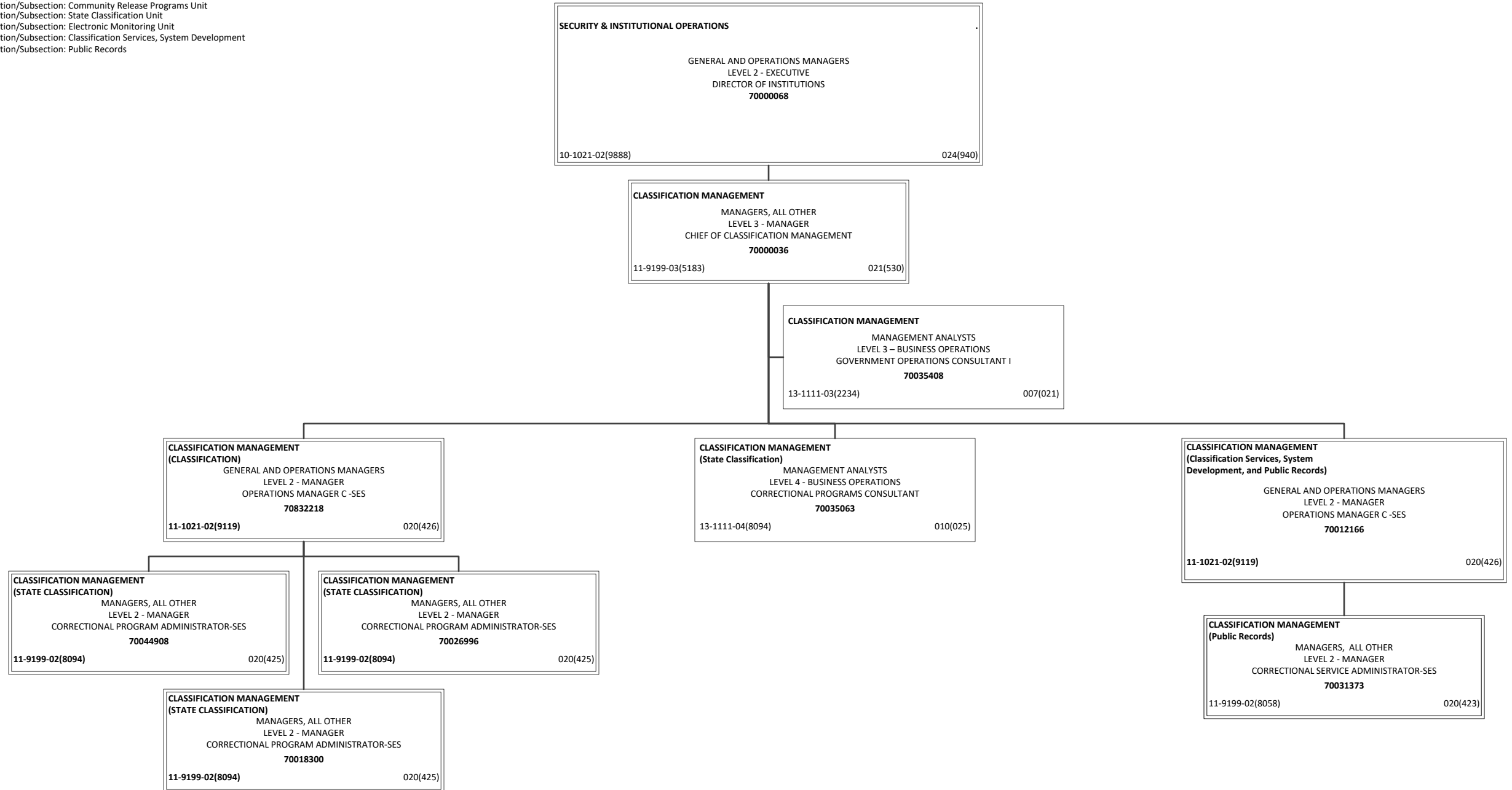
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS

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

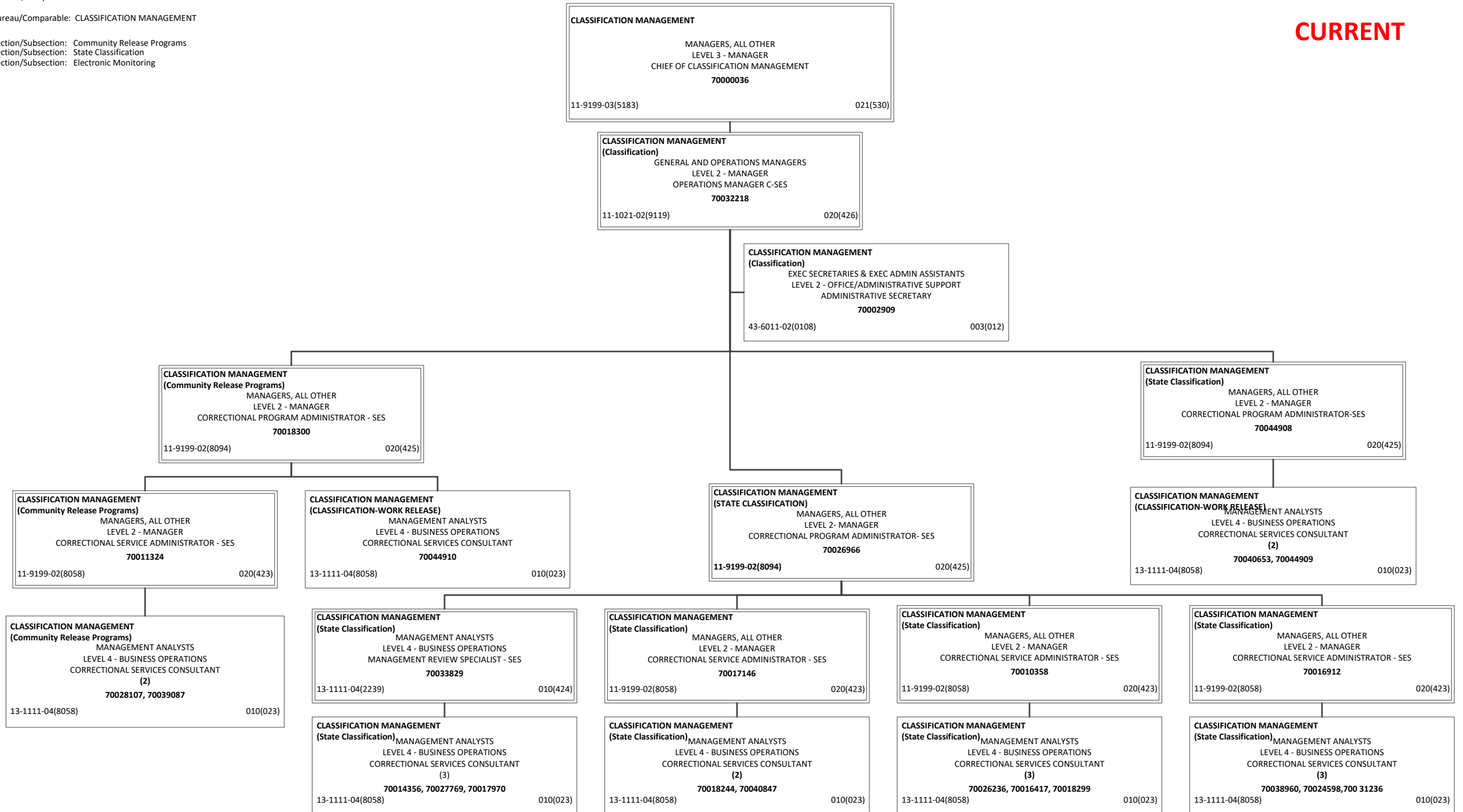
Section/Subsection: Community Release Programs

Section/Subsection: State Classification

Section/Subsection: Electronic Monitoring

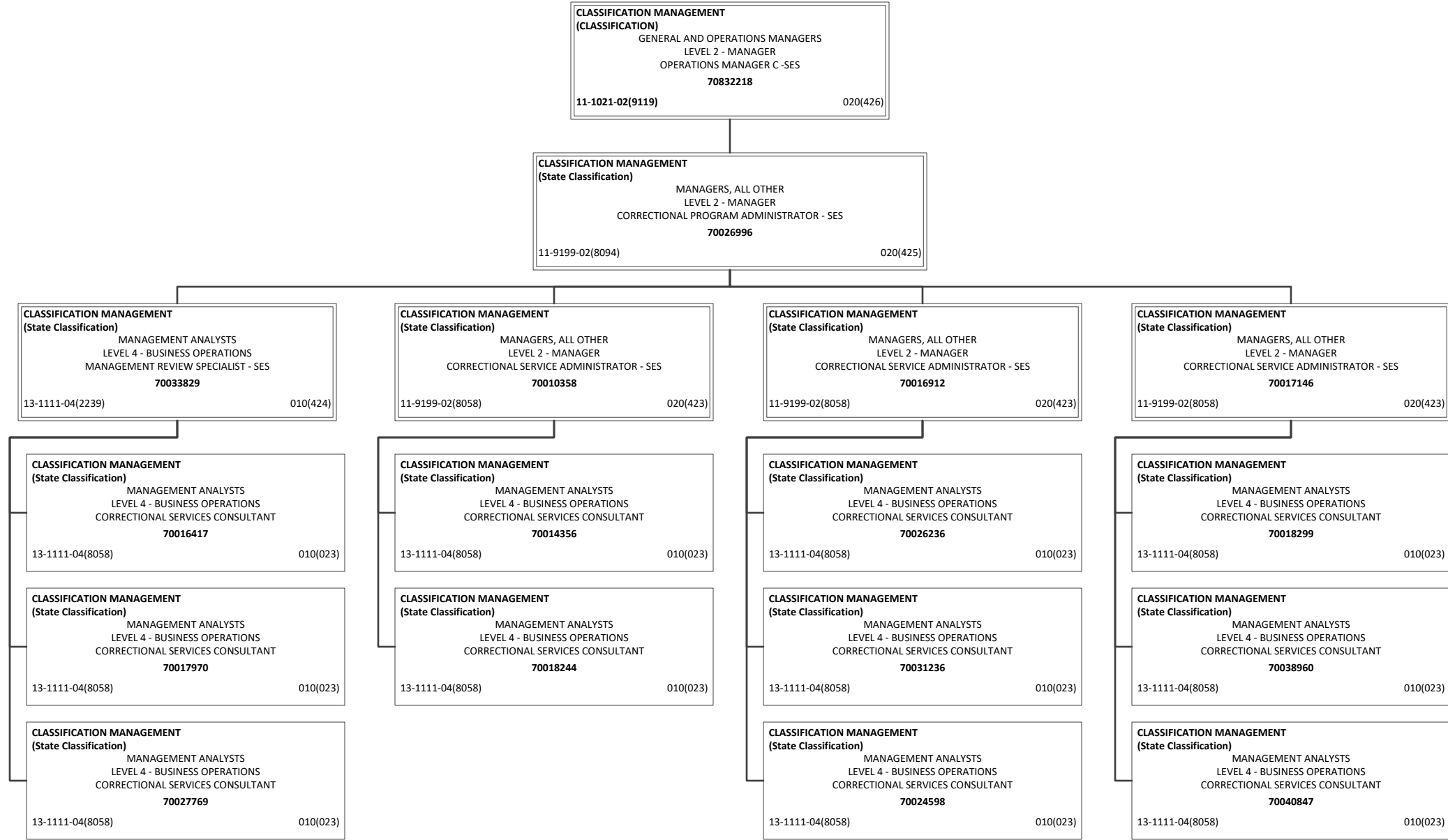
OPERATIONS MANAGER C- SES (32218)

CURRENT



CPA-SES (26996) STATE CLASSIFICATION

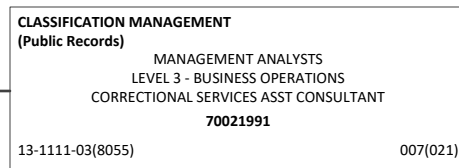
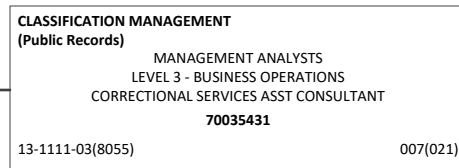
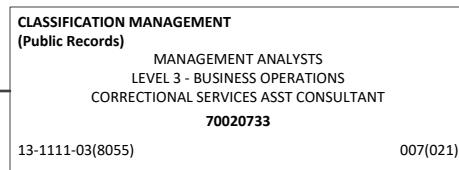
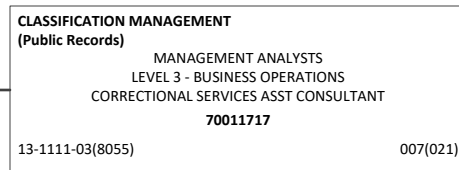
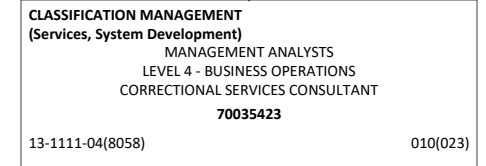
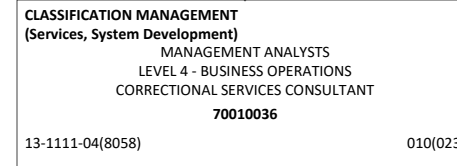
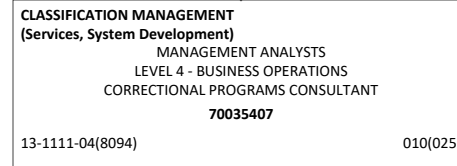
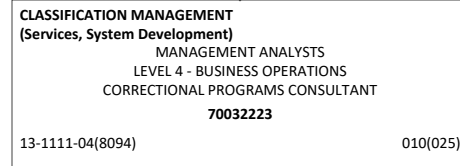
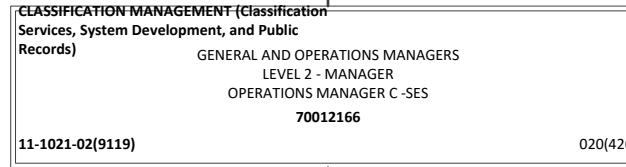
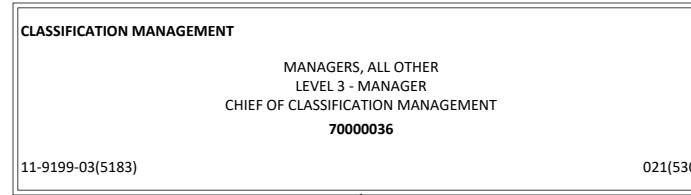
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
 Bureau/Comparable: CLASSIFICATION MANAGEMENT
 Section/Subsection: Classification Services, System Development
 Section/Subsection: Public Records

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

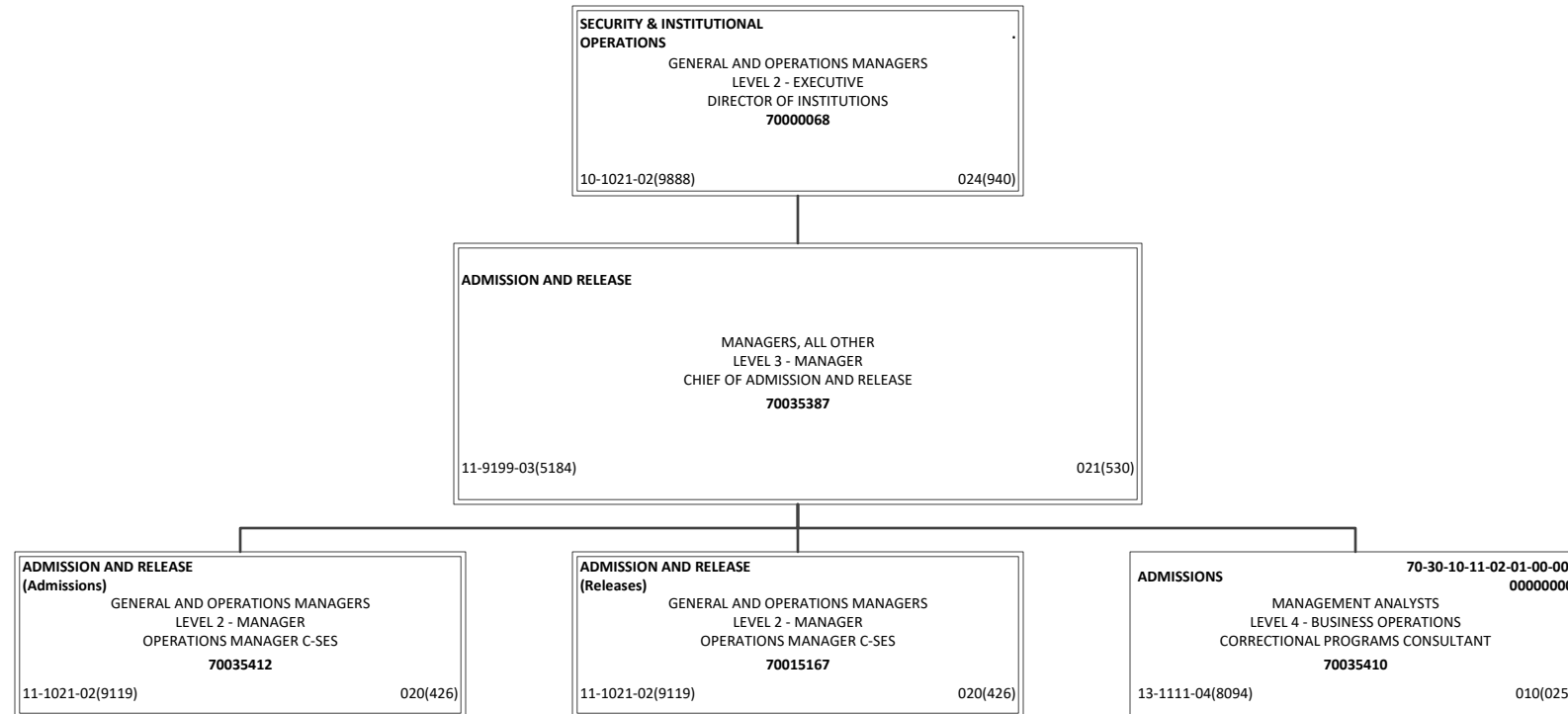
CURRENT



ADMISSIONS AND RELEASES

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

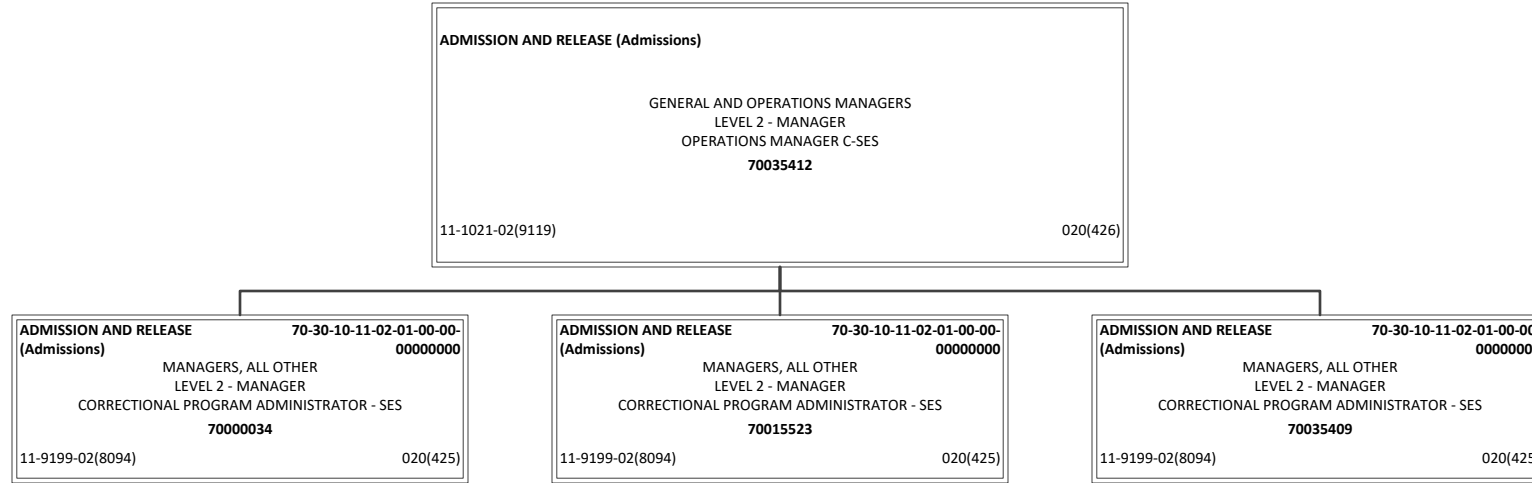
CURRENT



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

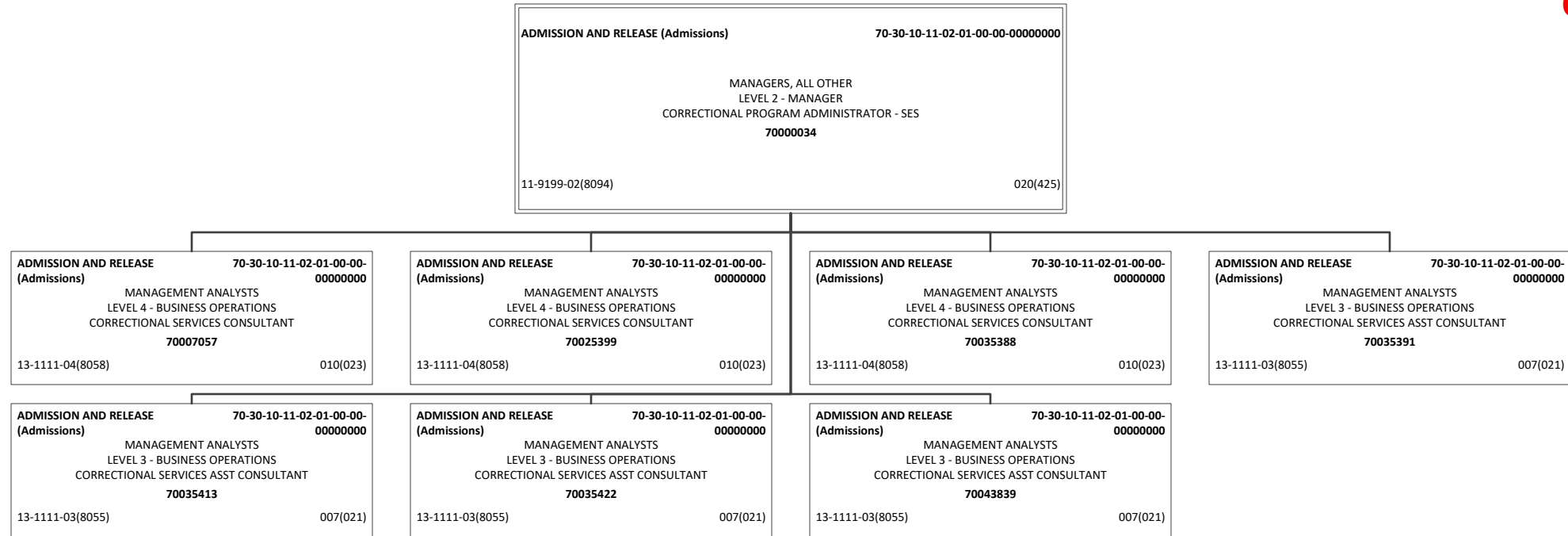
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS

Bureau/Comparable: ADMISSION AND RELEASE

Section/Subsection: Admissions

ADMISSIONS (Correctional Program Administrator 00034)

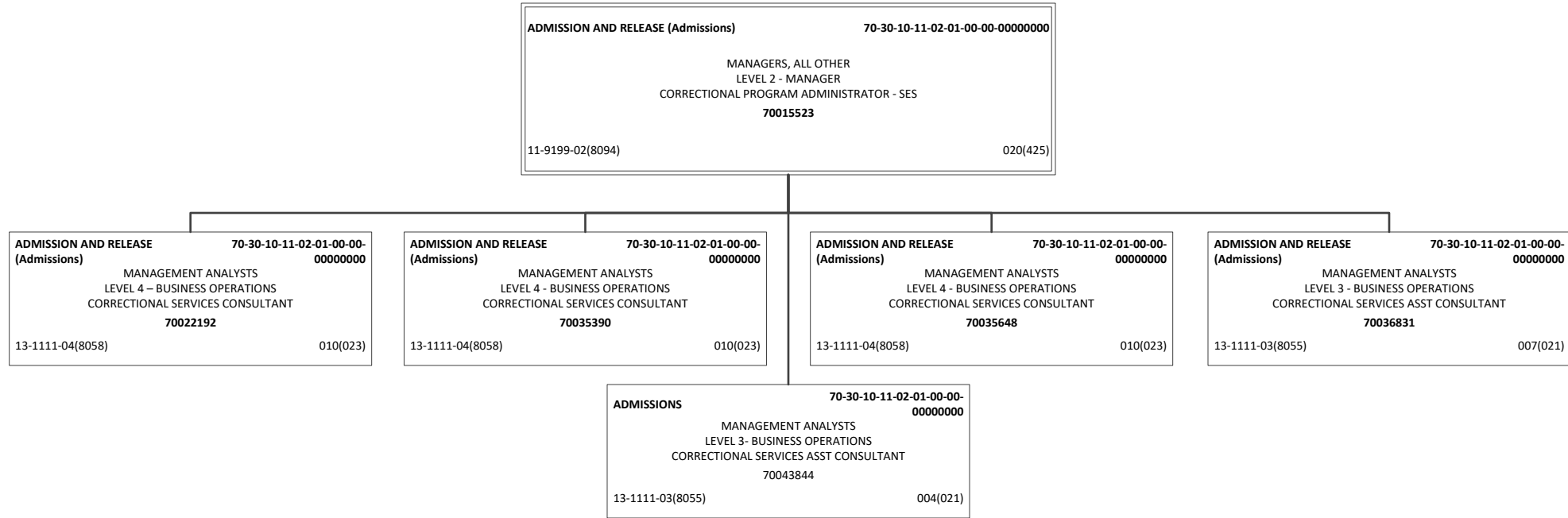
CURRENT



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

ADMISSIONS (Correctional Program Administrator 15523)

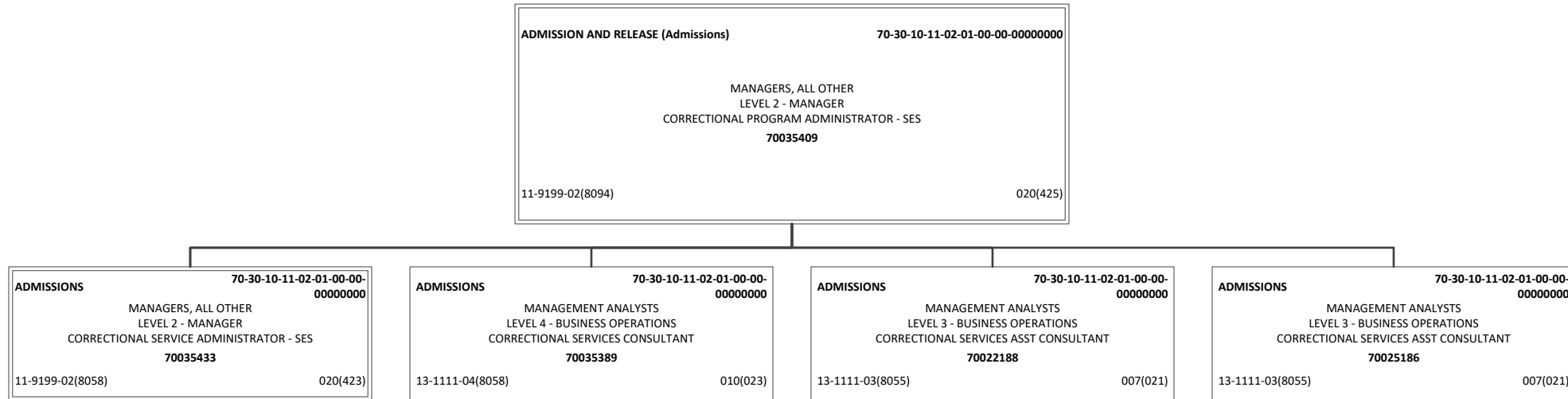
CURRENT



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

ADMISSIONS (Correctional Program Administrator 35409)

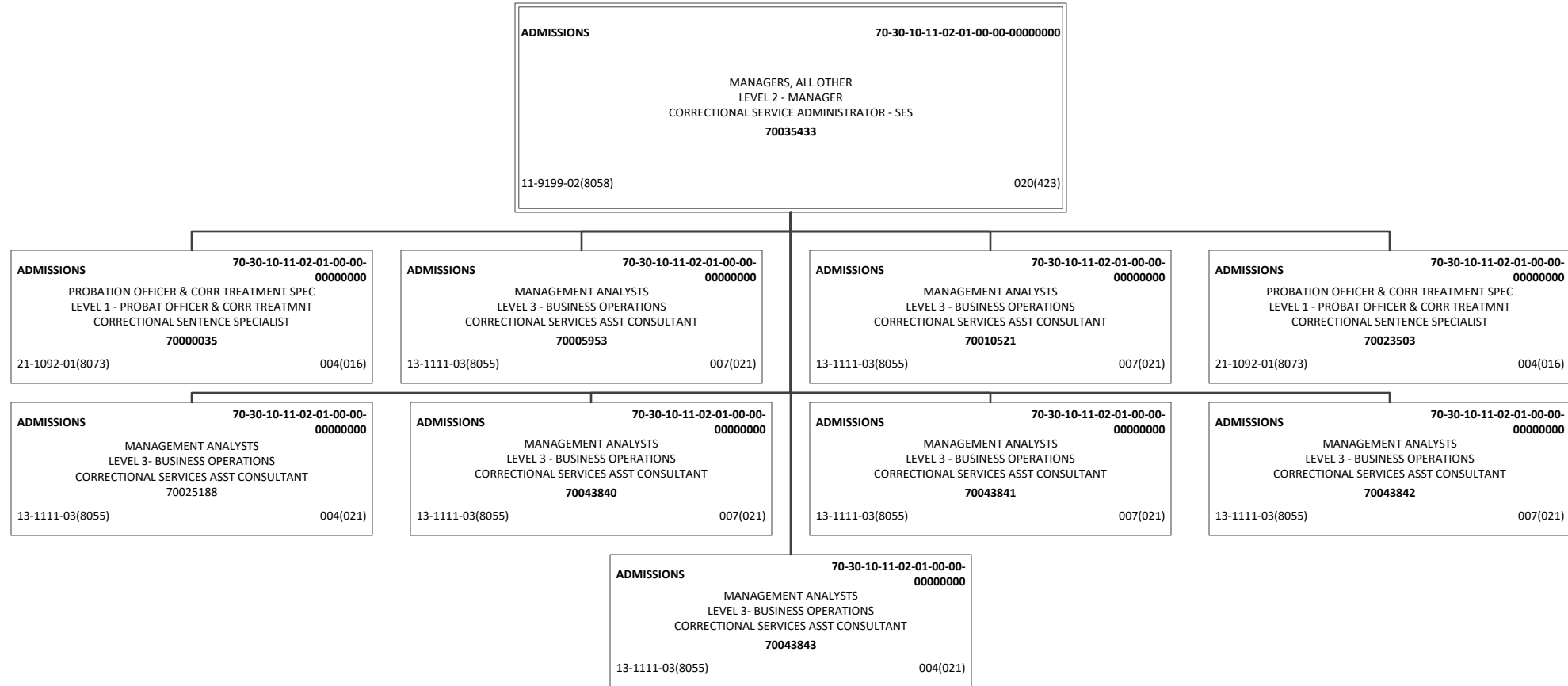
CURRENT



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

ADMISSIONS (Correctional Service Administrator 35433)

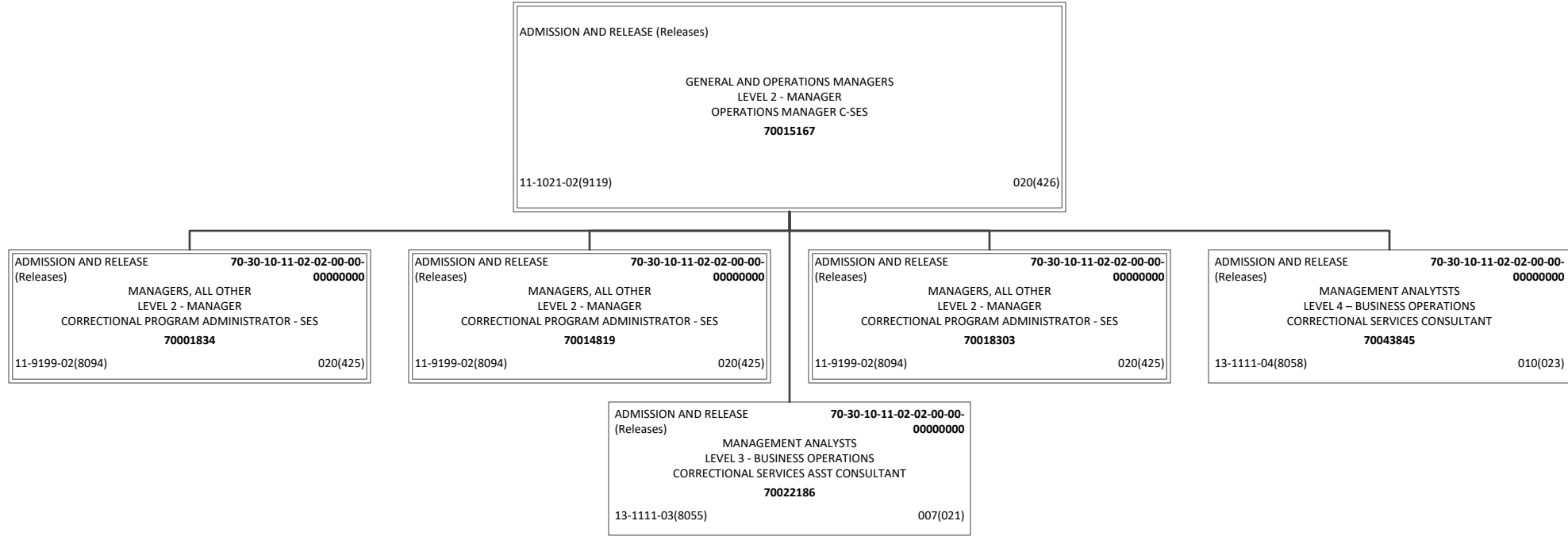
CURRENT



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

RELEASES (Operations Manager 15167)

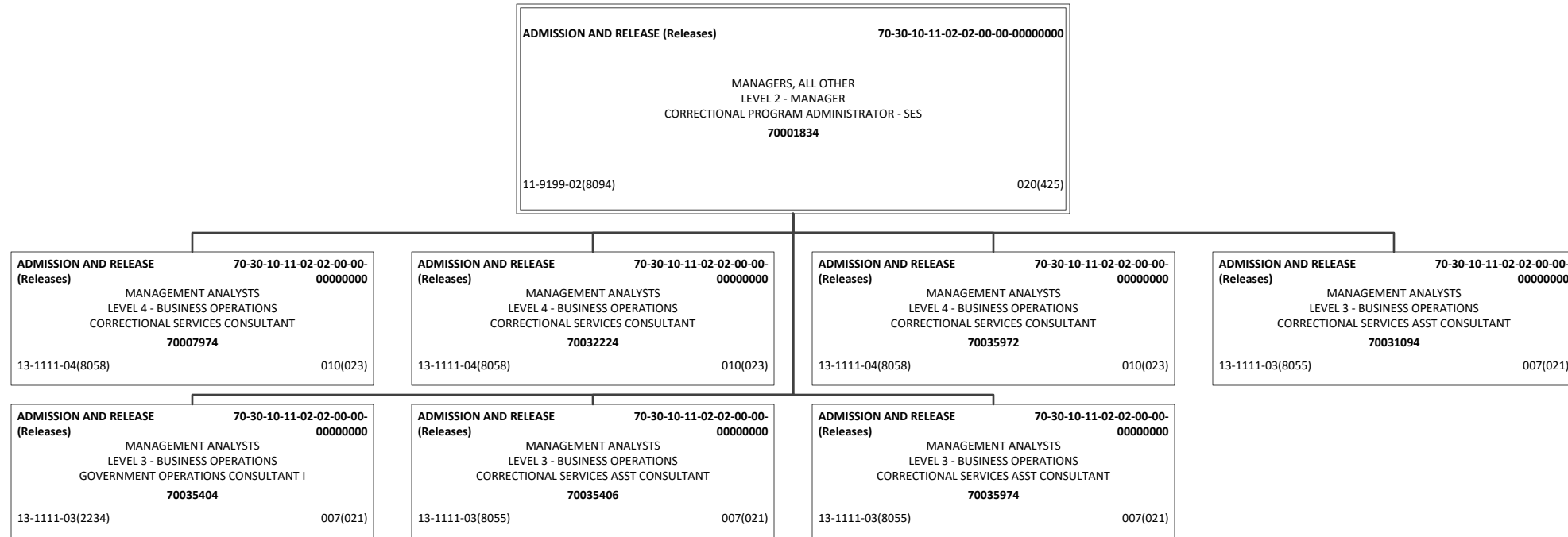
CURRENT



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

RELEASES (Correctional Program Administrator 01834)

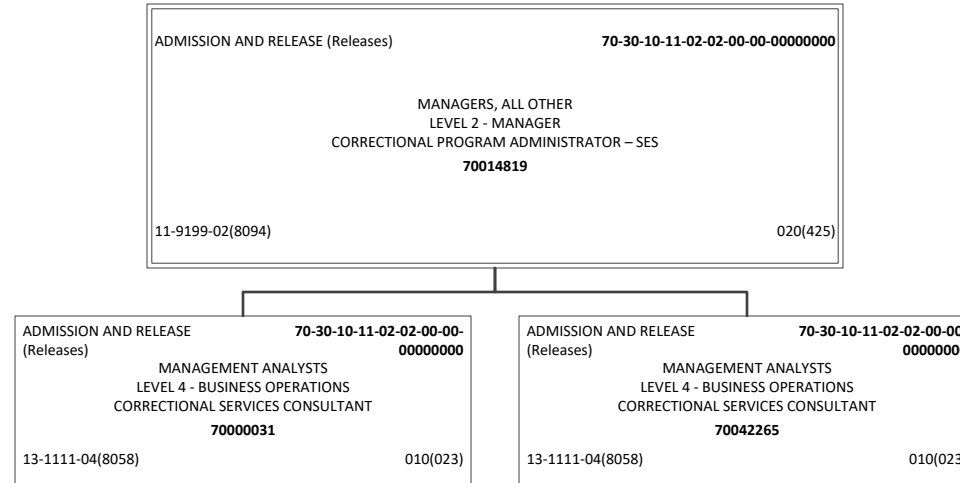
CURRENT



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

RELEASES (Correctional Service Administrator 14819)

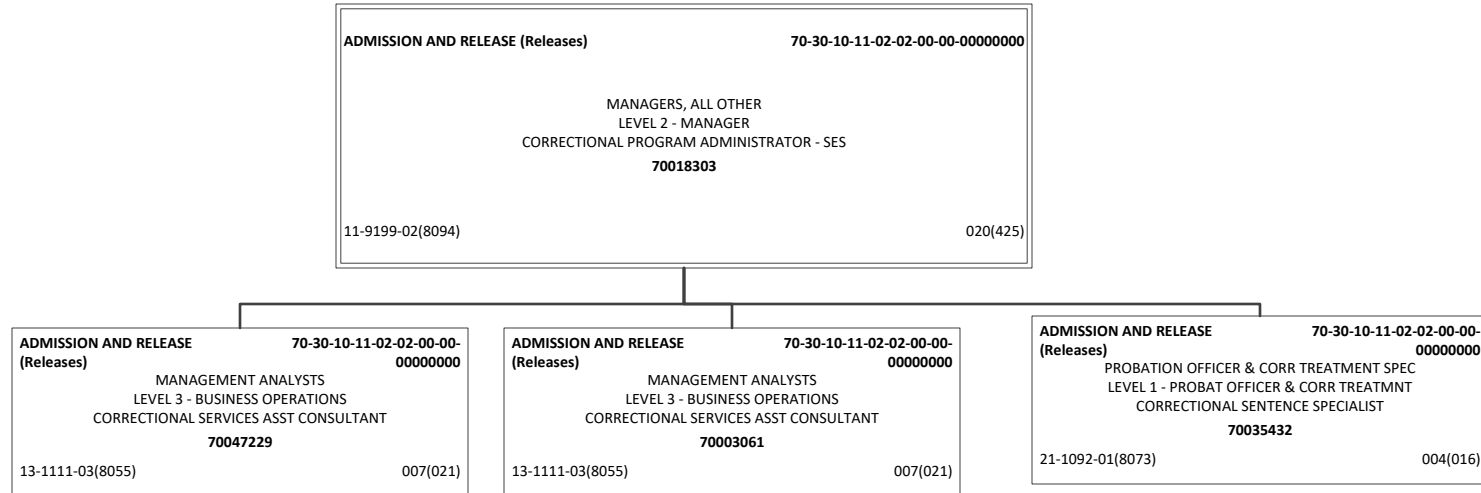
CURRENT



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

RELEASES (Correctional Service Administrator 18303)

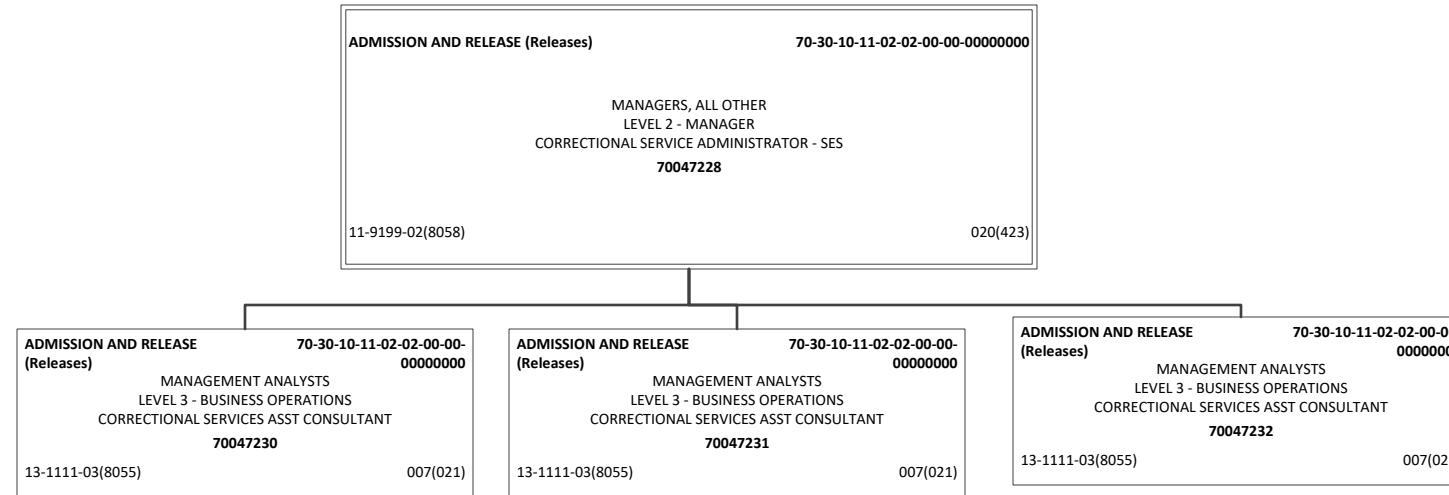
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Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
Bureau/Comparable: ADMISSION AND RELEASE
Section/Subsection: Releases

RELEASES (Correctional Services Administrator 47228)

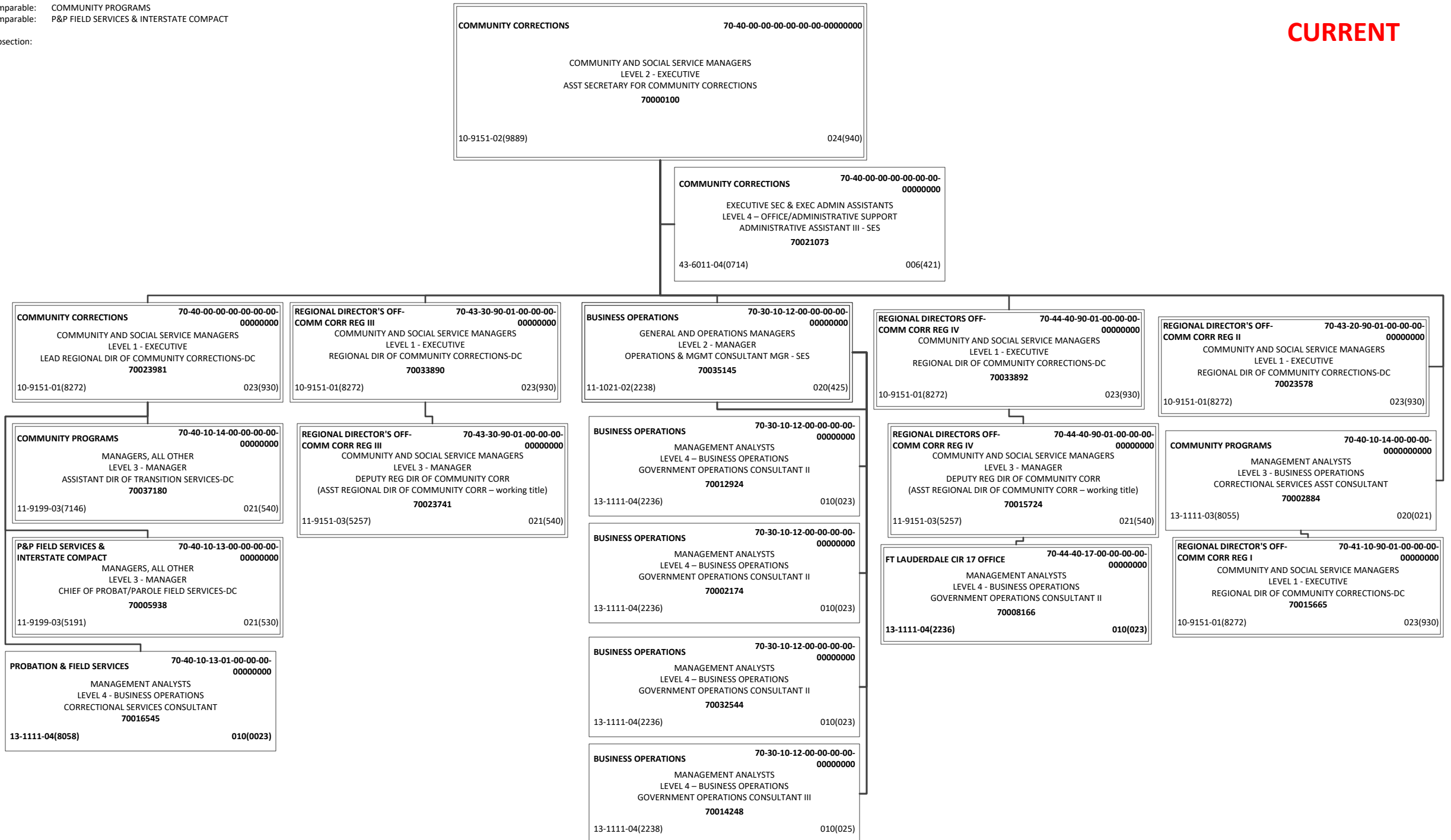
CURRENT



COMMUNITY CORRECTIONS

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:



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)

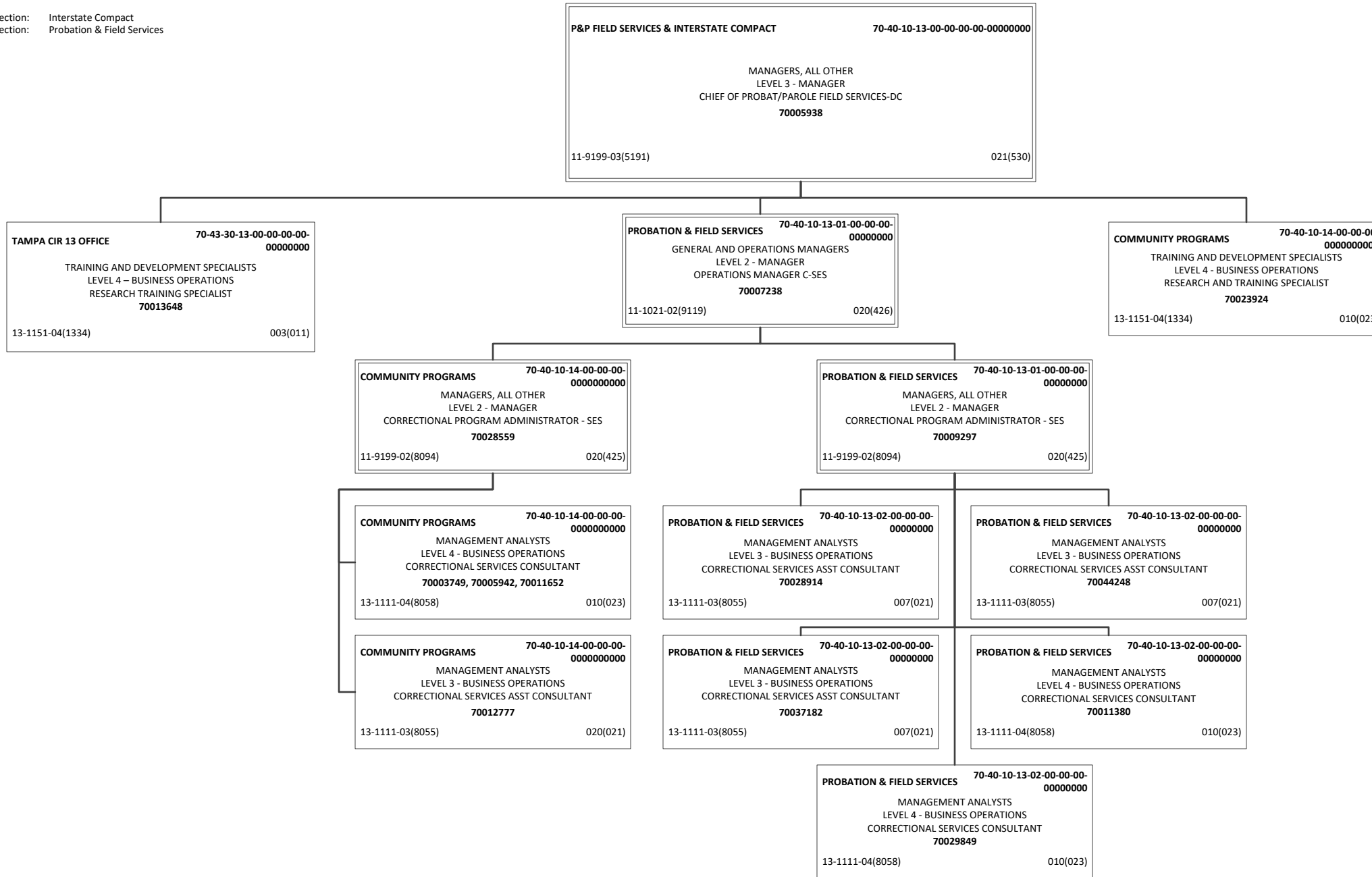
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P&P FIELD SERVICES & INTERSTATE COMPACT

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

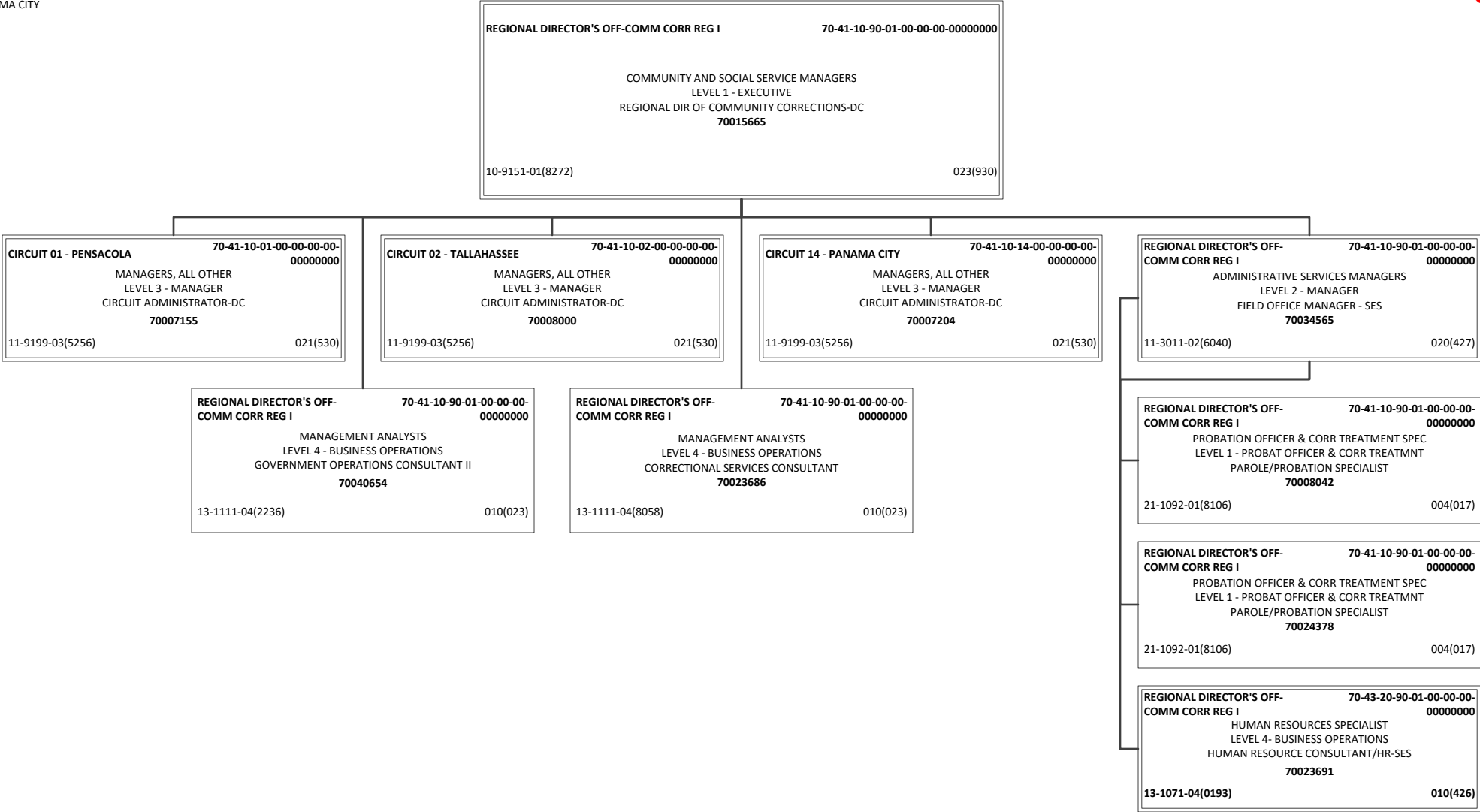
CURRENT



REGION I

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:



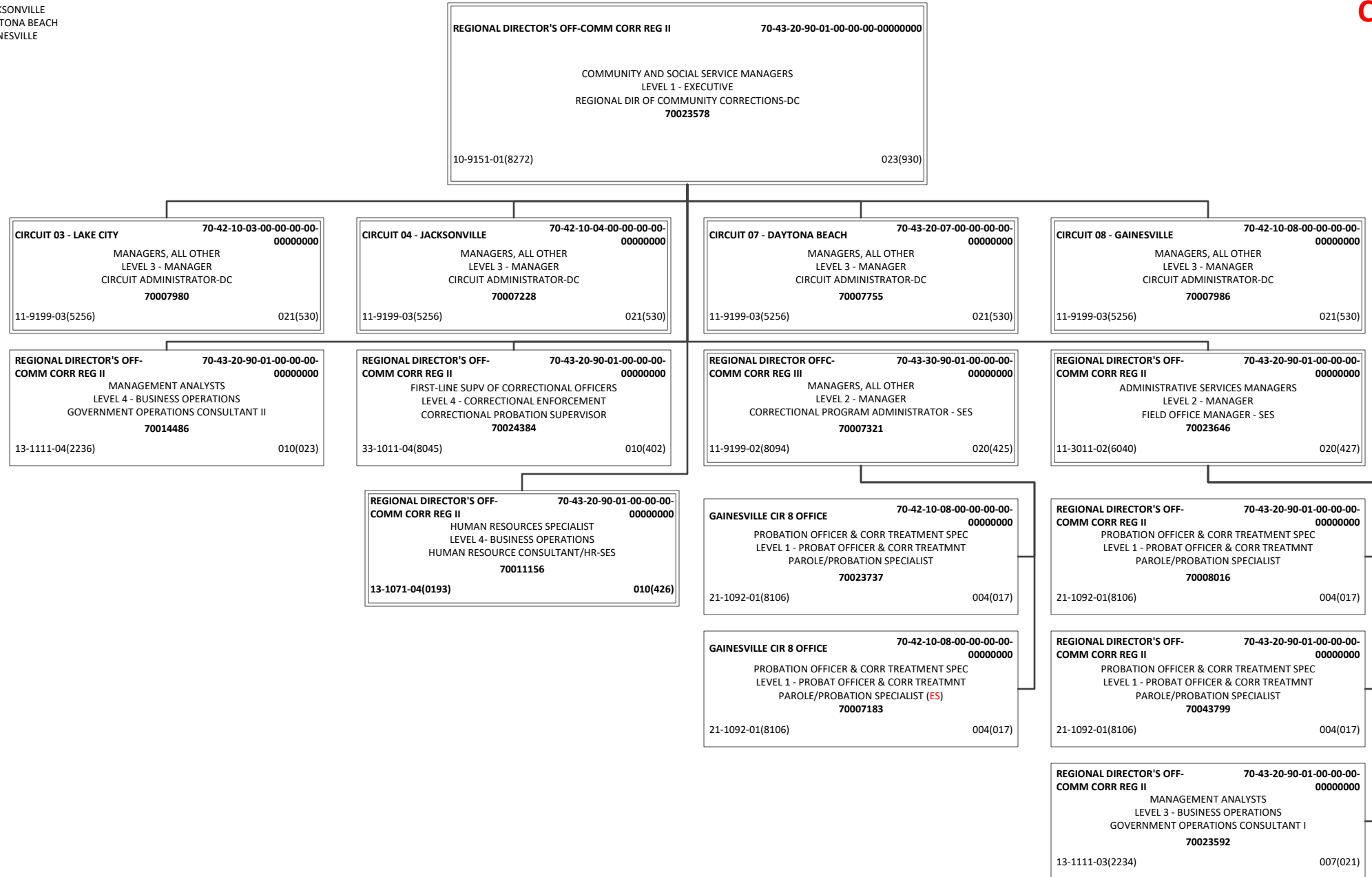
REGION II

CURRENT

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: COMMUNITY CORRECTIONS/REGIONAL DIRECTOR'S OFFICE
 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:



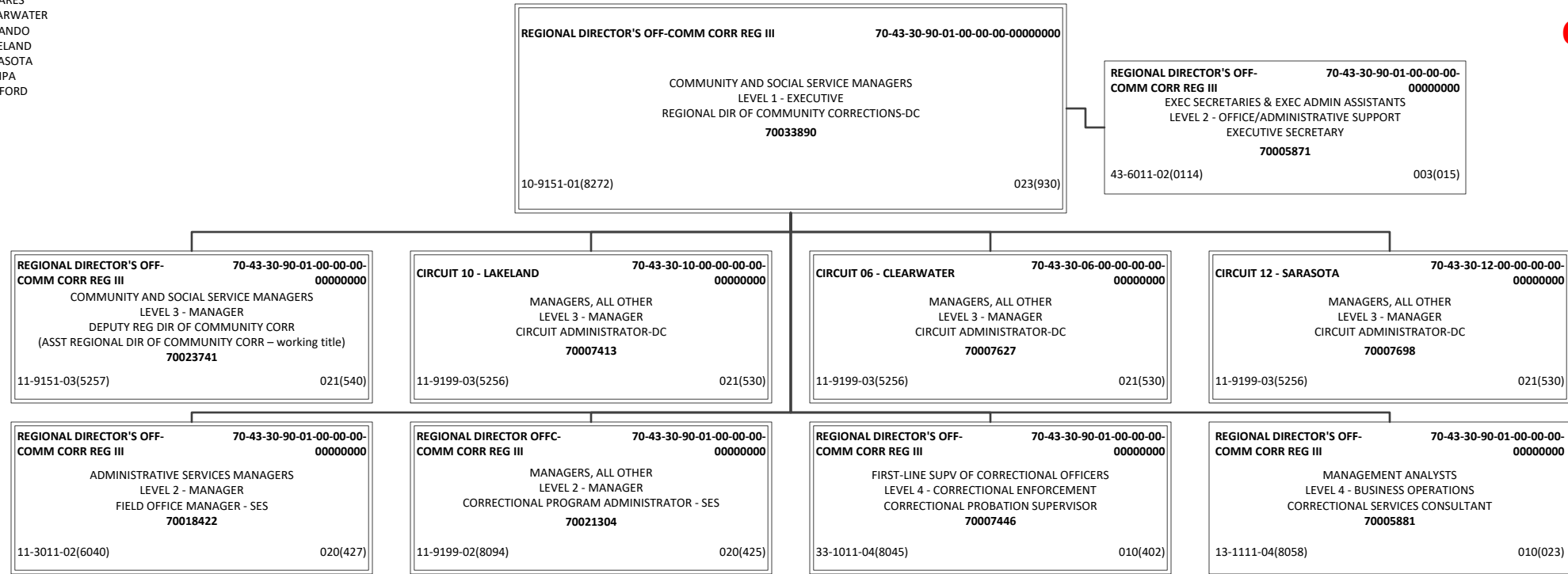
REGION III

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:



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
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 13-1111-03(2236) 010(023)

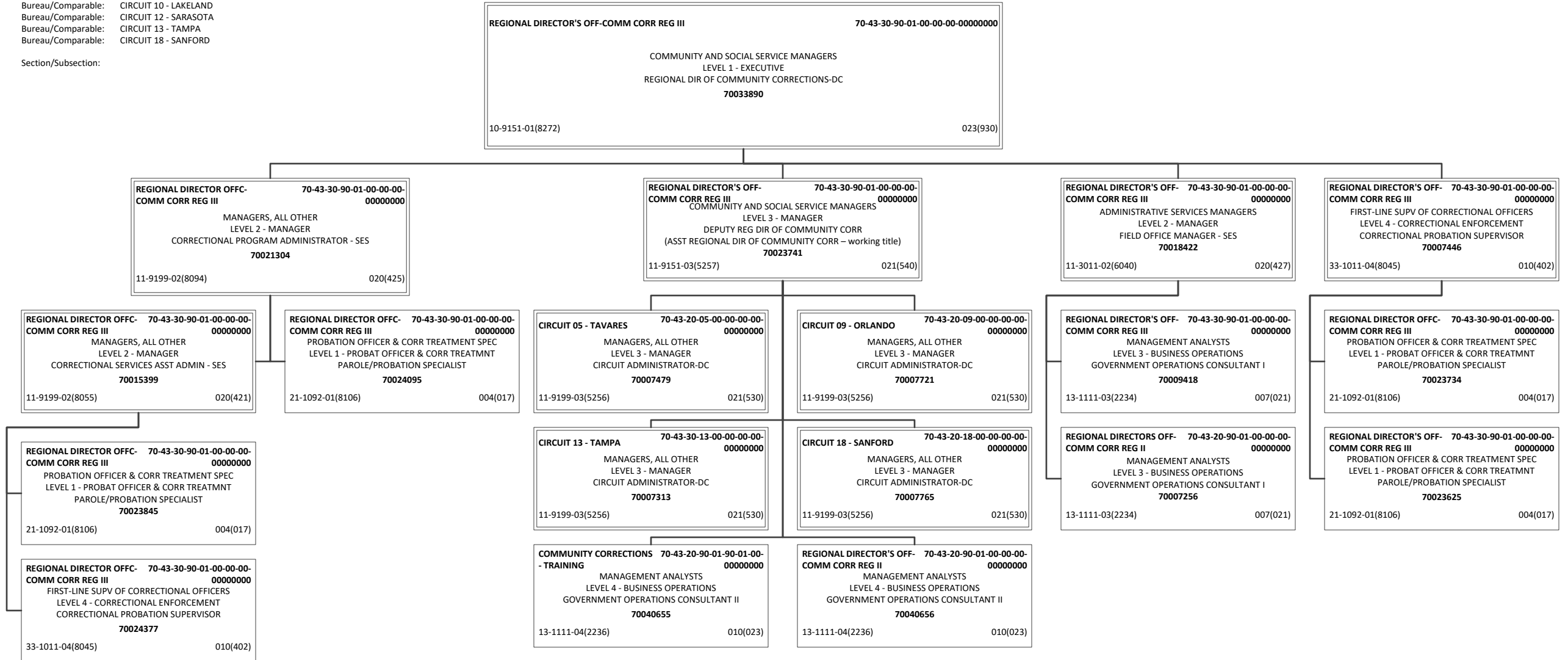
REGION III (cont.)

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:

CURRENT



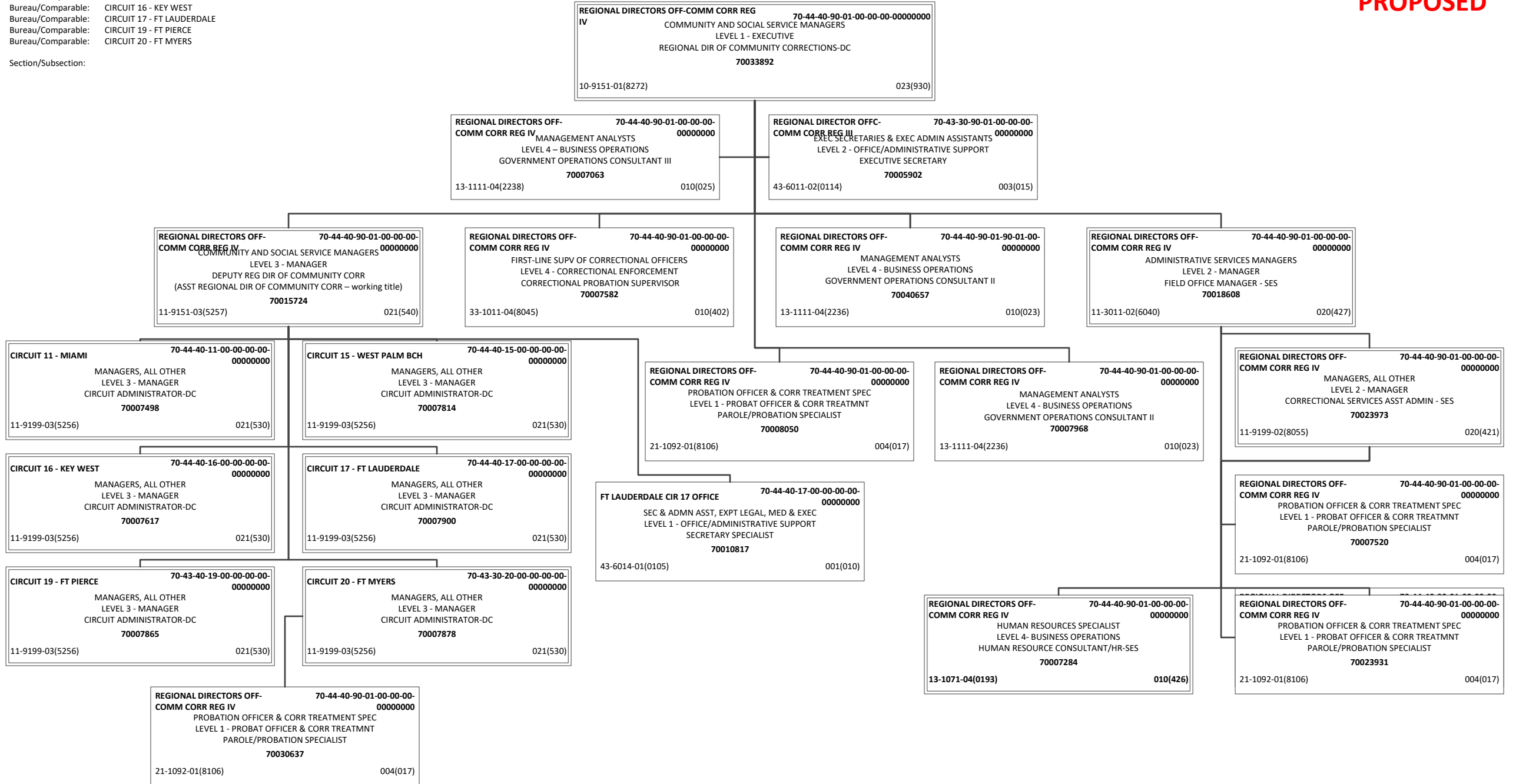
REGION IV

PROPOSED

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

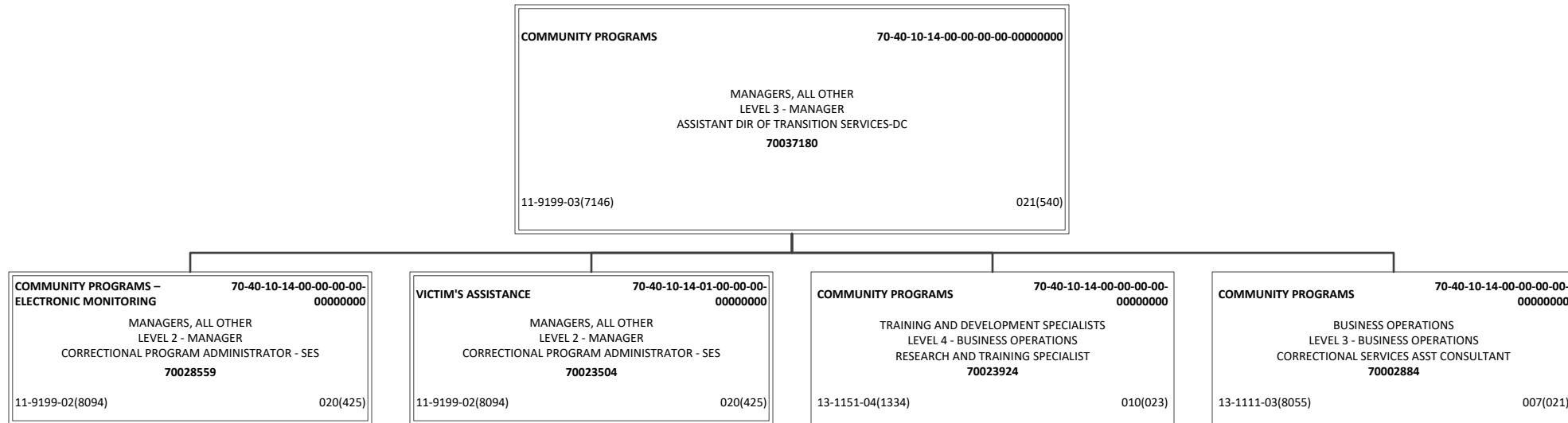
Section/Subsection:



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

COMMUNITY PROGRAMS

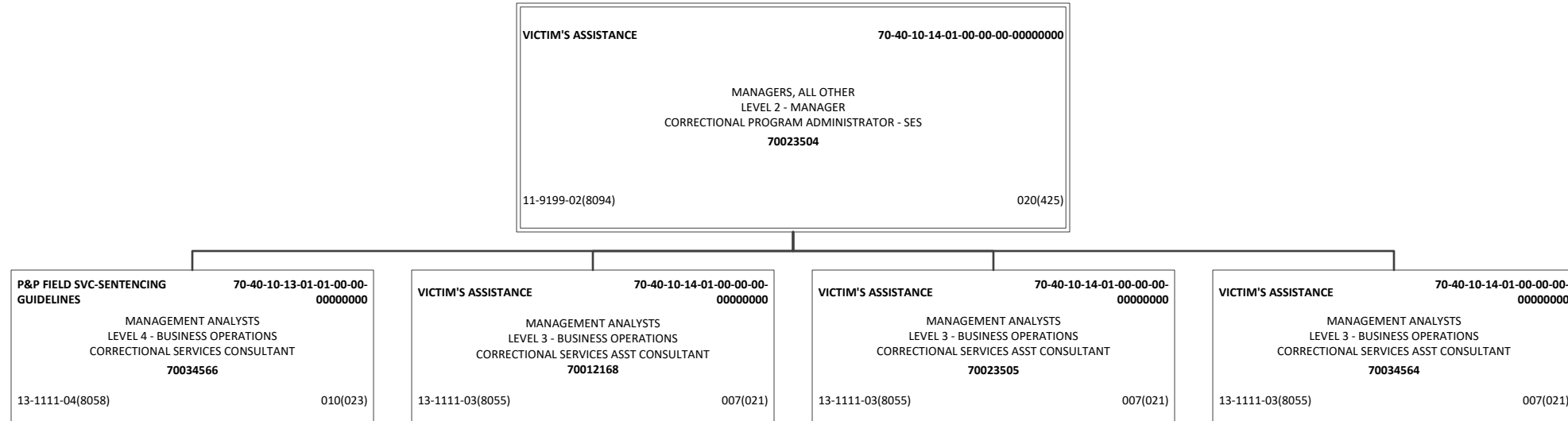
PROPOSED



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

VICTIM'S ASSISTANCE

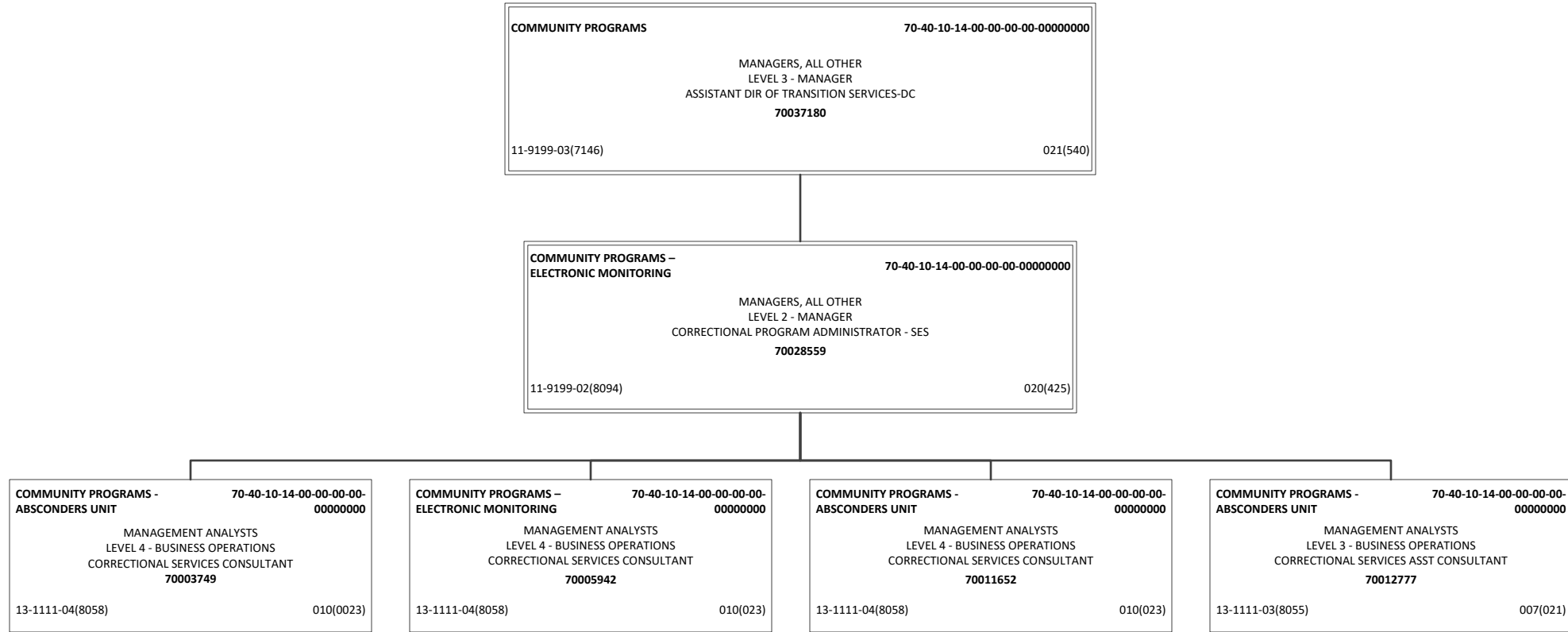
PROPOSED



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

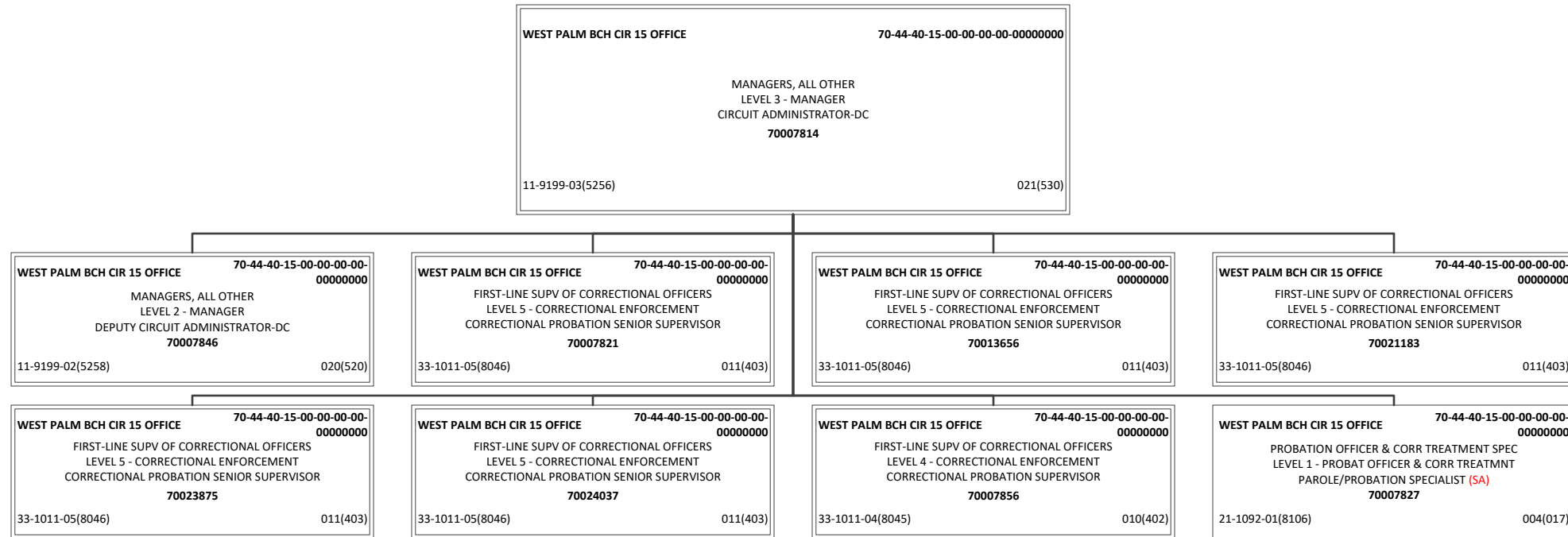
ELECTRONIC MONITORING

PROPOSED



WEST PALM BEACH - CIRCUIT 15 (CA 07814)

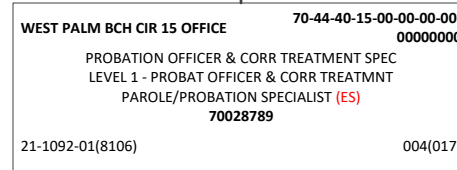
CURRENT



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)

Bureau/Comparable: CIRCUIT 15 – WEST PALM BEACH

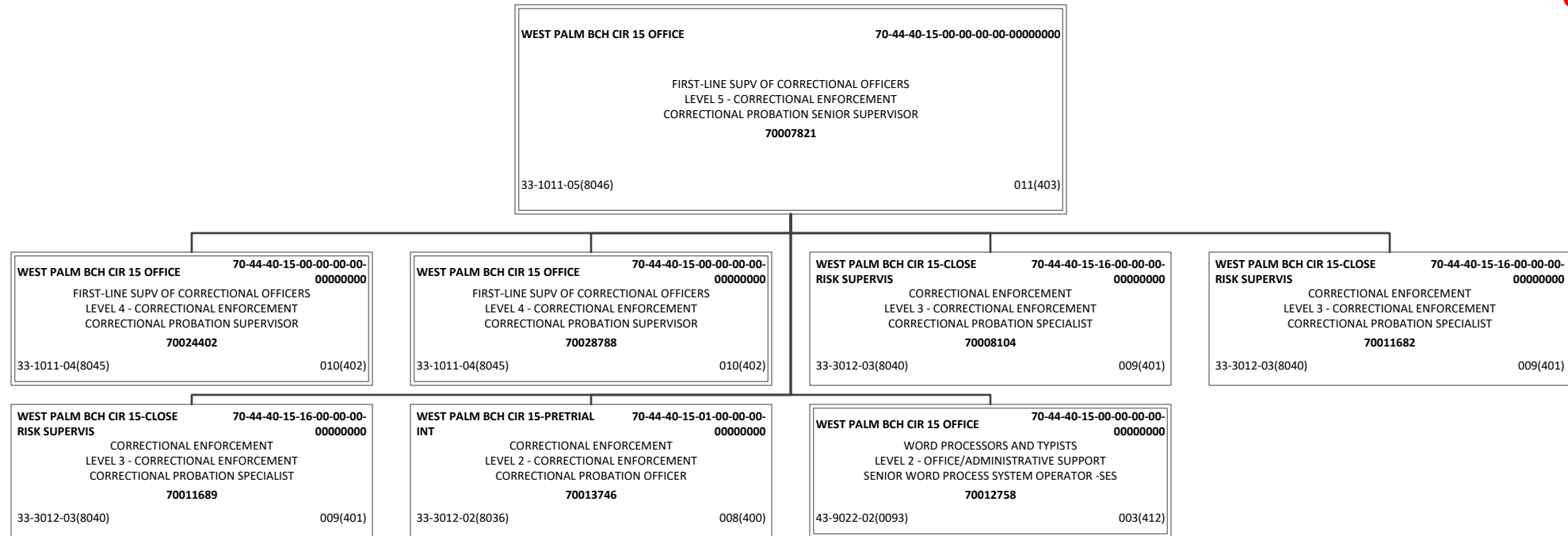
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WEST PALM BEACH - CIRCUIT 15 (CPSS 07821)

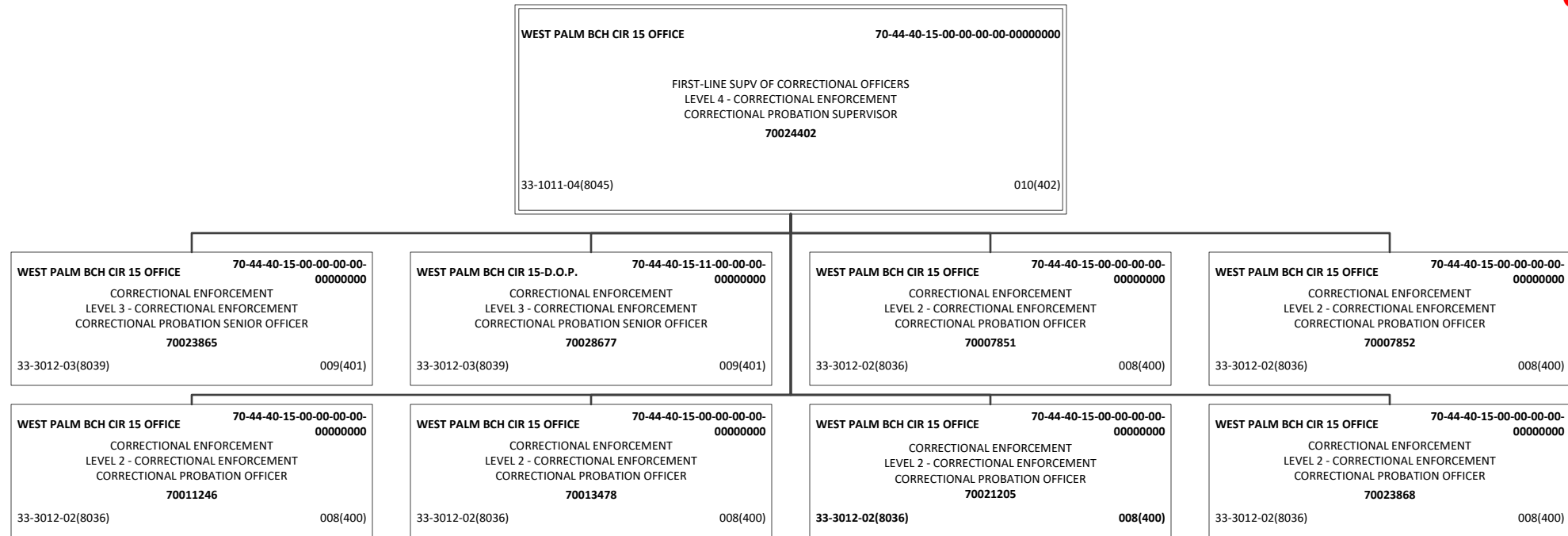
Bureau/Comparable: CIRCUIT 15 – WEST PALM BEACH

CURRENT



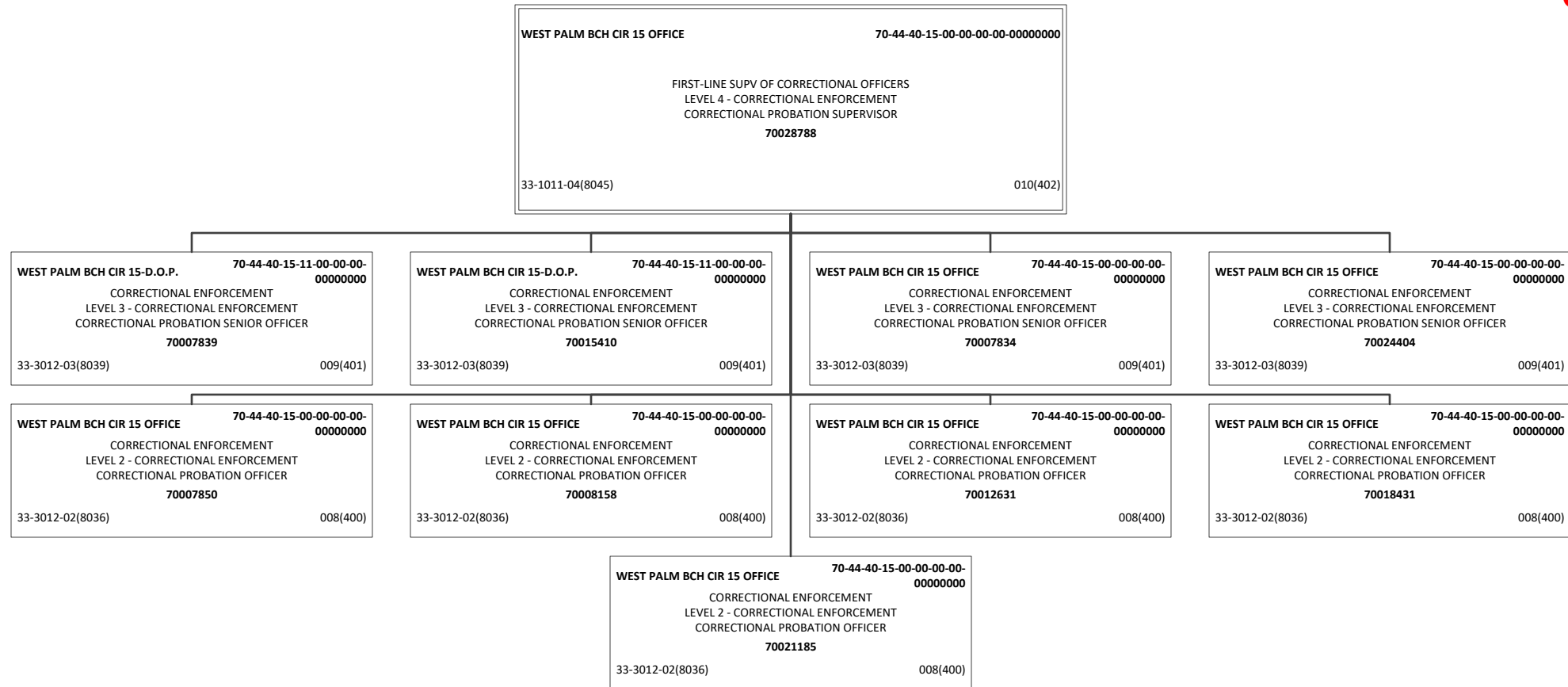
WEST PALM BEACH - CIRCUIT 15 (CPSupv 24402)

CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSupv 28788)

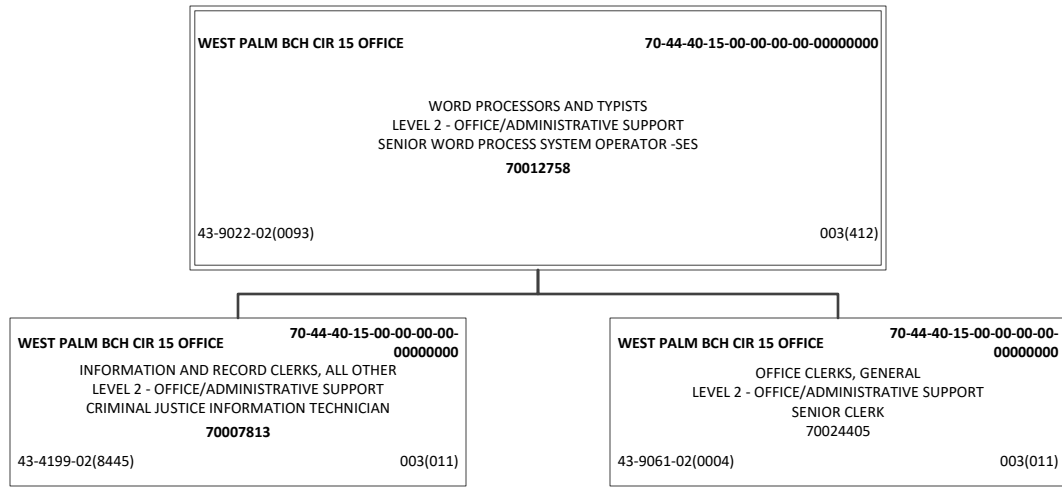
CURRENT



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)

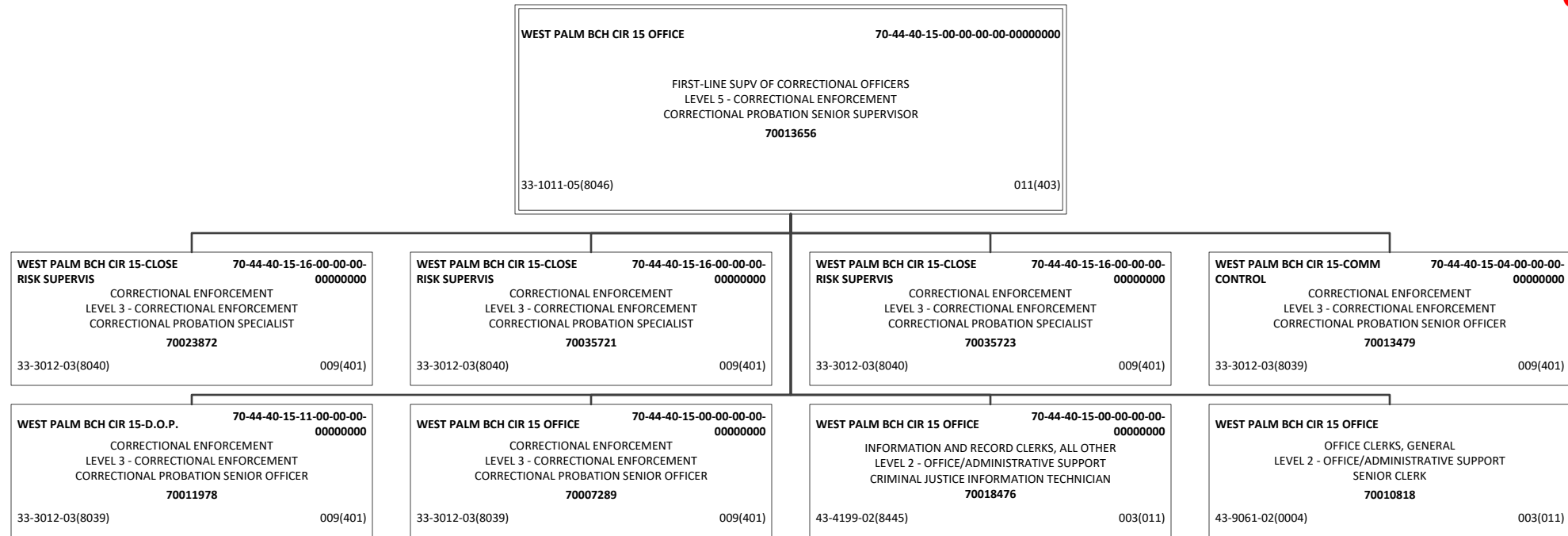
CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSS 13656)

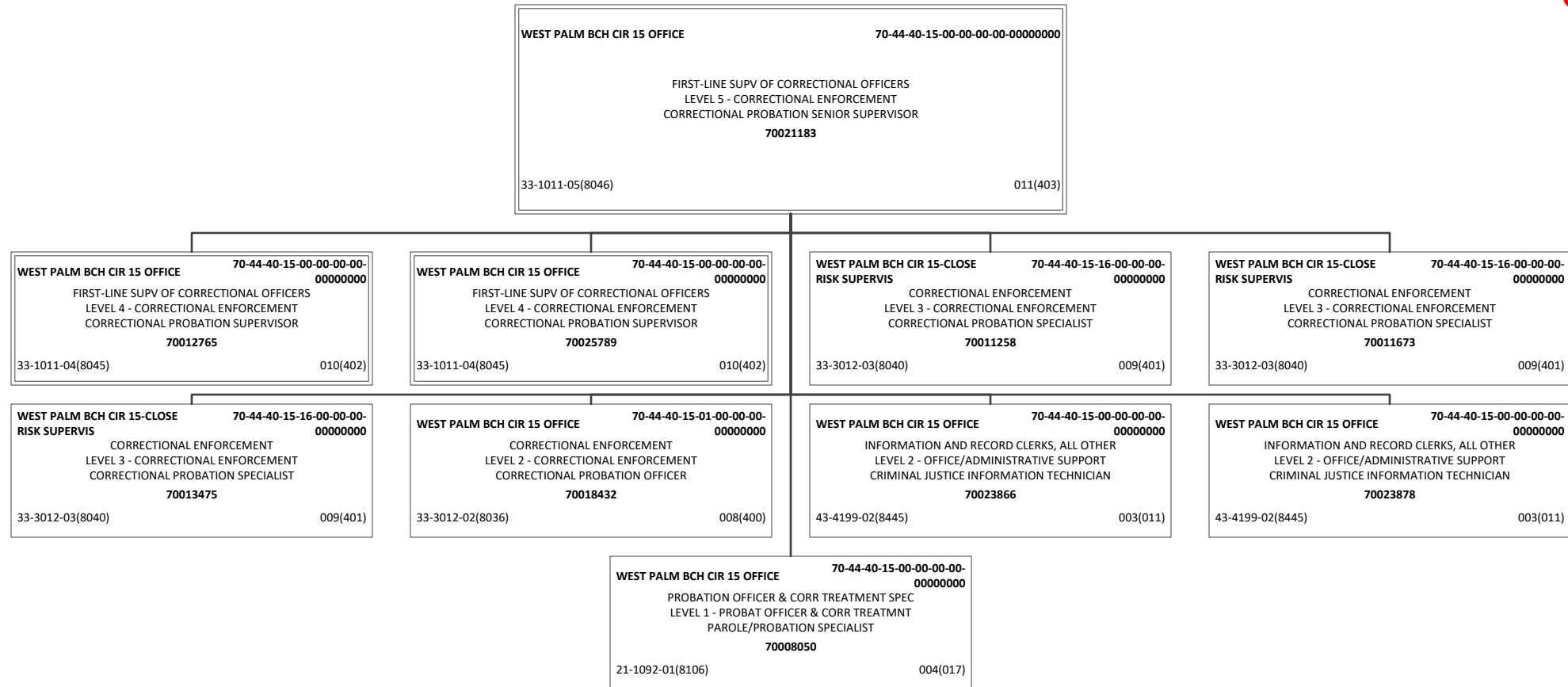
Bureau/Comparable: CIRCUIT 15 – WEST PALM BEACH

CURRENT



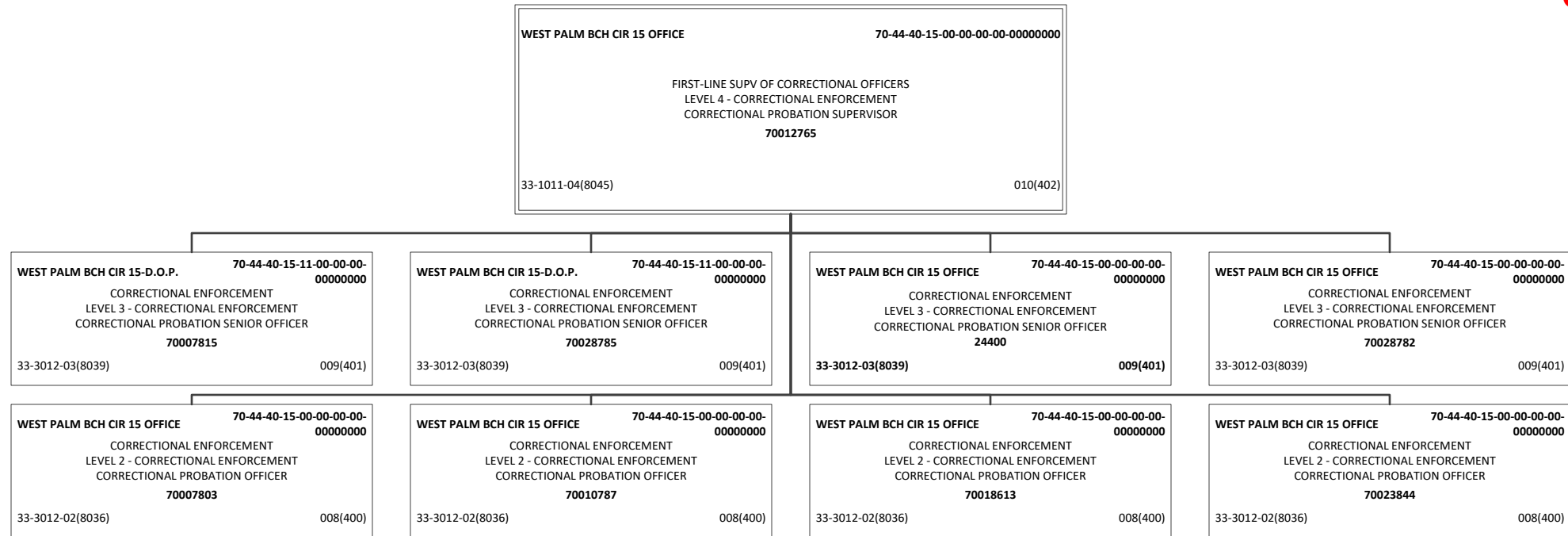
WEST PALM BEACH - CIRCUIT 15 (CPSS 21183)

CURRENT



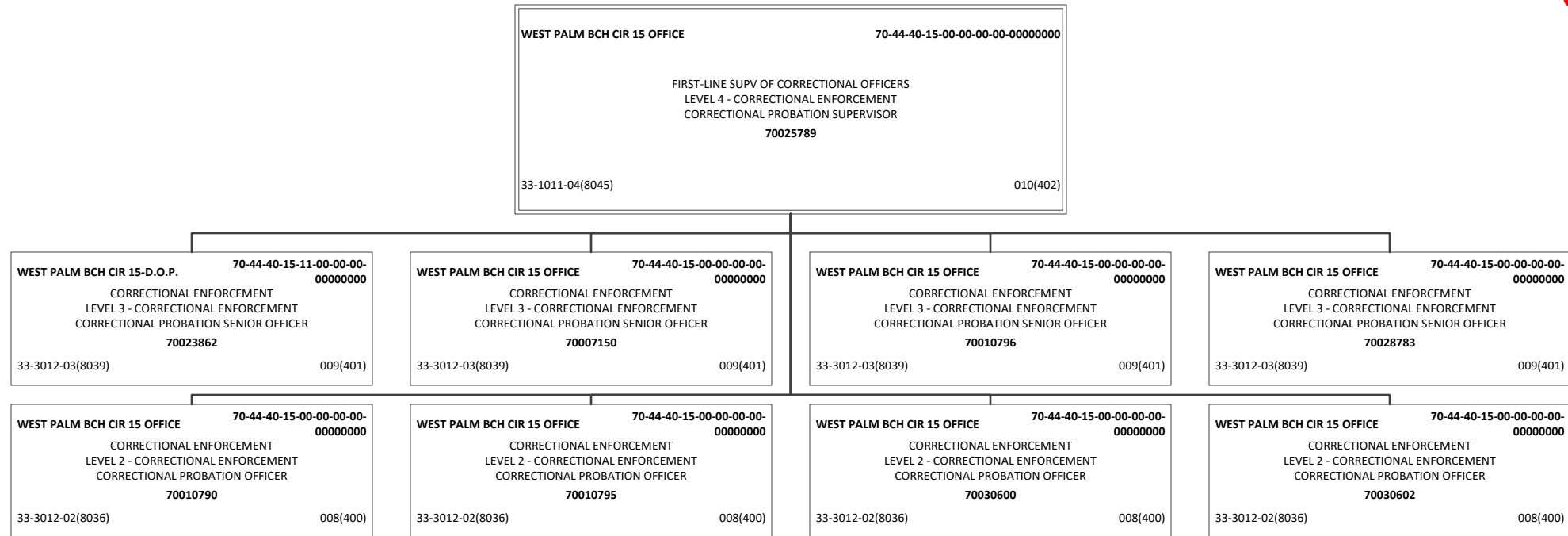
WEST PALM BEACH - CIRCUIT 15 (CPSupv 12765)

CURRENT



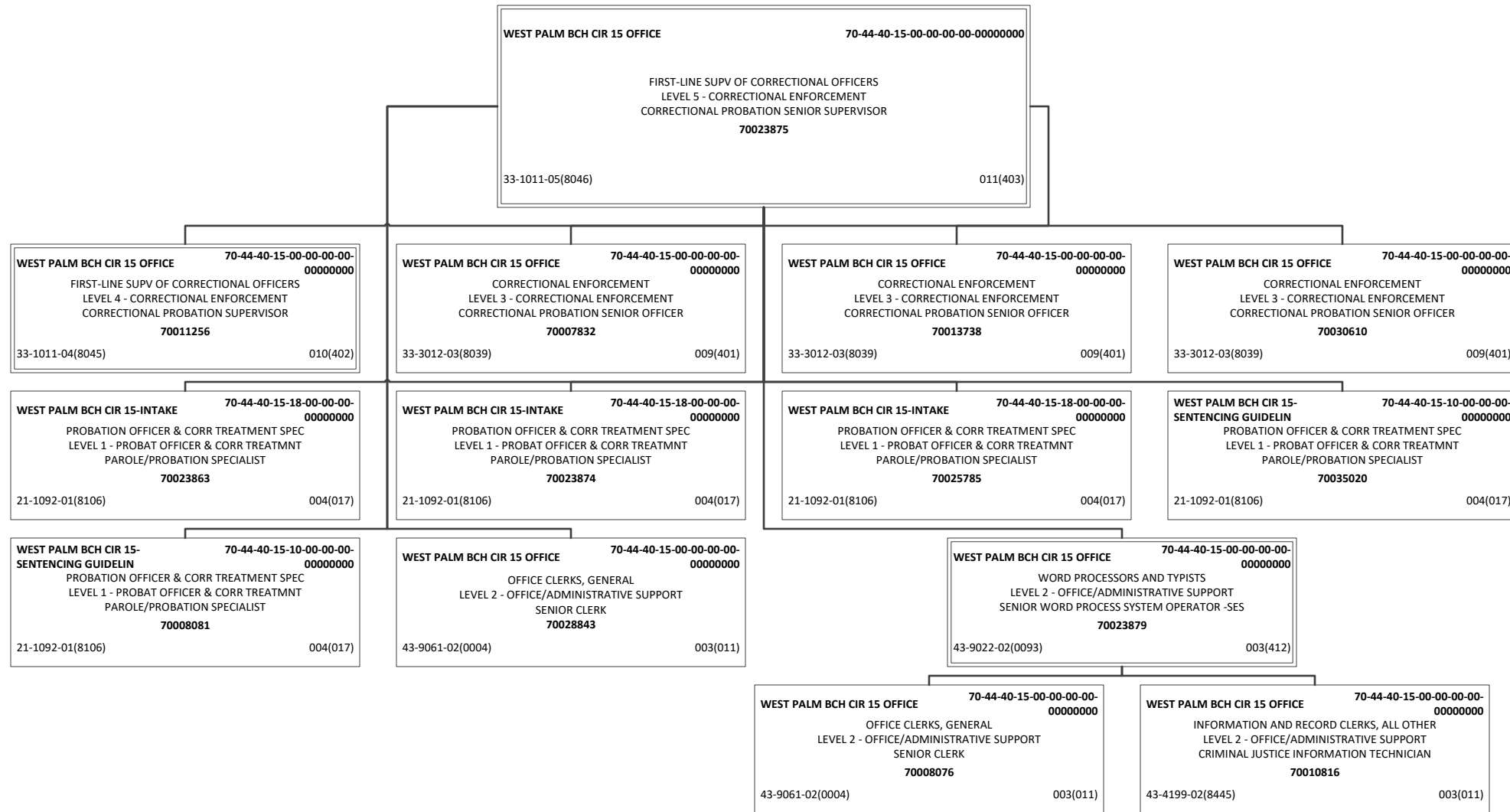
WEST PALM BEACH - CIRCUIT 15 (CPSupv 25789)

CURRENT



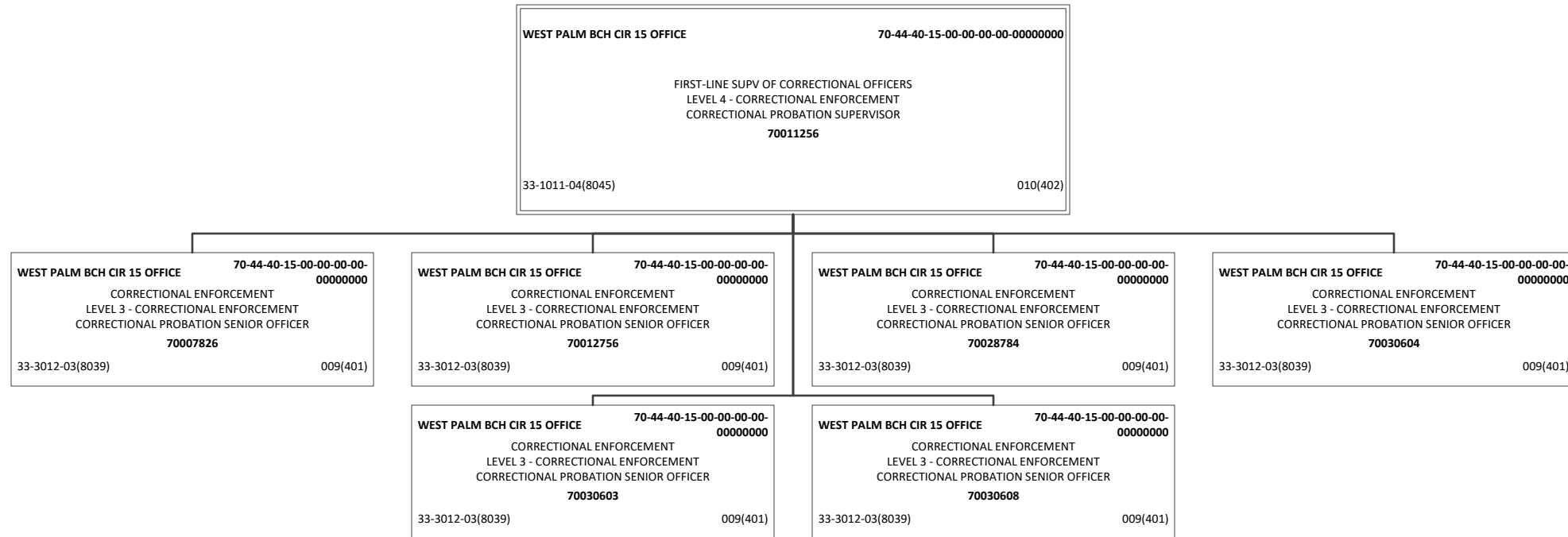
WEST PALM BEACH - CIRCUIT 15 (CPSS 23875)

CURRENT



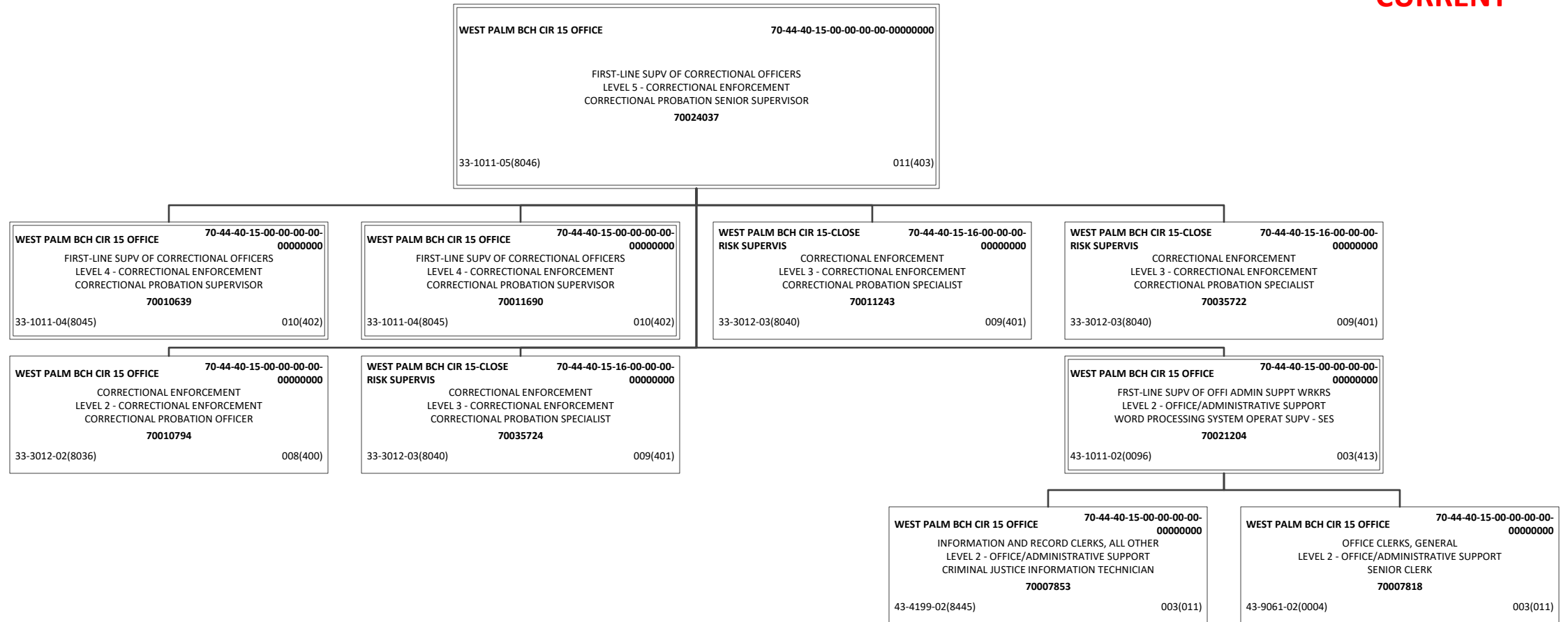
WEST PALM BEACH - CIRCUIT 15 CPSupv 11256)

CURRENT



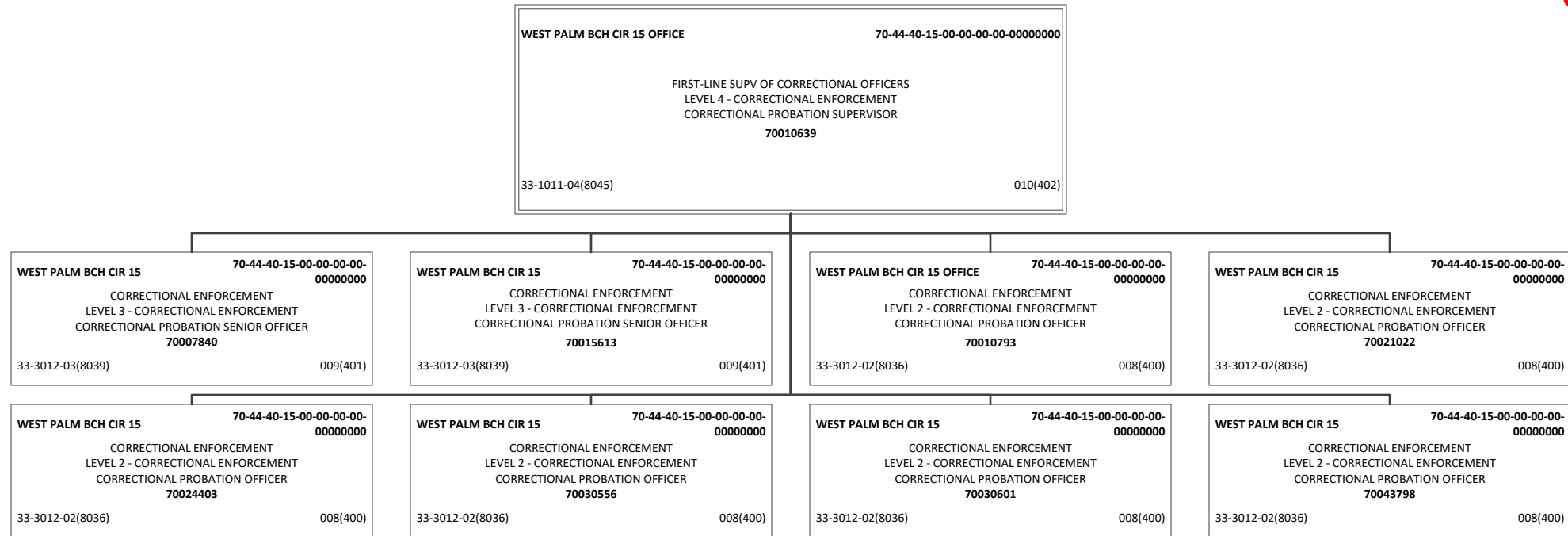
WEST PALM BEACH - CIRCUIT 15 (CPSS 24037)

CURRENT



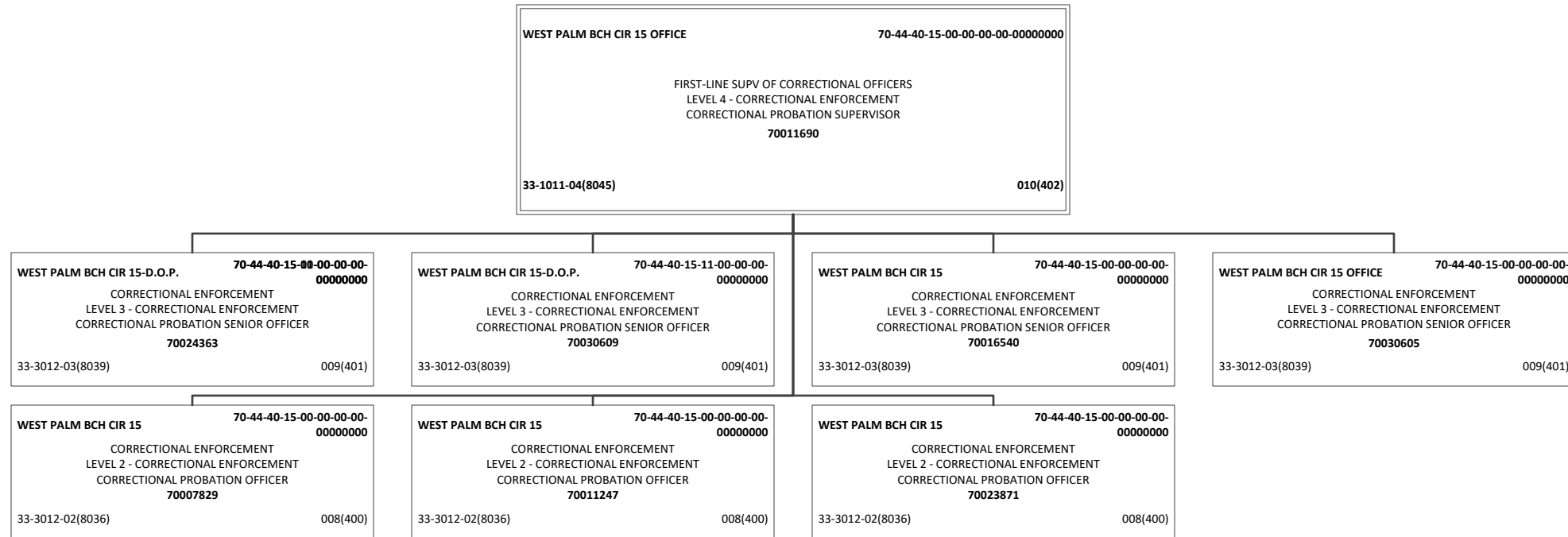
WEST PALM BEACH - CIRCUIT 15 (CPSupv 10639)

CURRENT



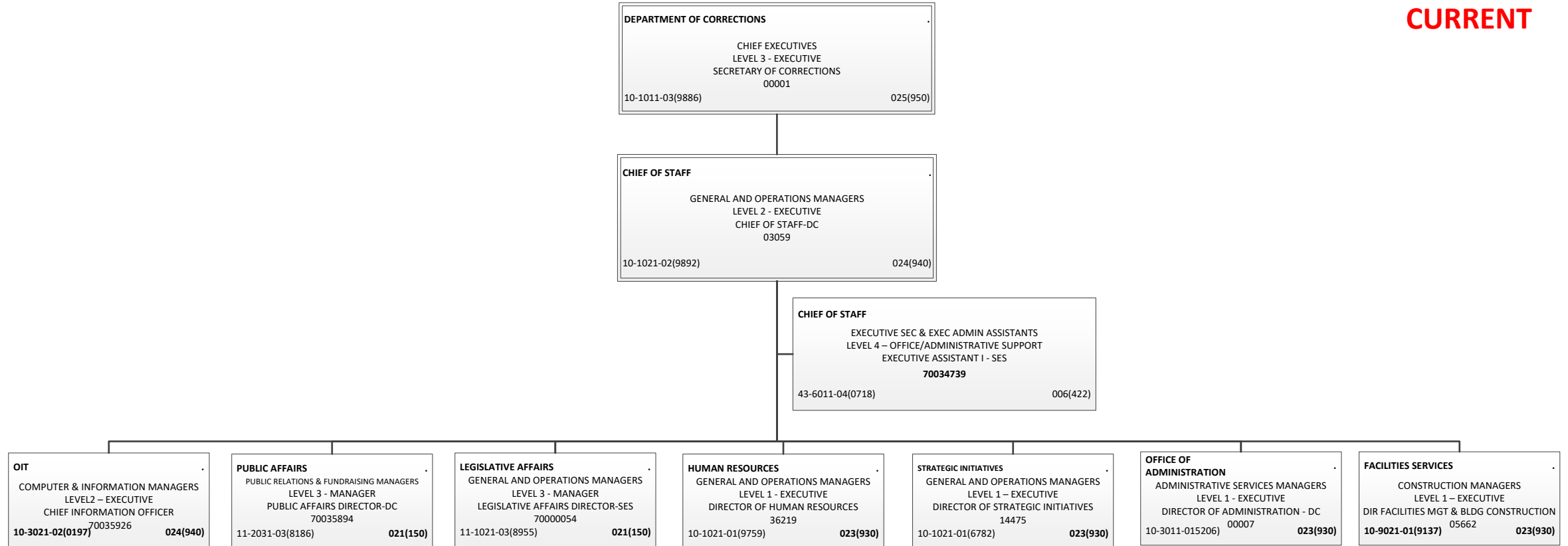
WEST PALM BEACH - CIRCUIT 15 (CPS 11690)

CURRENT



CHIEF OF STAFF Overview

CURRENT



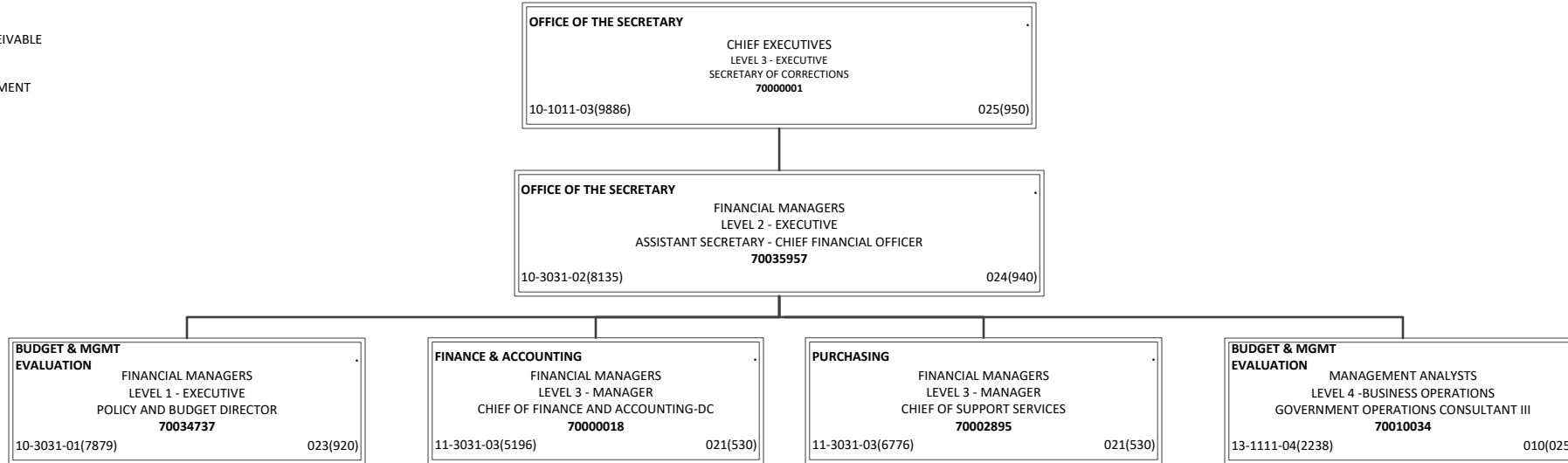
Name of Agency: DEPARTMENT OF CORRECTIONS

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

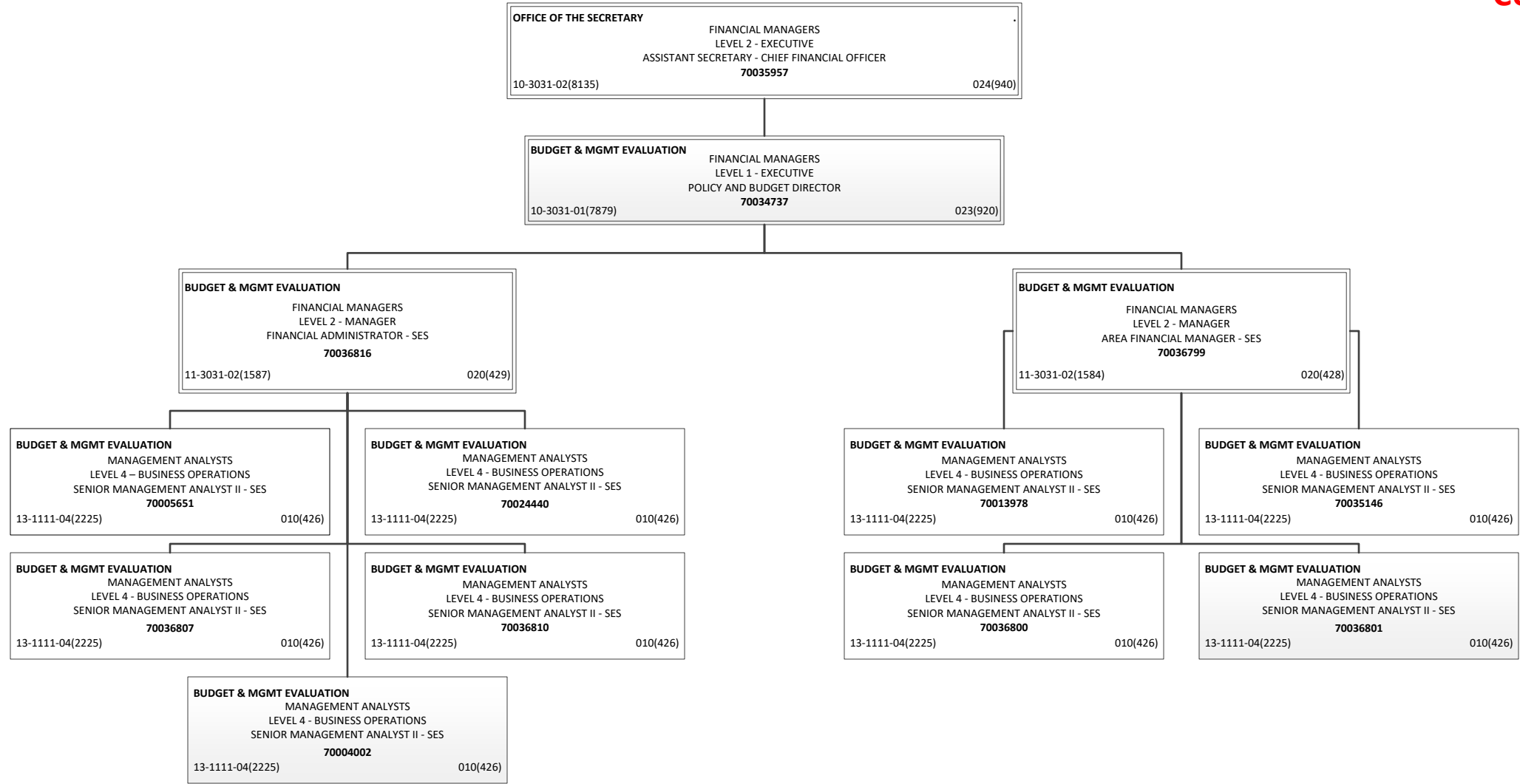
CHIEF FINANCIAL OFFICER

CURRENT



BUDGET

CURRENT

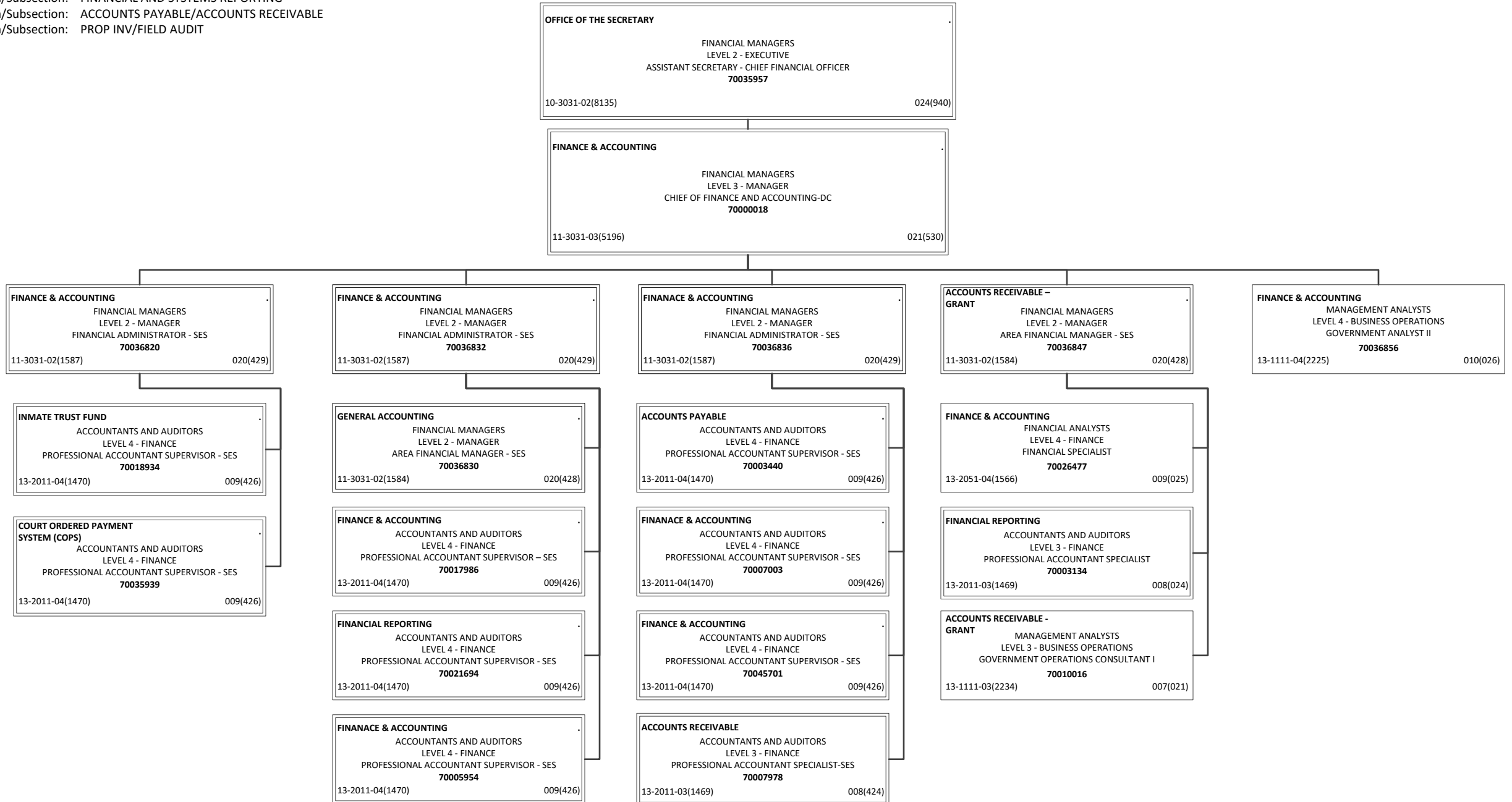


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF FINANCIAL OFFICER
 Bureau/Comparable: FINANCE & ACCOUNTING

F&A Overview

CURRENT

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

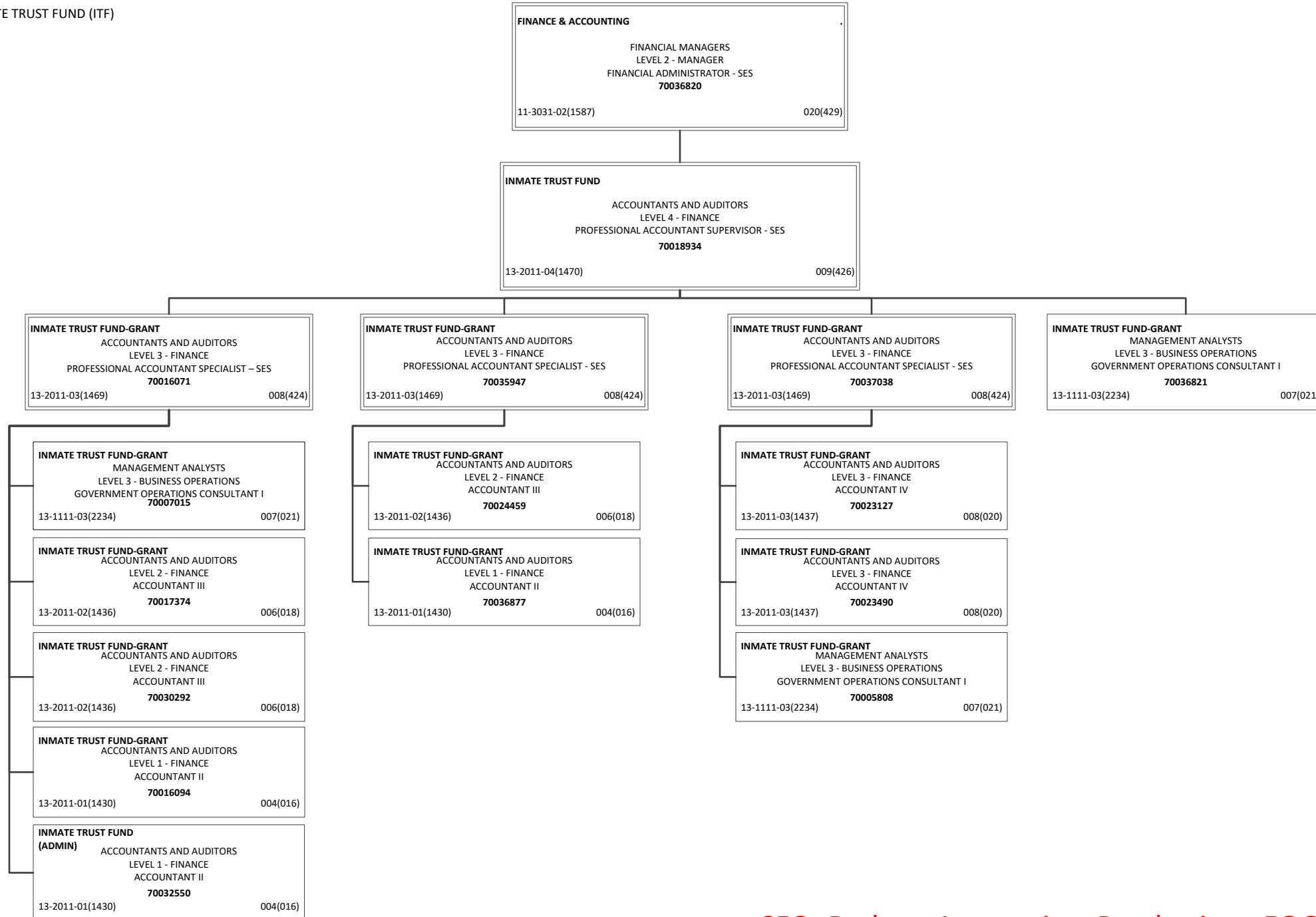


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF FINANCIAL OFFICER
 Bureau/Comparable: FINANCE & ACCOUNTING

F&A-ITF/COPS (ITF Unit)

CURRENT

Section/Subsection: INMATE TRUST FUND (ITF)

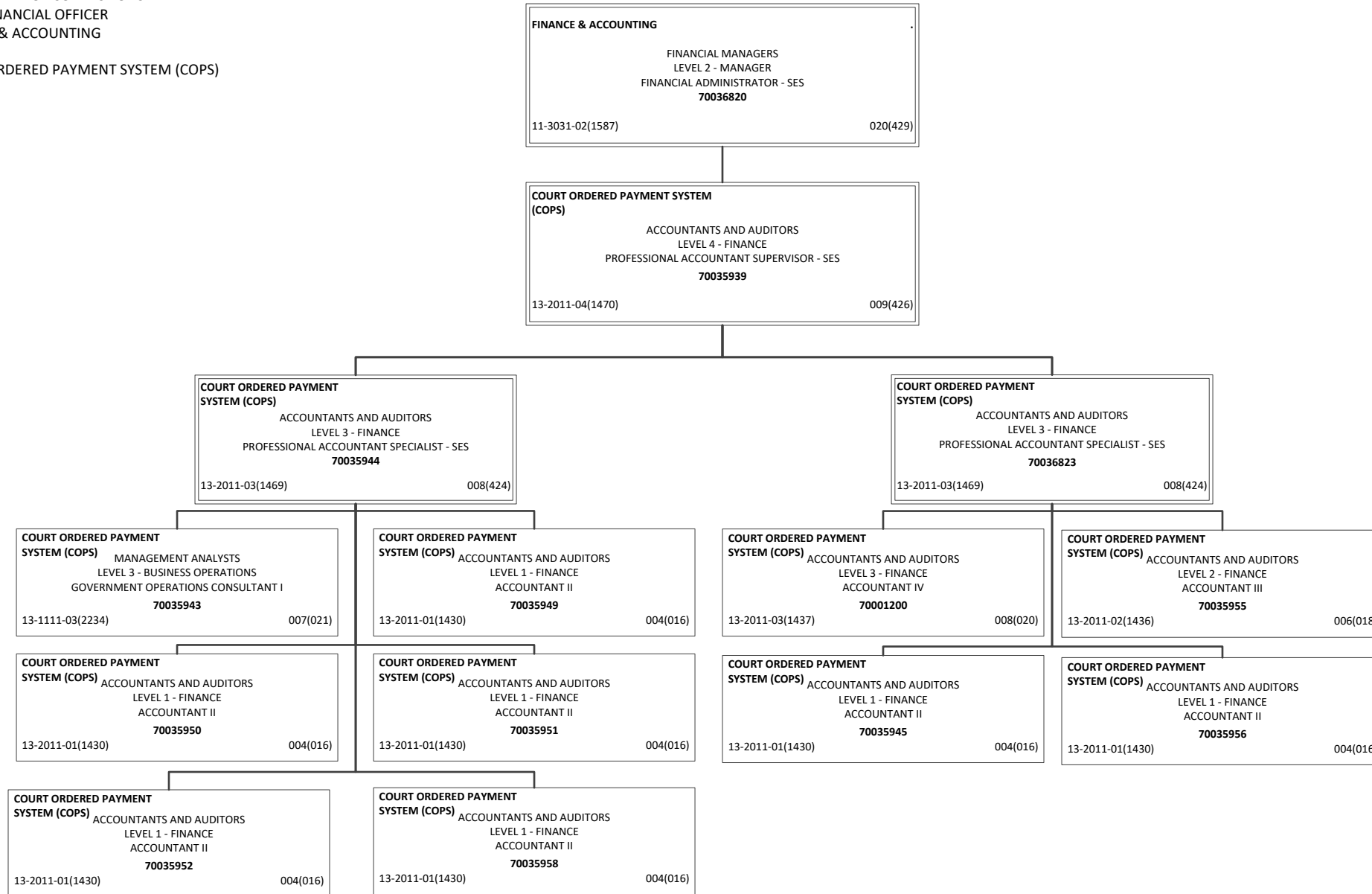


F&A-ITF/COPS (COPS Unit)

CURRENT

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

Section/Subsection: COURT ORDERED PAYMENT SYSTEM (COPS)

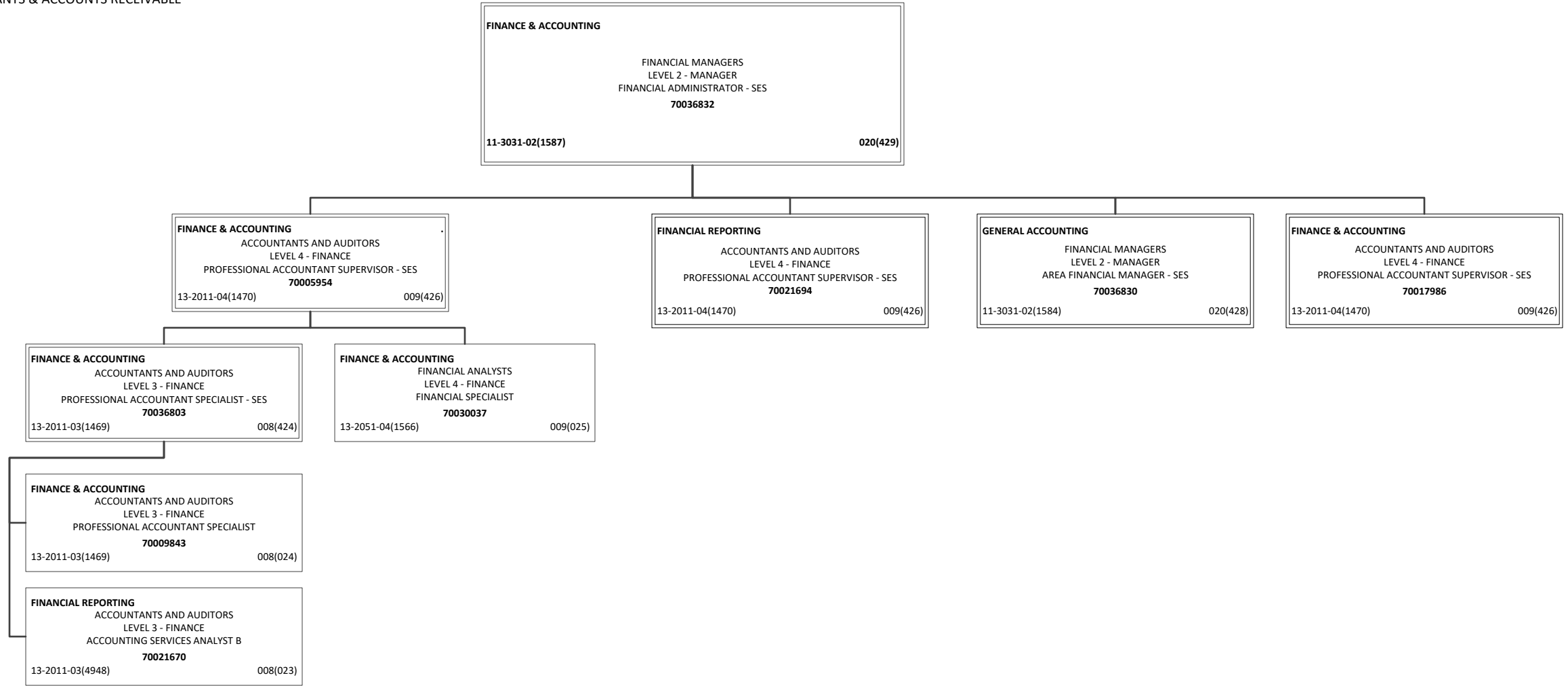


Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF FINANCIAL OFFICER
Bureau/Comparable: FINANCE & ACCOUNTING

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

F&A-Financial & Systems Reporting 1/2

CURRENT

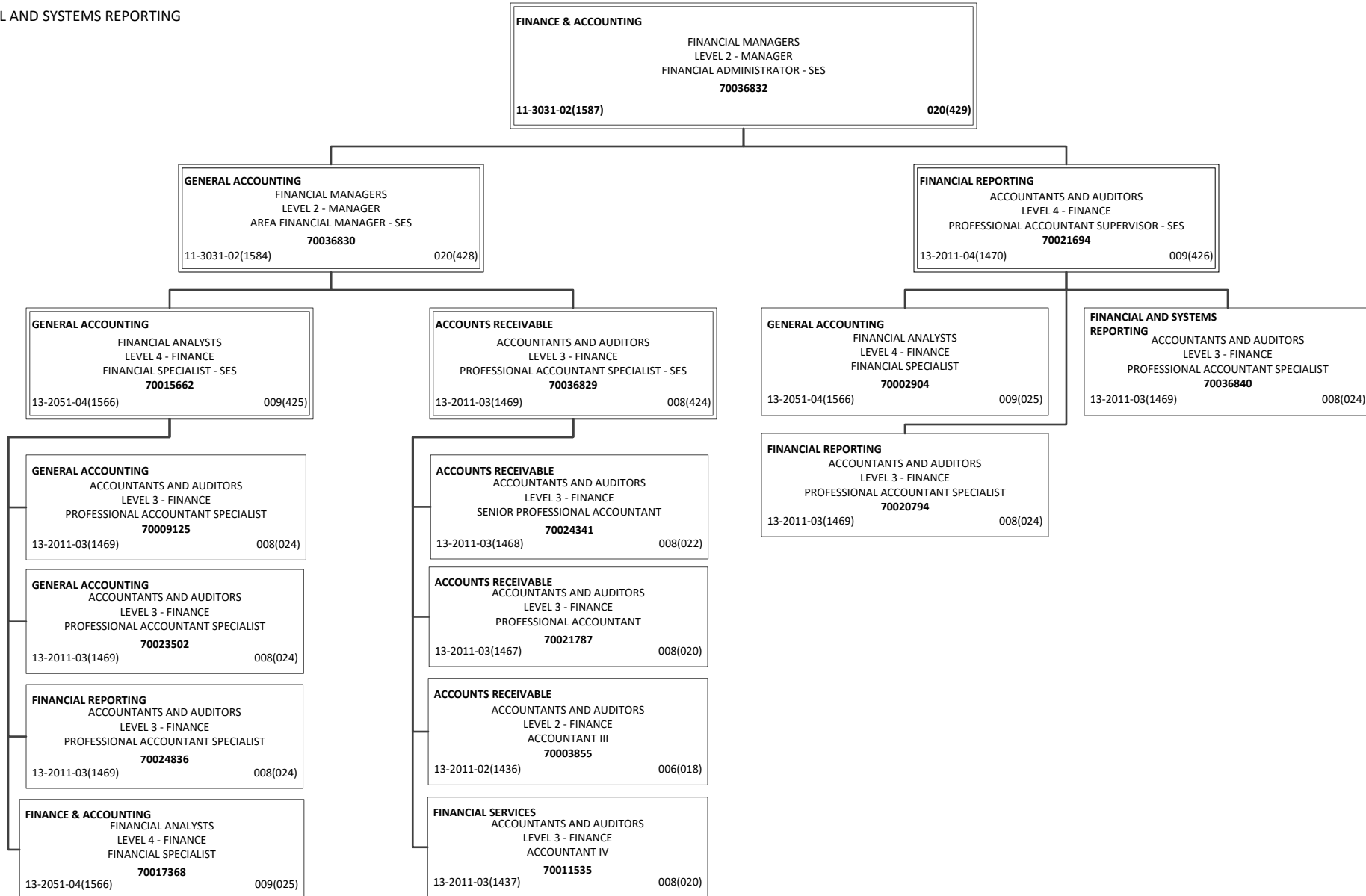


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF FINANCIAL OFFICER
 Bureau/Comparable: FINANCE & ACCOUNTING

F&A-Financial & Systems Reporting 2/2

CURRENT

Section/Subsection: FINANCIAL AND SYSTEMS REPORTING

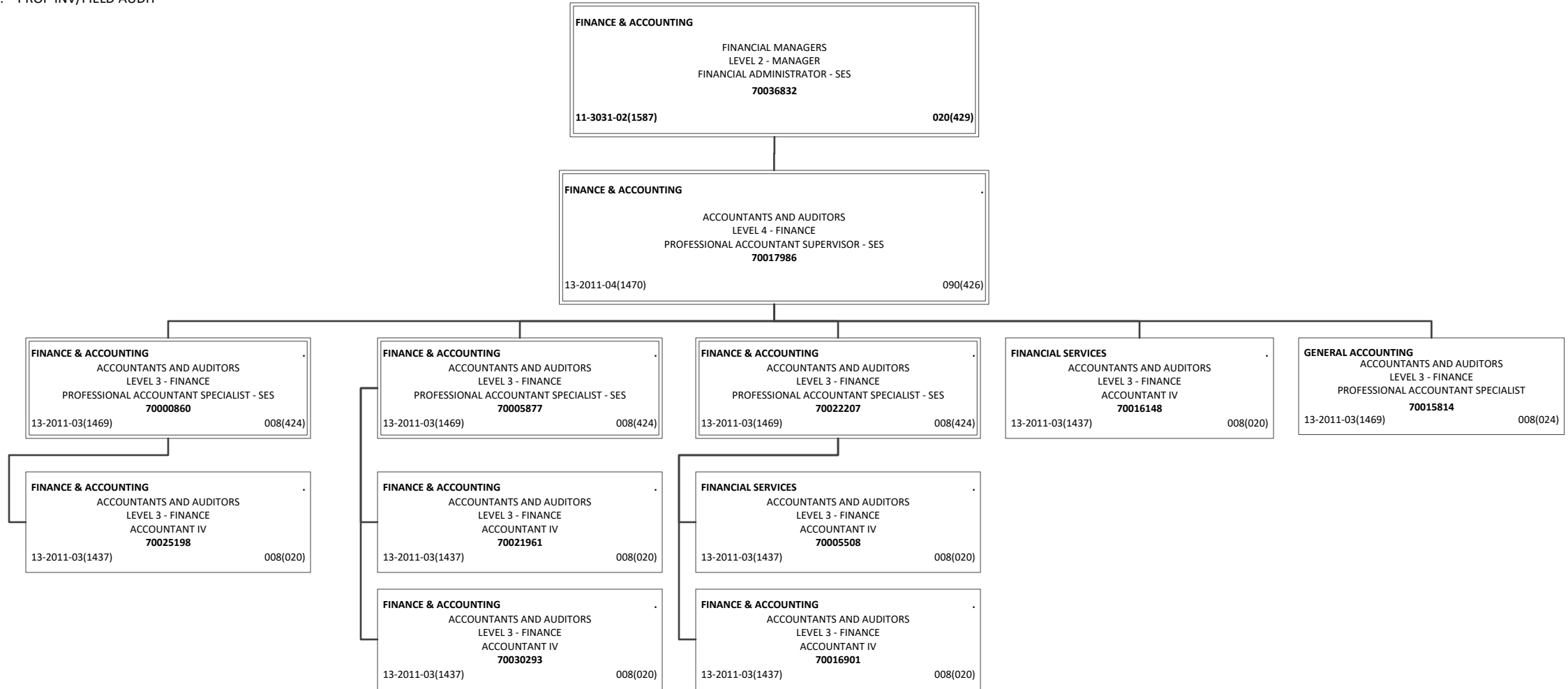


Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF FINANCIAL OFFICER
Bureau/Comparable: FINANCE & ACCOUNTING

F&A-Property Inv/Field Audit

CURRENT

Section/Subsection: PROP INV/FIELD AUDIT

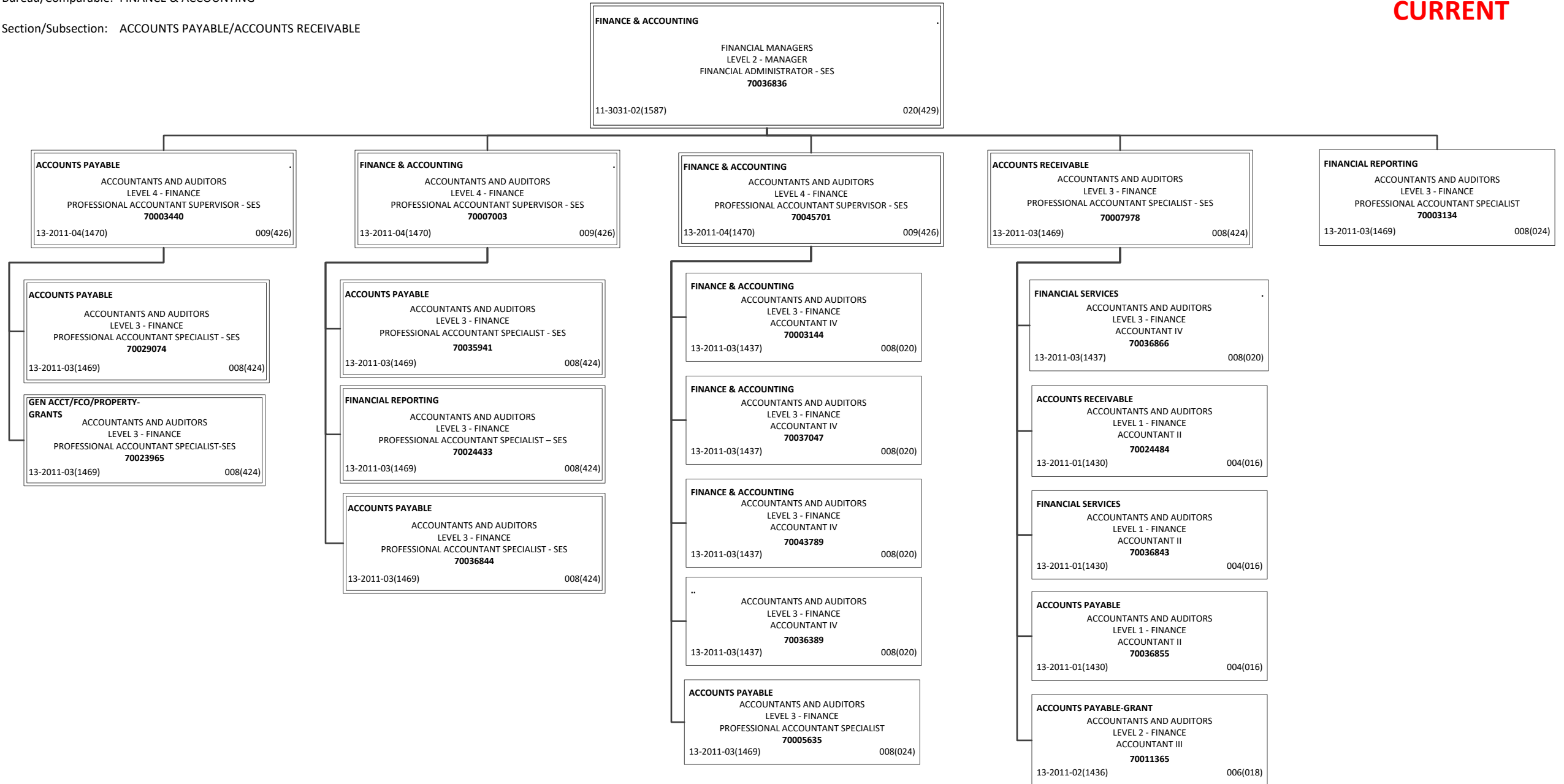


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF FINANCIAL OFFICER
 Bureau/Comparable: FINANCE & ACCOUNTING

F&A-AP/AR Overview

CURRENT

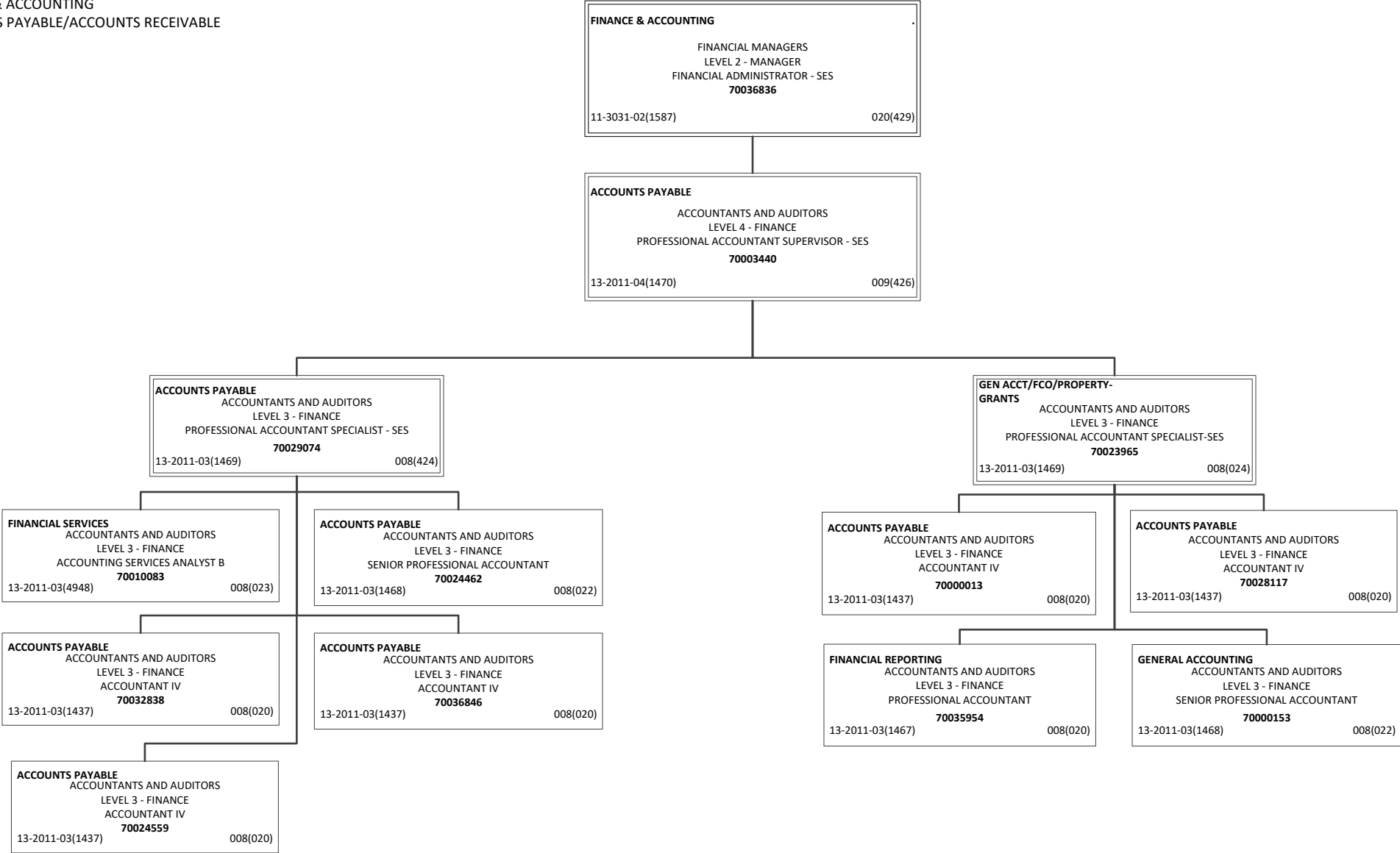
Section/Subsection: ACCOUNTS PAYABLE/ACCOUNTS RECEIVABLE



F&A-AP/AR Accounts Payable (Travel/Contracts)

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

CURRENT



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

CURRENT

Section/Subsection: ACCOUNTS PAYABLE/ACCOUNTS RECEIVABLE

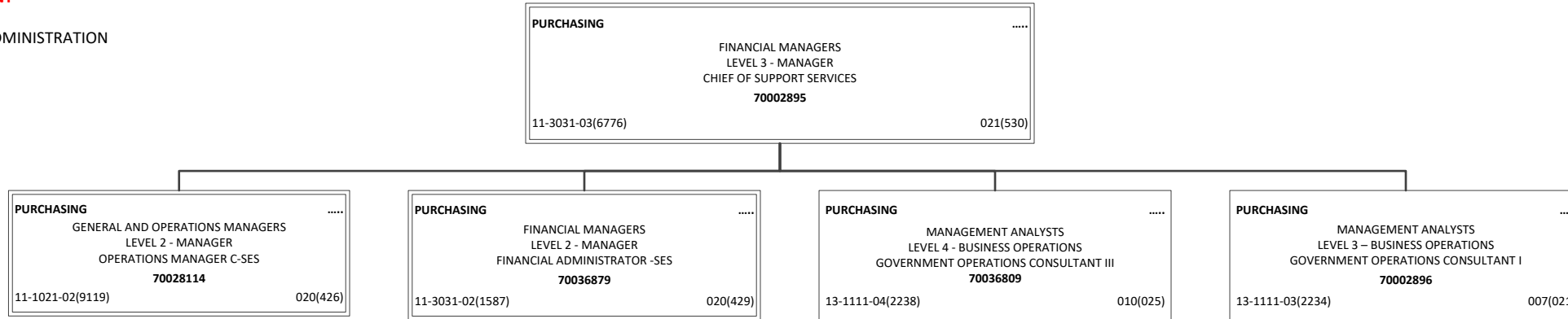


Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/BUREAU OF PROCUREMENT

PROCUREMENT

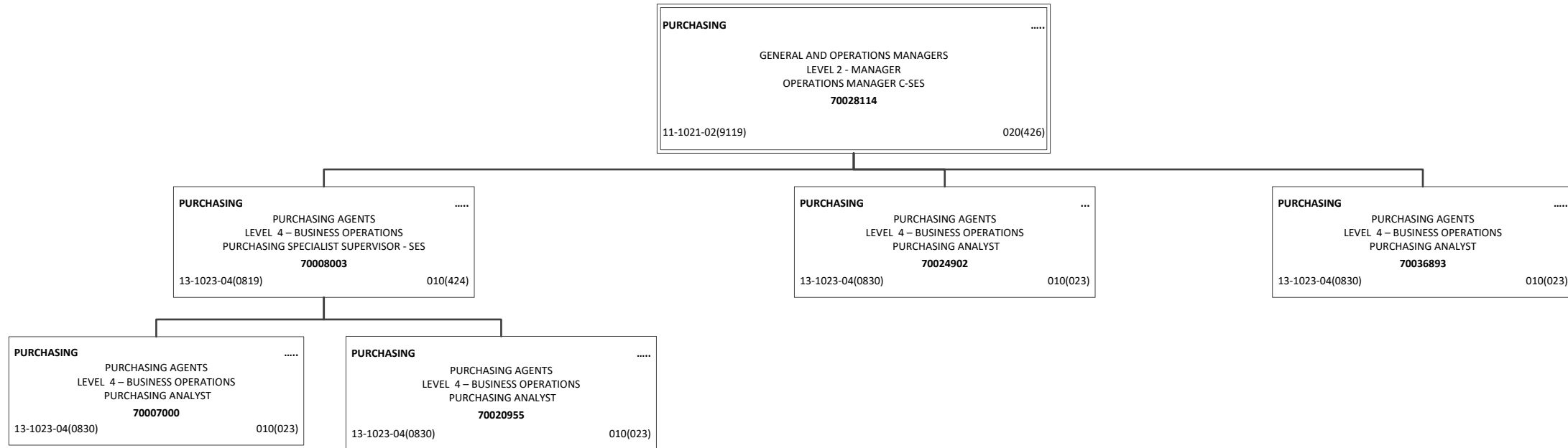
CURRENT

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



CONTRACT ADMINISTRATION

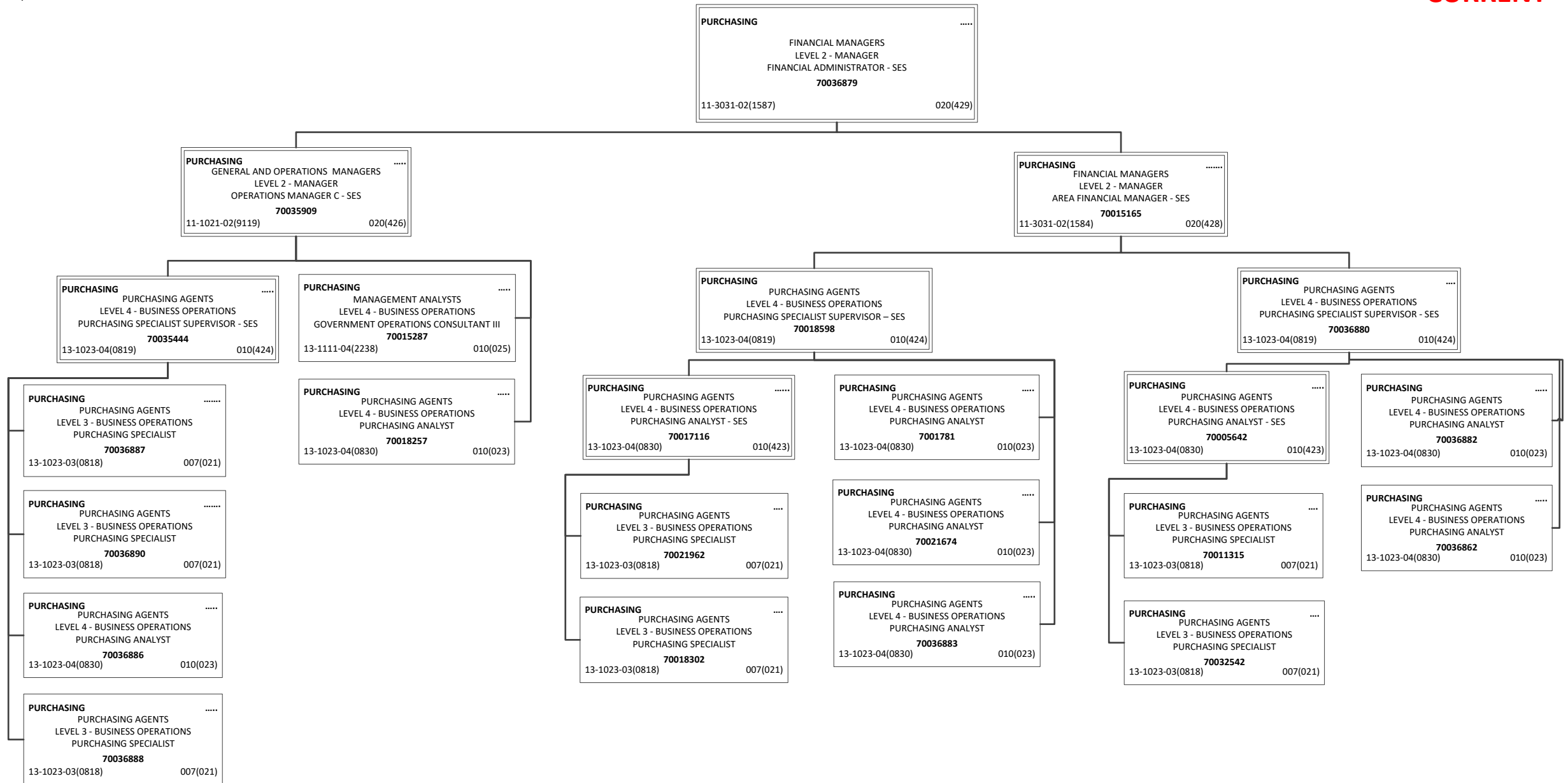
CURRENT



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

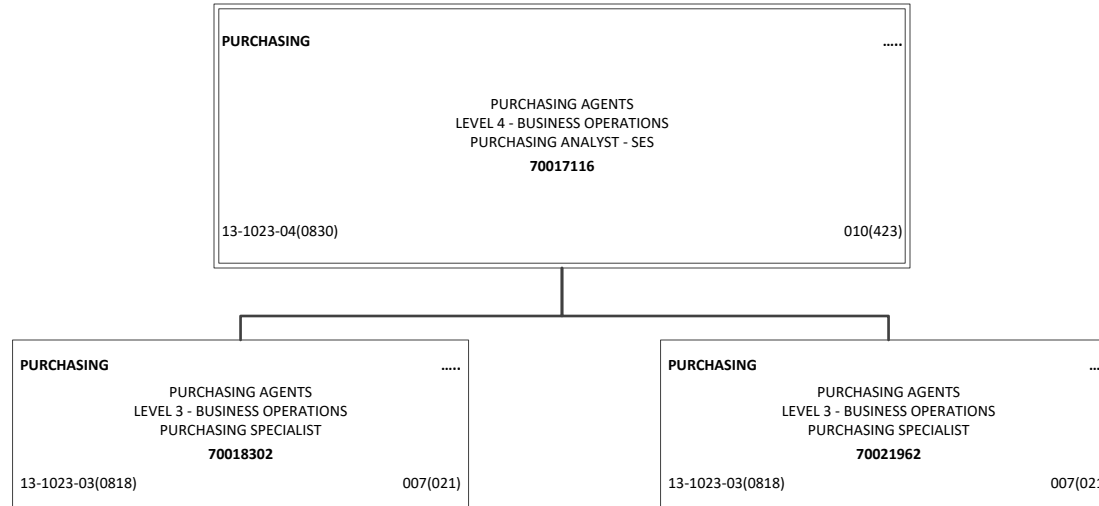
Purchasing (36879)

CURRENT



Purchasing (17116)

CURRENT



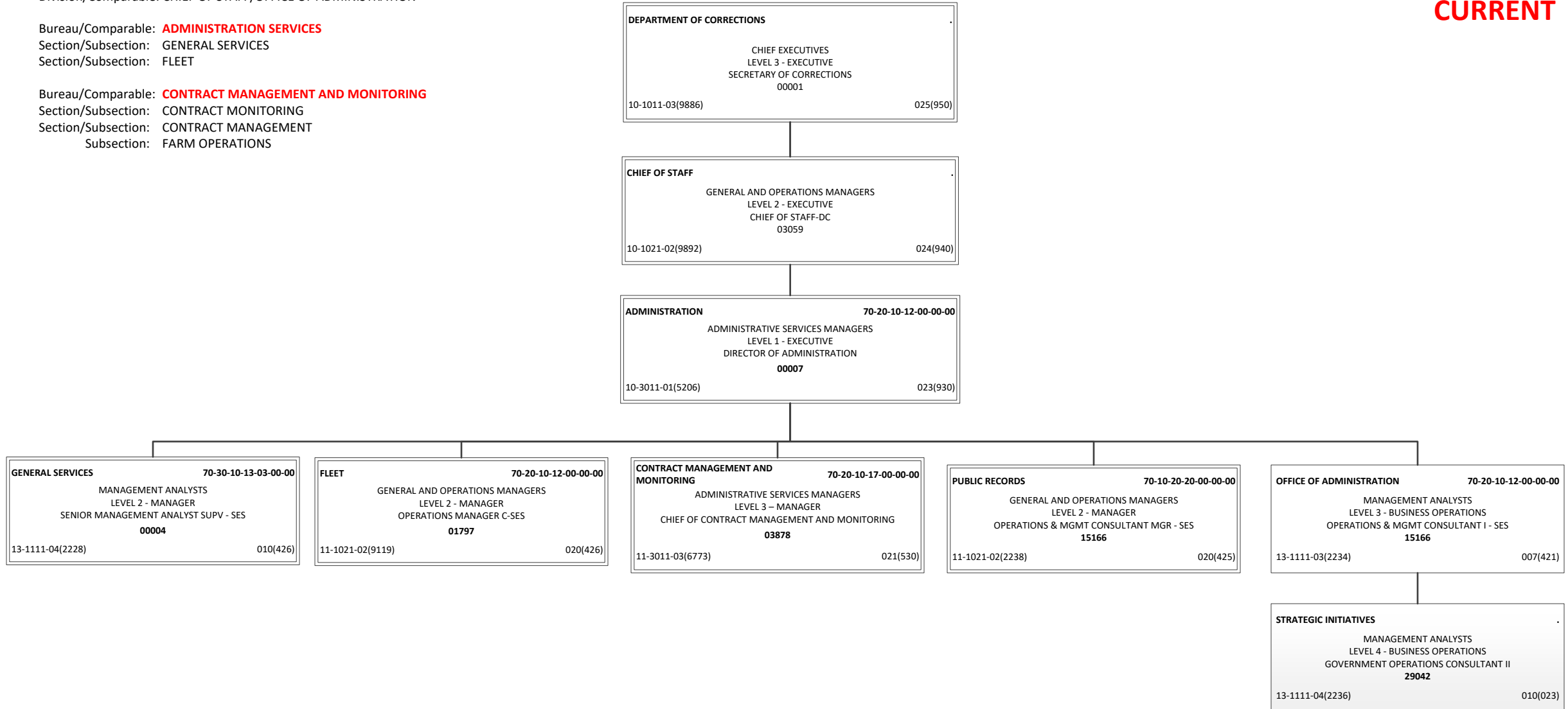
OFFICE OF ADMINISTRATION (OVERVIEW)

CURRENT

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

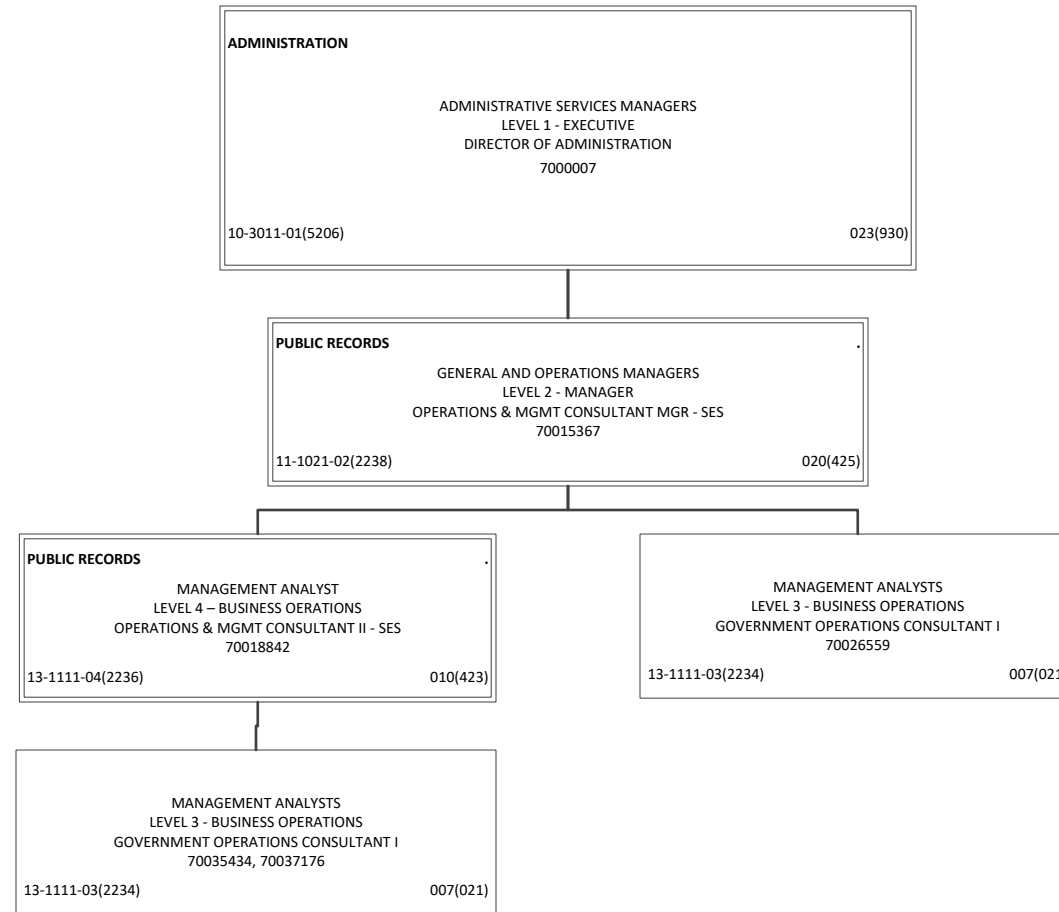
Bureau/Comparable: **ADMINISTRATION SERVICES**
 Section/Subsection: GENERAL SERVICES
 Section/Subsection: FLEET

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



PUBLIC RECORDS UNIT

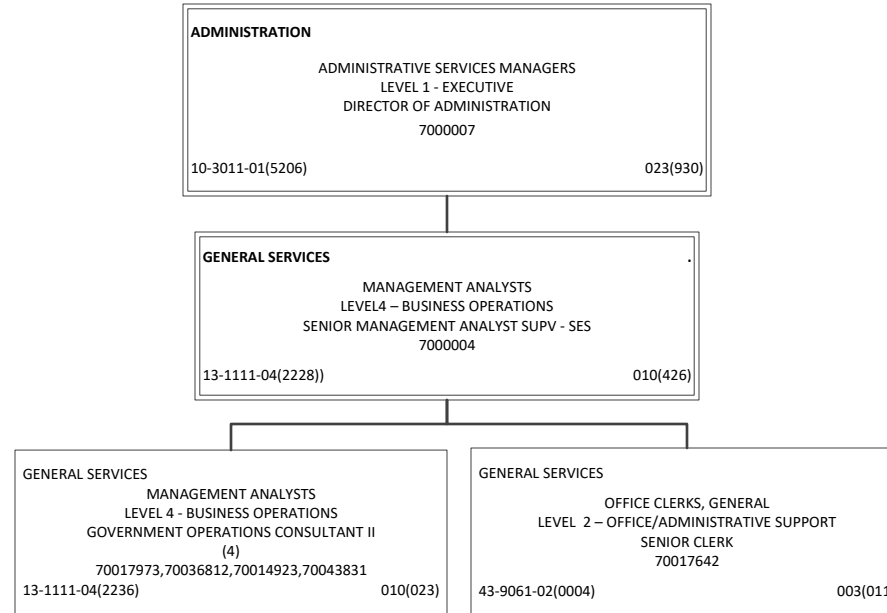
CURRENT



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

GENERAL SERVICES

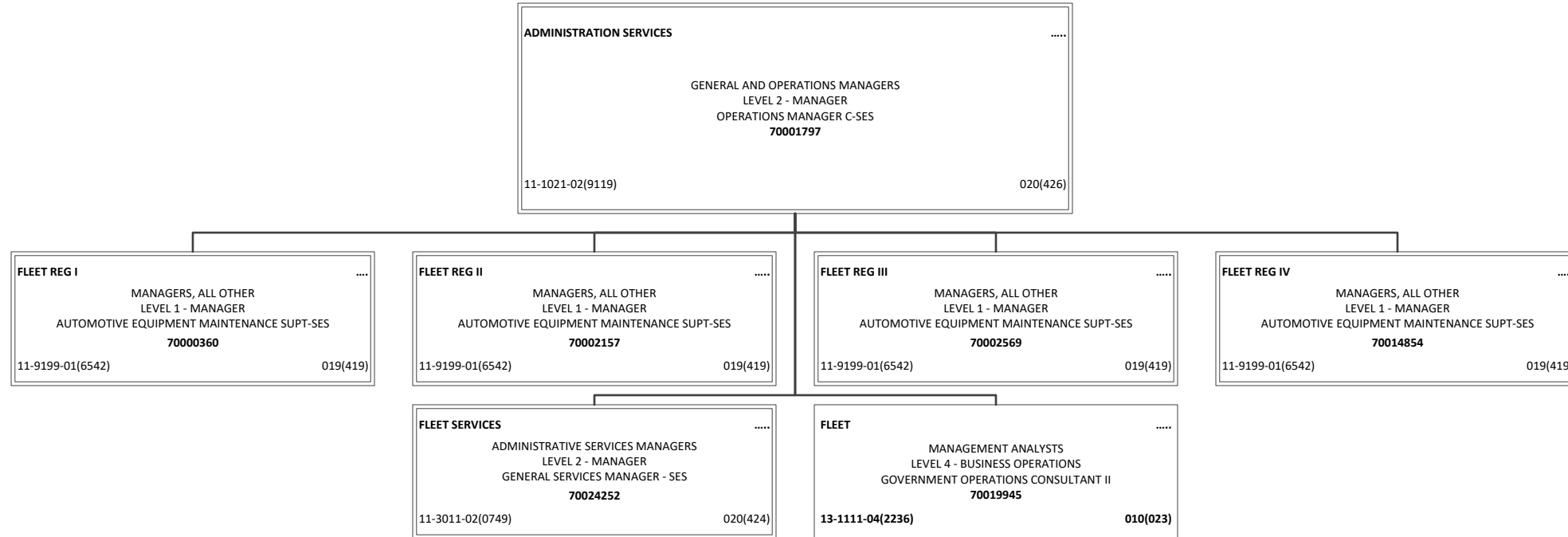
CURRENT



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

FLEET SERVICES OVERVIEW

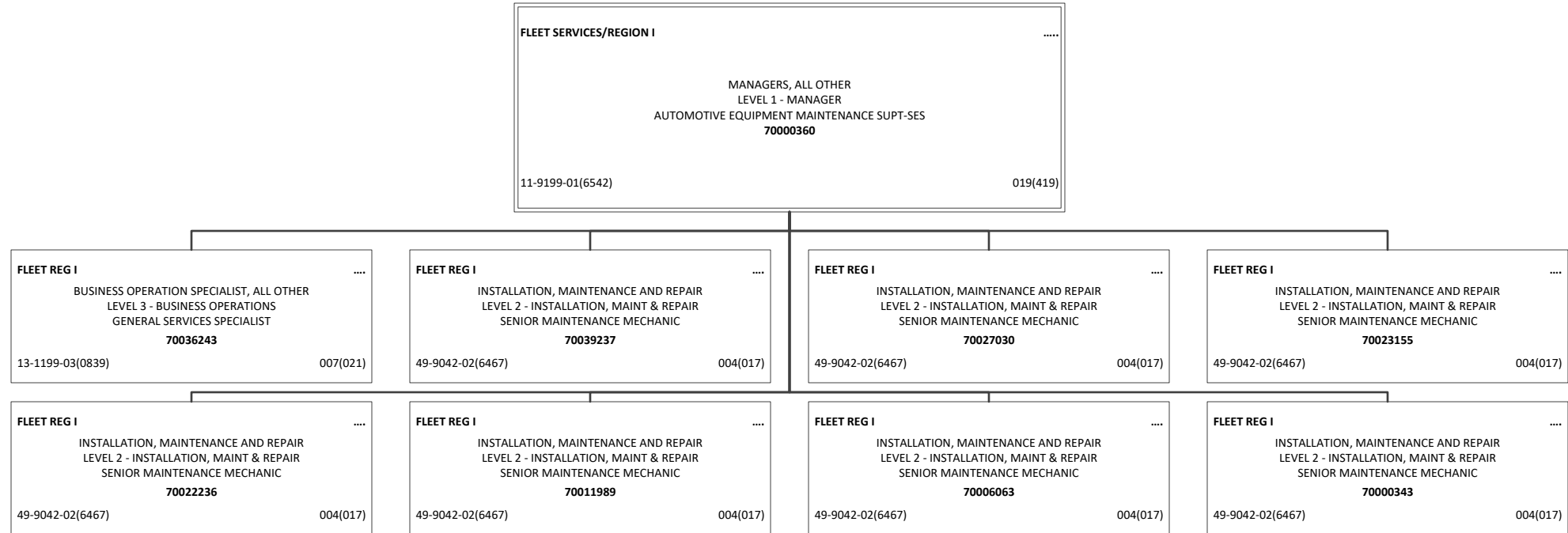
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION
 Bureau/Comparable: **SUPPORT SERVICES**
 Section/Subsection: **FLEET/REG I**

FLEET REG I

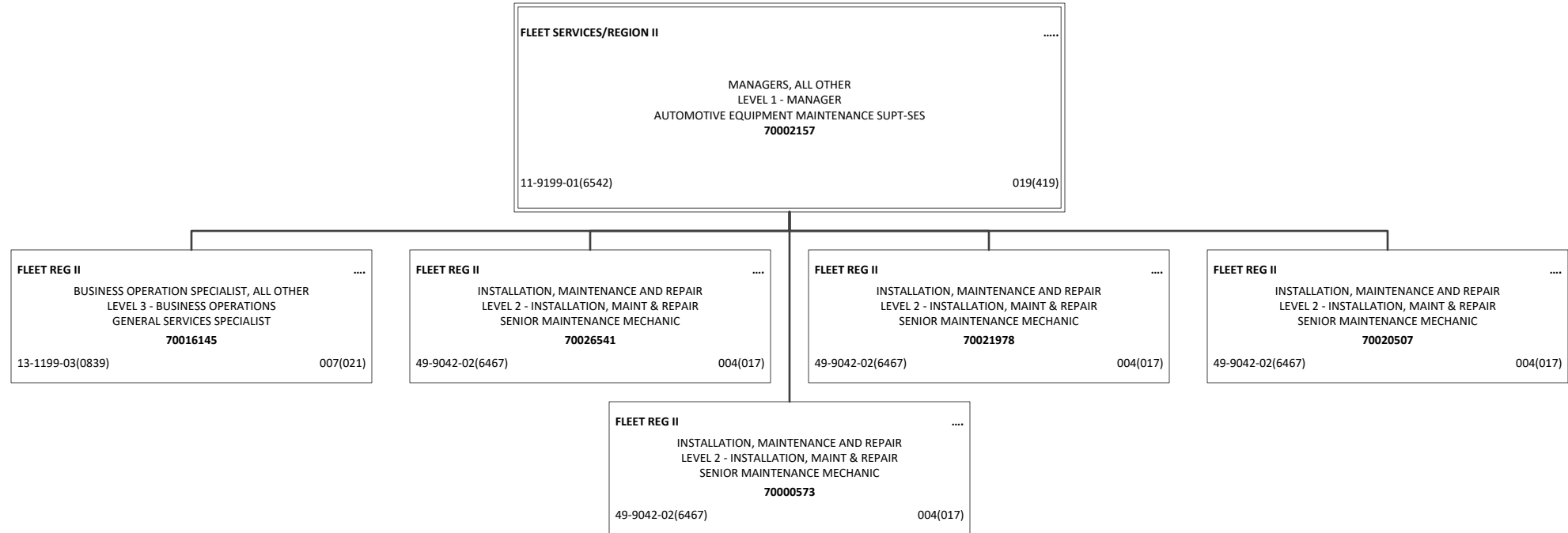
CURRENT



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

FLEET REG II

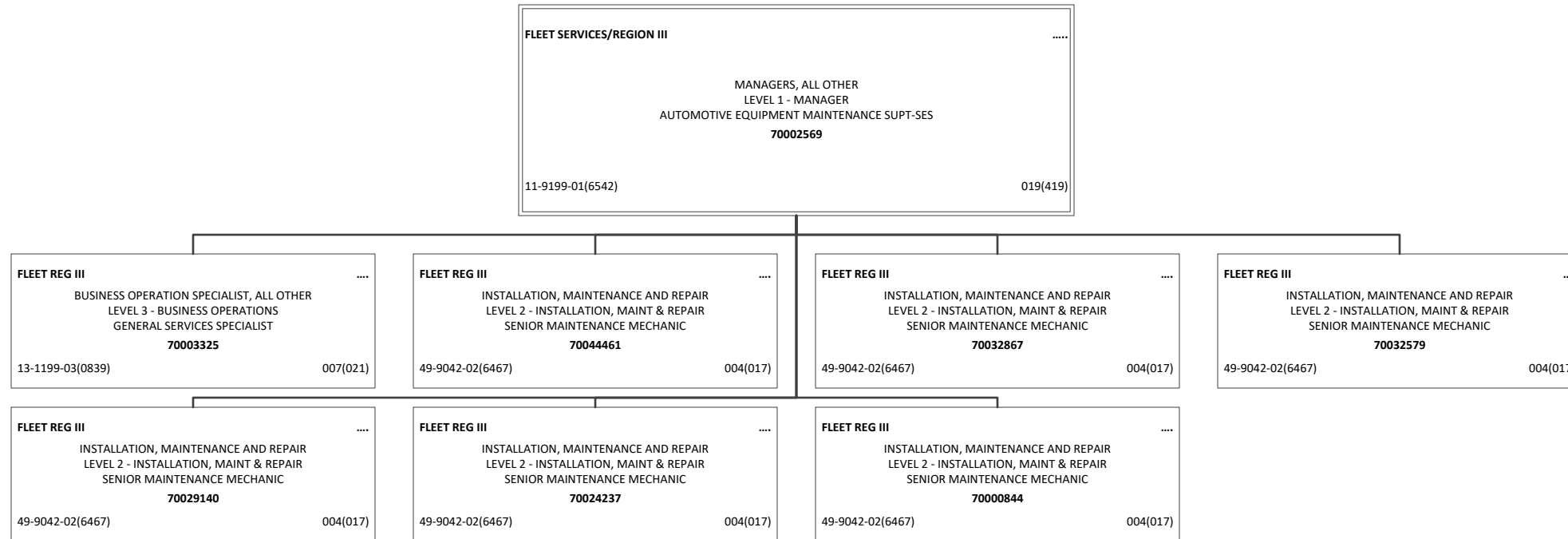
CURRENT



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**

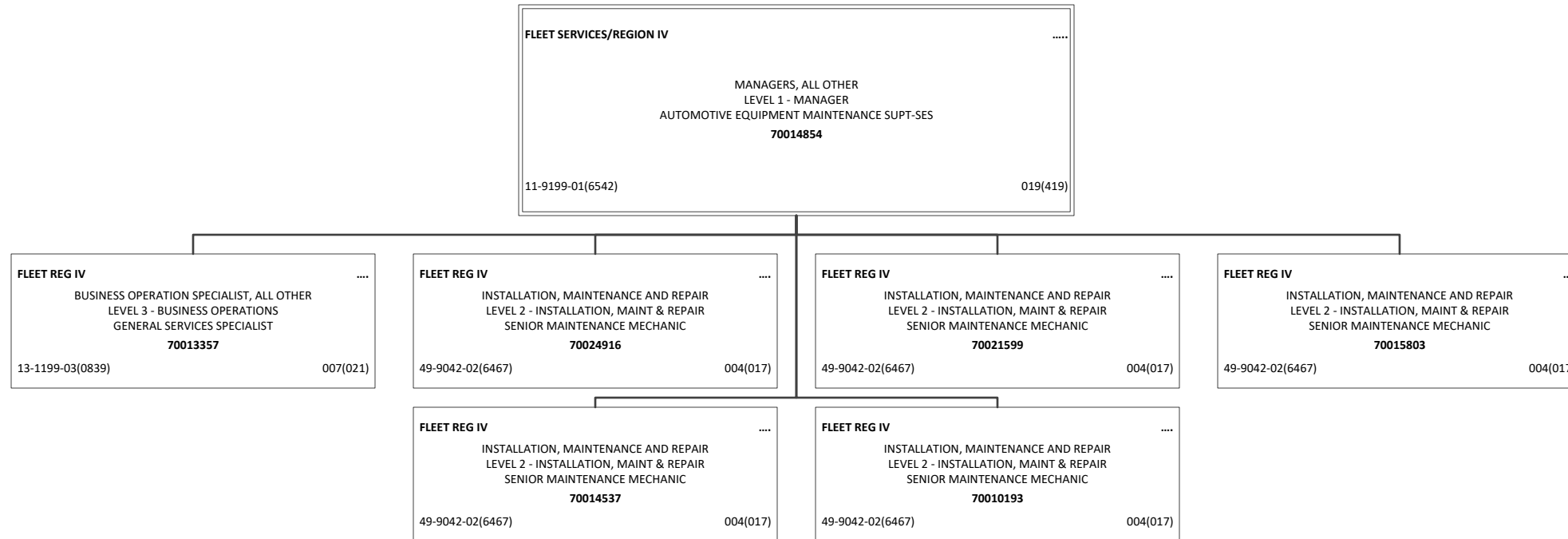
CURRENT



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**

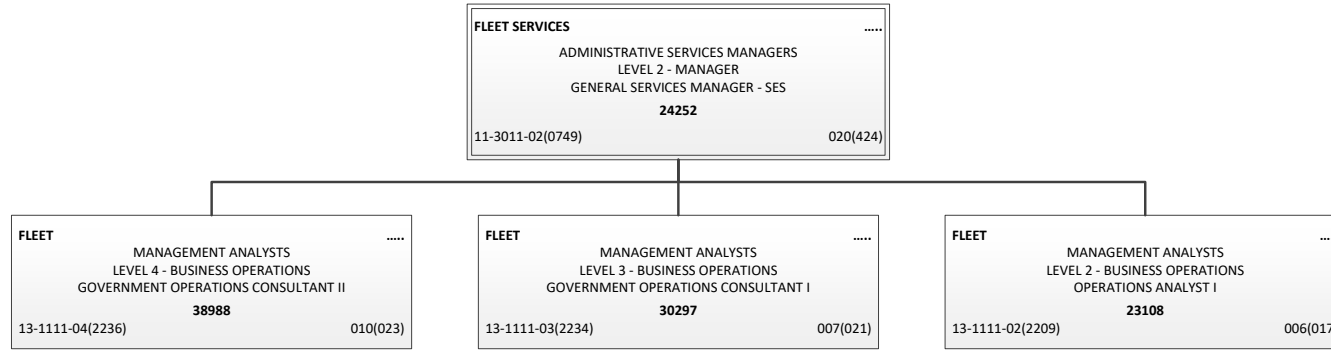
CURRENT



FLEET SERVICES

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

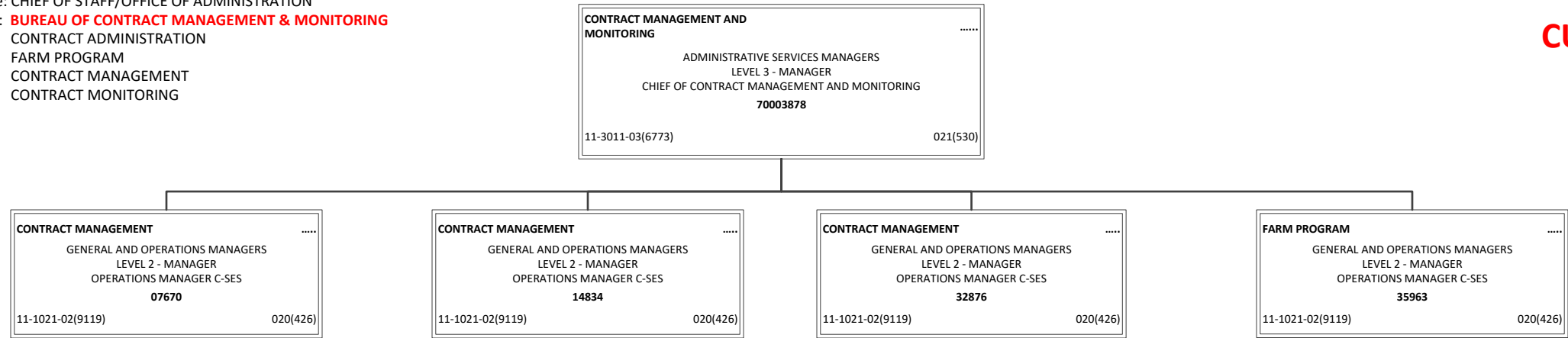
CURRENT



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

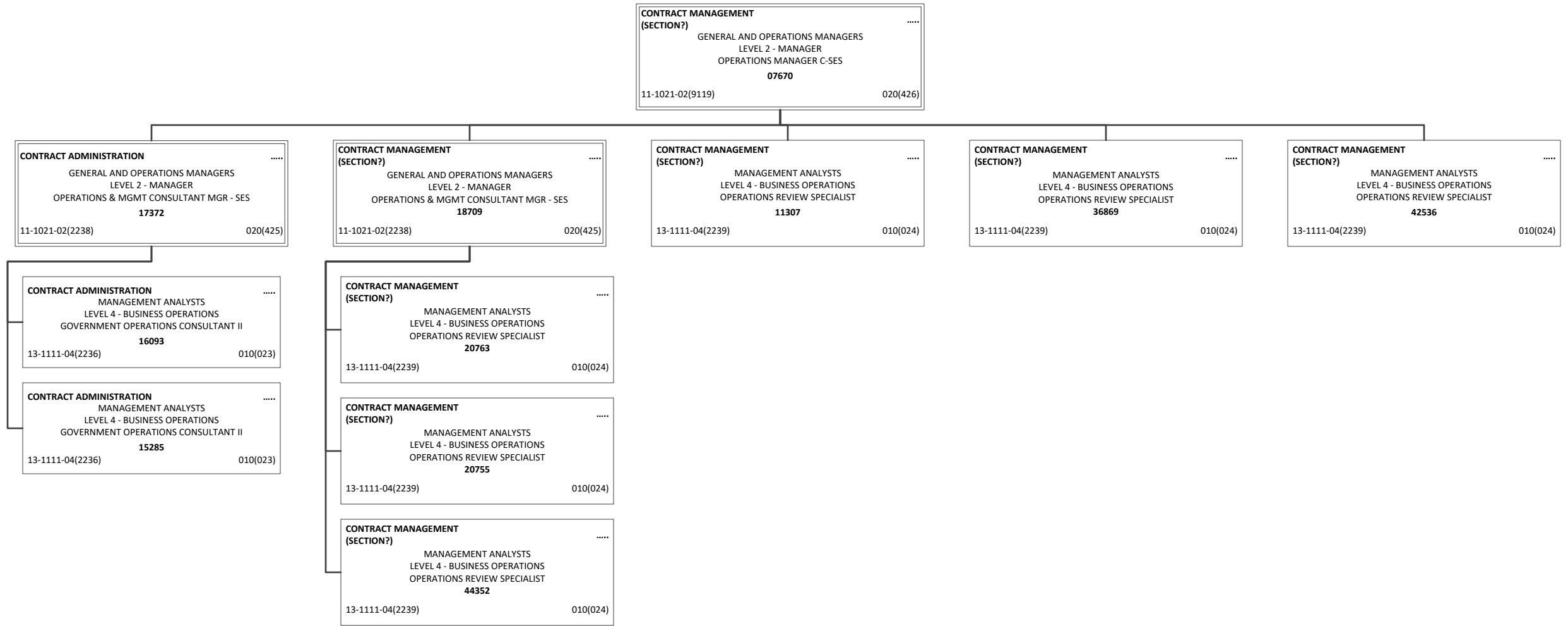
CURRENT



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

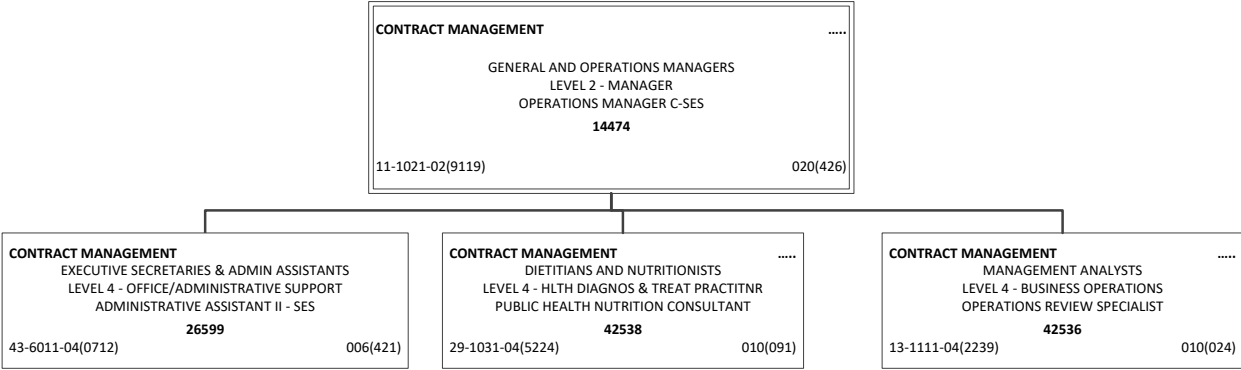
CURRENT



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

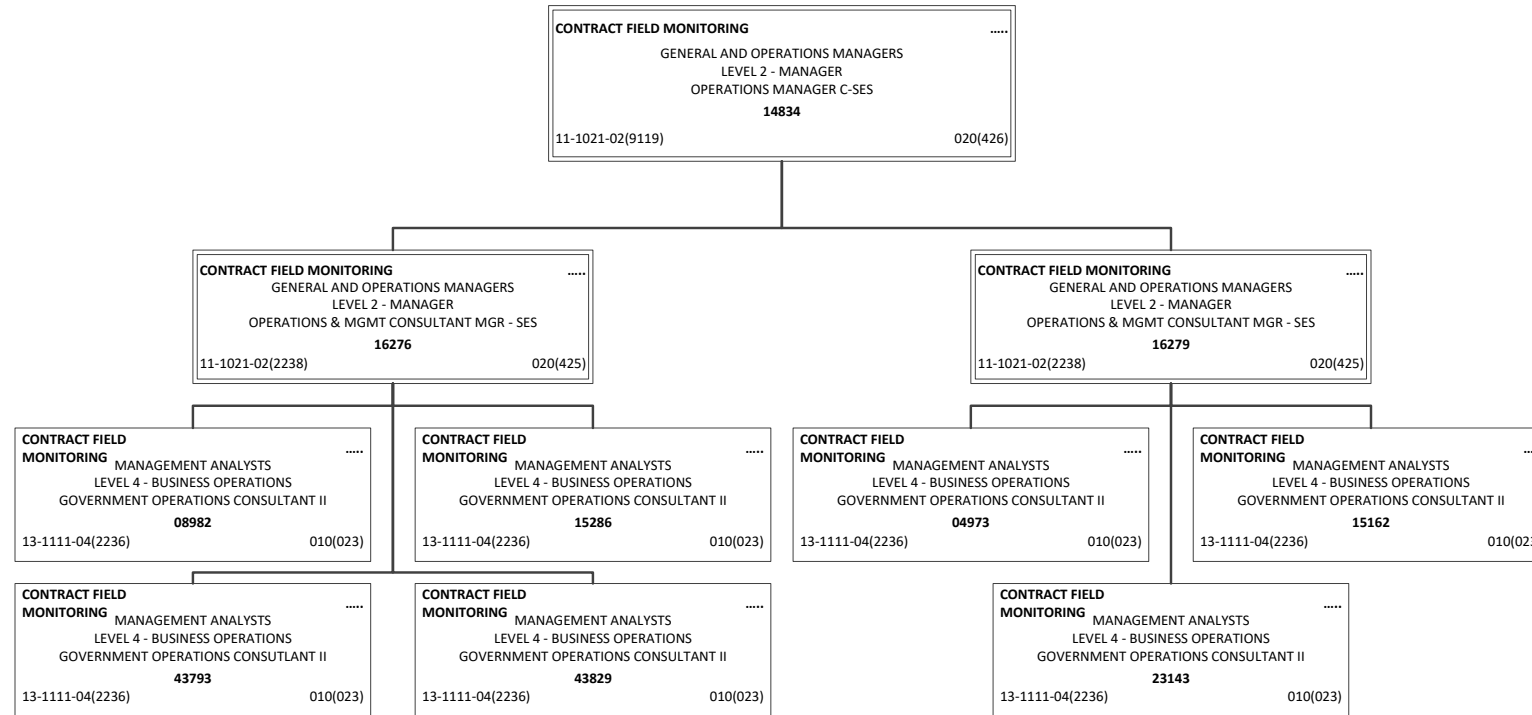
CURRENT



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**

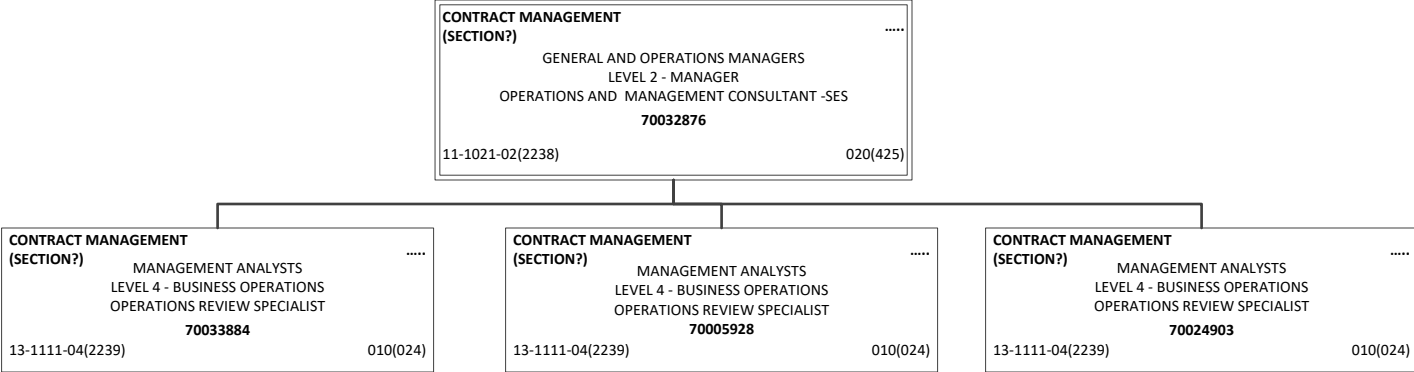
CURRENT



CONTRACT MANAGEMENT (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



FARM PROGRAMS

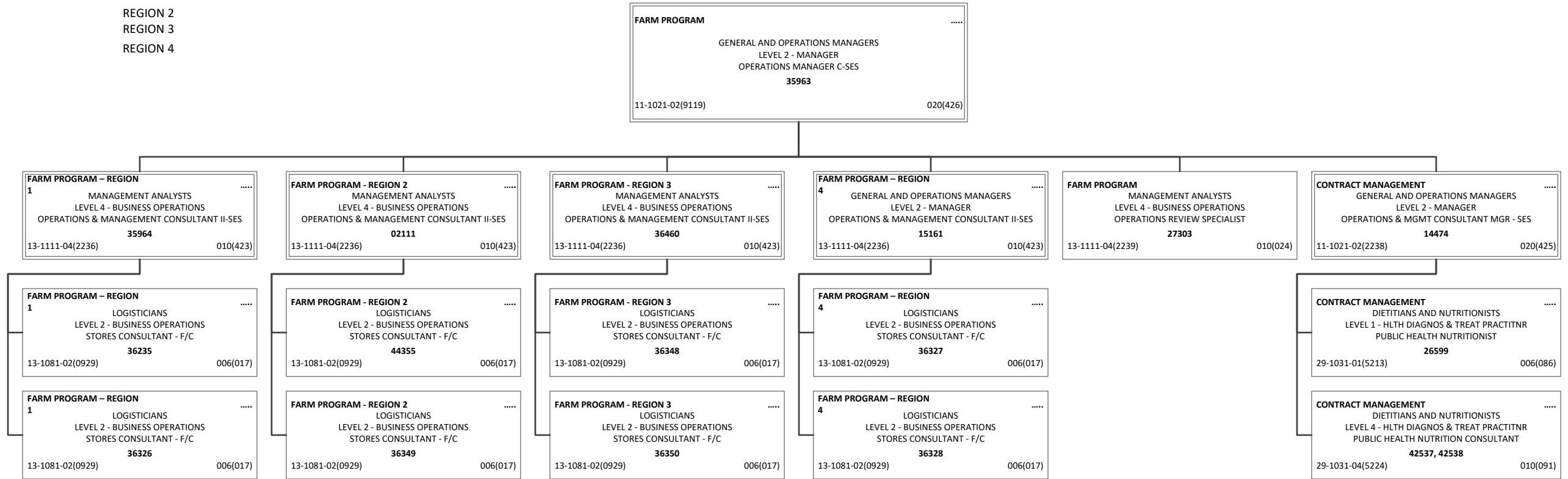
Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION

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

CURRENT

Section/Subsection: FARM PROGRAM

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



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

LEGISLATIVE AFFAIRS

CURRENT

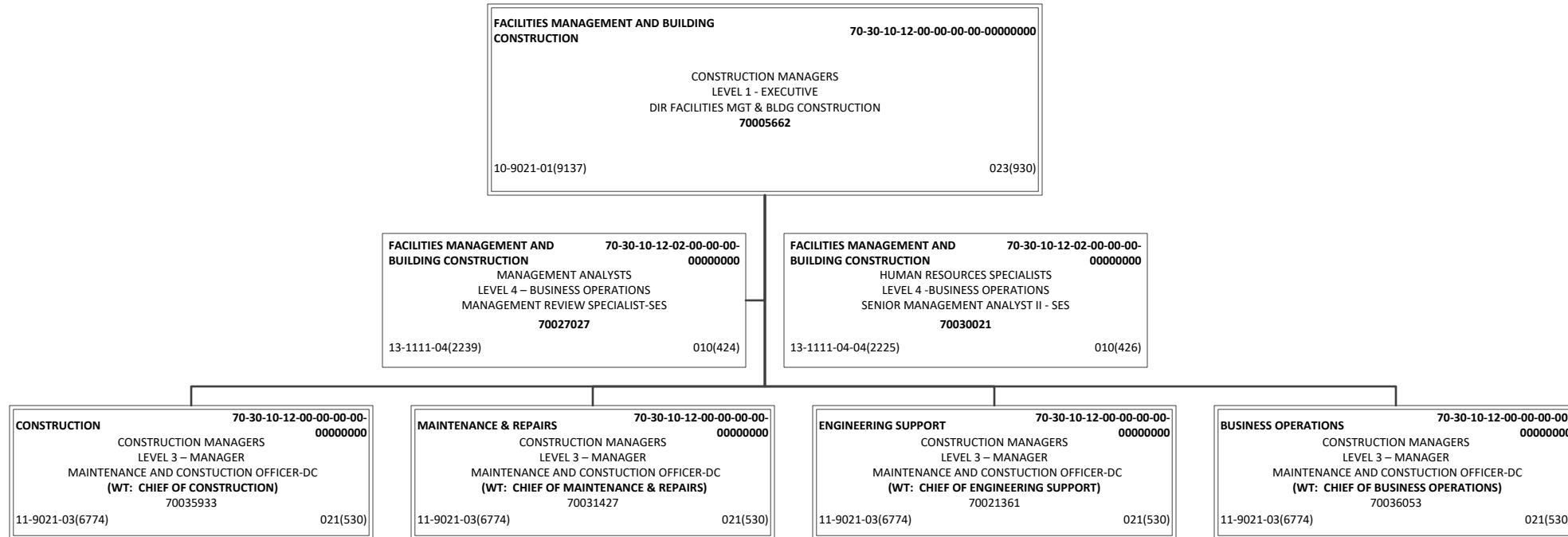


FACILITIES - Overview

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

CURRENT



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

CONSTRUCTION

CURRENT



MAINT & REPAIRS - Overview

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

CURRENT

MAINTENANCE & REPAIRS **70-30-10-12-00-00-00-00000000**
 CONSTRUCTION MANAGERS
 LEVEL 3 – MANAGER
 MAINTENANCE AND CONSTRUCTION OFFICER - DC
 (WT: CHIEF OF MAINTENANCE & REPAIRS)
 70031427
 11-9021-03(6774) 021(530)

MAINTENANCE & REPAIRS **70-30-10-12-00-00-00-00000000**
 CONSTRUCTION MANAGERS
 LEVEL 3 – MANAGER
 MAINTENANCE & CONSTRUCTION OFFICER - DC
 (WT: DEPUTY BUREAU CHIEF OF MAINTENANCE & REPAIRS)
 70031395
 11-9021-03(6774) 021(530)

MAINTENANCE & REPAIRS-REG I **70-21-70-00-00-00-00-00000000**
 CONSTRUCTION MANAGERS
 LEVEL 3 – MANAGER
 MAINTENANCE & CONSTRUCTION OFFICER - DC
 (WT: REGIONAL ASST CHIEF OF MAINTENANCE & REPAIRS)
 70016175
 11-9021-03(6774) 021(530)

MAINTENANCE & REPAIRS-REG II **70-22-70-00-00-00-00-00000000**
 CONSTRUCTION MANAGERS
 LEVEL 3 - MANAGER
 MAINTENANCE & CONSTRUCTION OFFICER - DC
 (WT: REGIONAL ASST CHIEF OF MAINTENANCE & REPAIRS)
 70041545
 11-9021-03(6774) 021(530)

MAINTENANCE & REPAIRS-REG III **70-23-70-00-00-00-00-00000000**
 CONSTRUCTION MANAGERS
 LEVEL 3- MANAGER
 MAINTENANCE & CONSTRUCTION OFFICER - DC
 (WT: REGIONAL ASST CHIEF OF MAINTENANCE & REPAIRS)
 70014048
 11-9021-03(6774) 021(530)

MAINTENANCE & REPAIRS-REG IV **70-24-70-00-00-00-00-00000000**
 CONSTRUCTION MANAGERS
 LEVEL 3- MANAGER
 MAINTENANCE & CONSTRUCTION OFFICER - DC
 (WT: REGIONAL ASST CHIEF OF MAINTENANCE & REPAIRS)
 70030058
 11-9021-03(6774) 021(530)

MAINTENANCE & REPAIRS **70-30-10-12-00-00-00-00000000**
 EXEC SECRETARIES & EXEC ADMIN ASSISTANTS
 LEVEL 2 - OFFICE/ADMINISTRATIVE SUPPORT
 STAFF ASSISTANT
 70023121
 43-6011-02(0120) 003(013)

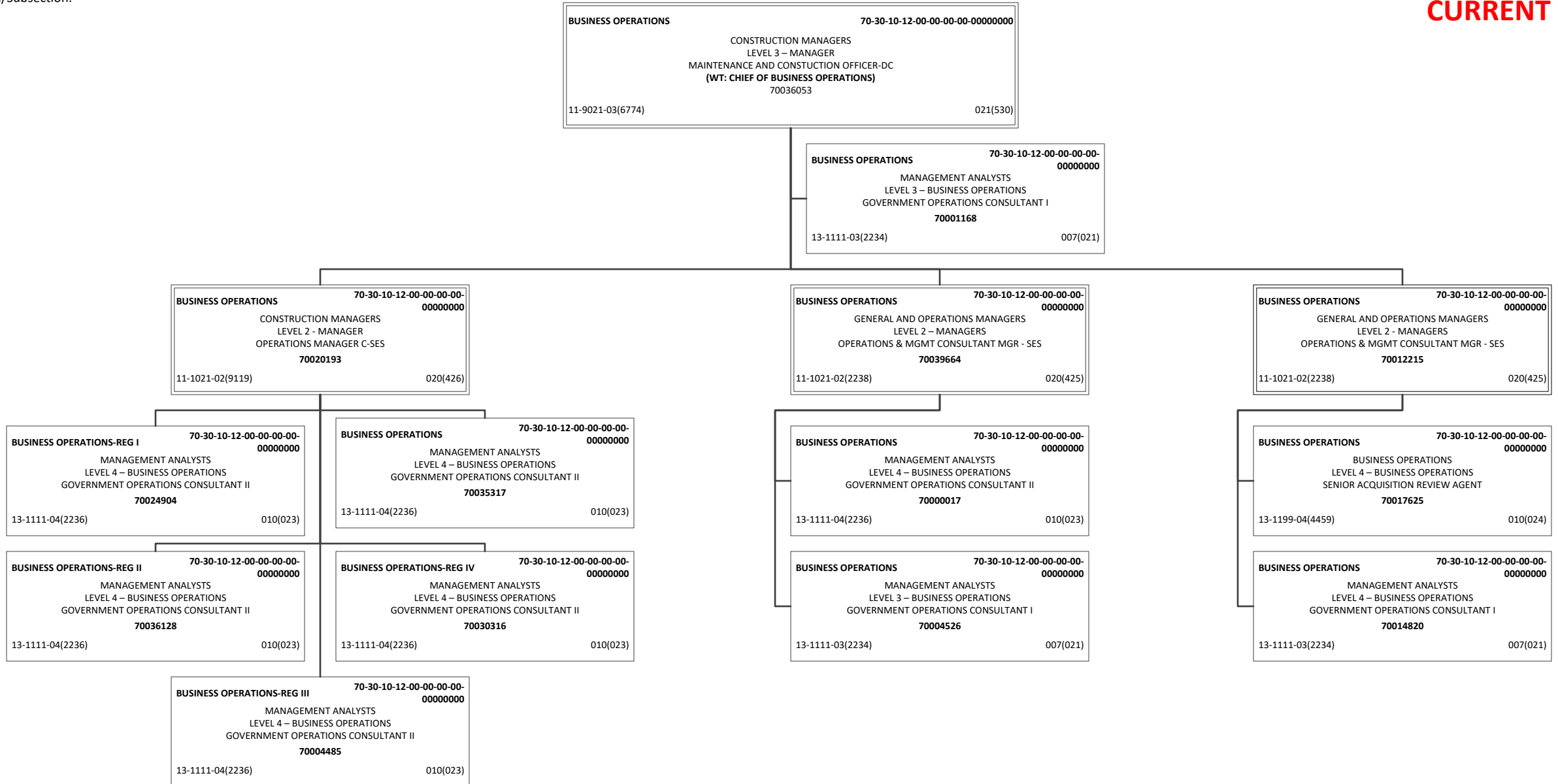
MAINTENANCE & REPAIRS **7030-10-12-00-00-00000000**
 BUSINESS AND FINANCE, MANAGEMENT ANALYSTS
 LEVEL 4 – BUSINESS OPERATIONS
 OPERATIONS REVIEW SPECIALIST
 70041637
 13-1111-04(2239) 010(024)

MAINTENANCE & REPAIRS - REG I – Apalachee CI **70-31-10-02-49-36-00-00000000**
 CONSTRUCTION MANAGERS
 LEVEL 2 - MANAGER
 MAINTENANCE & CONSTRUCTION SUPT - SES
 70000344
 11-9021-02(6387) 020(422)

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

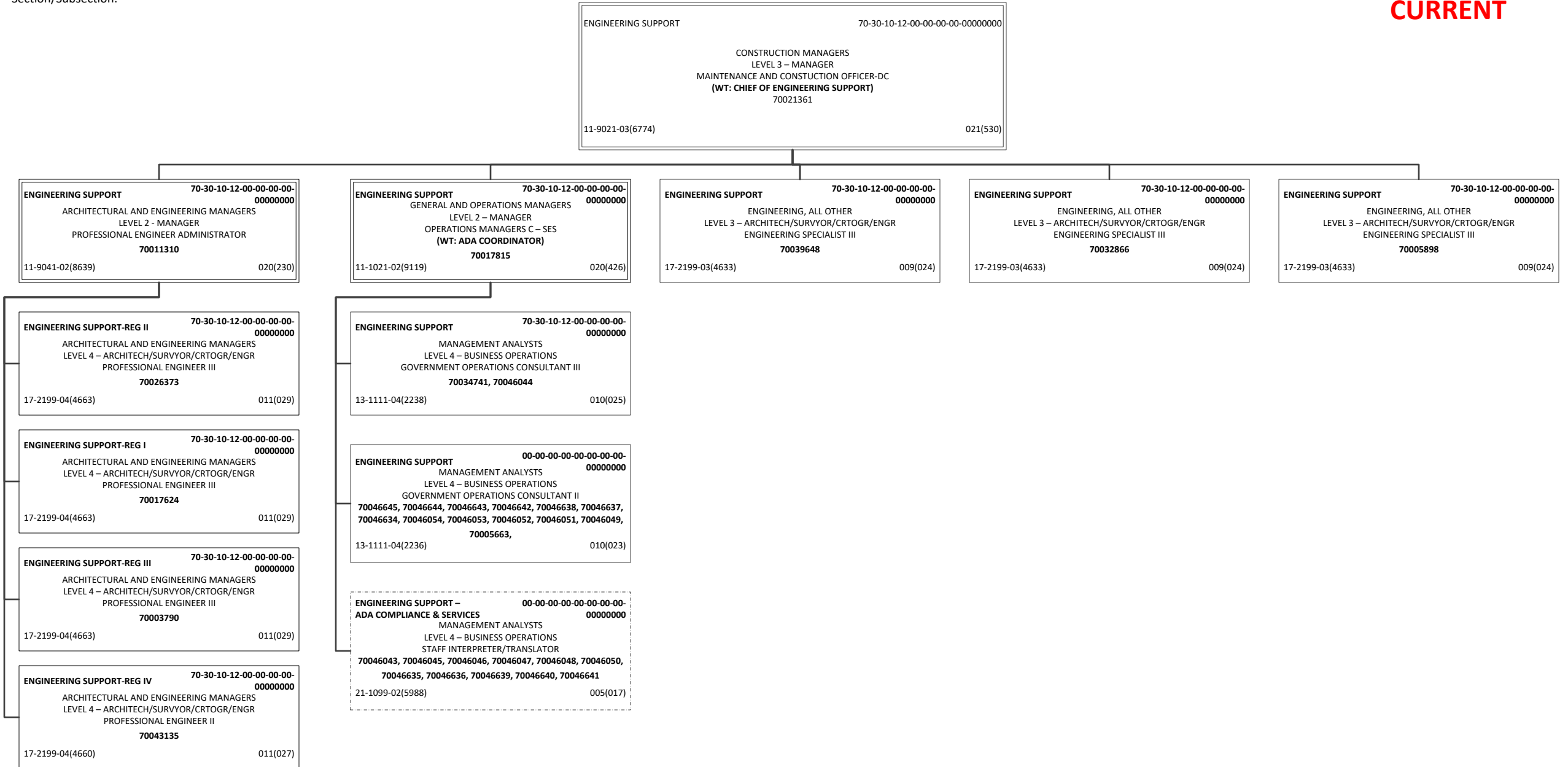
CURRENT



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

ENGINEERING SUPPORT

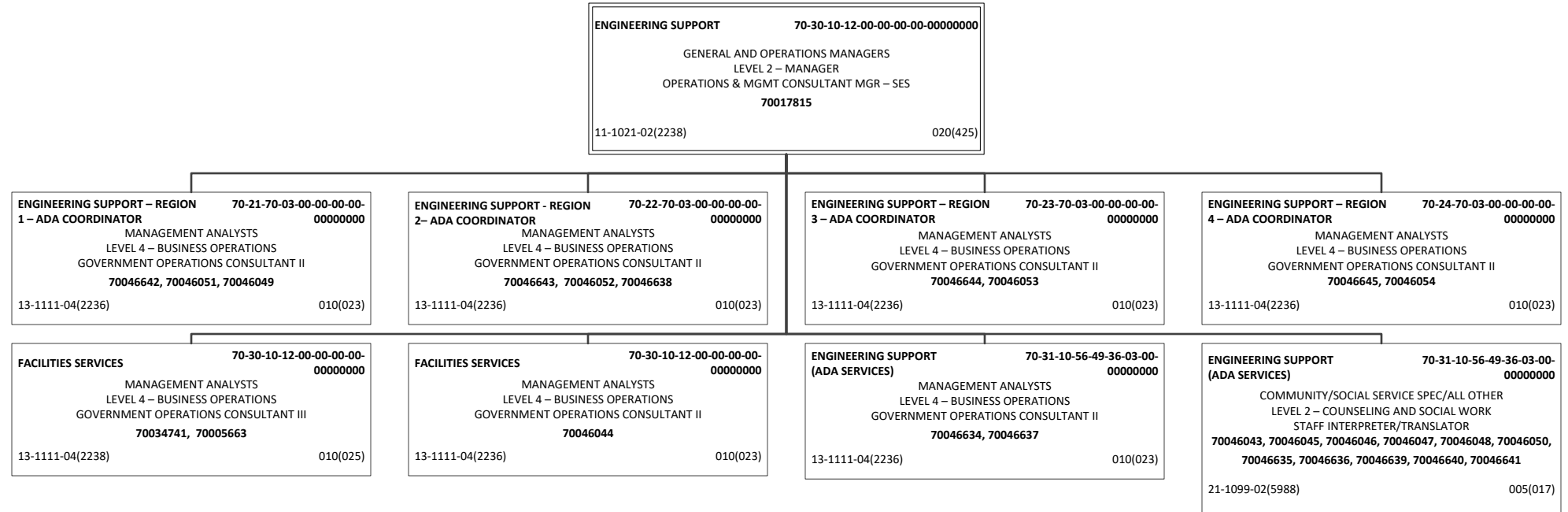
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/FACILITIES MANAGEMENT AND BUILDING CONSTRUCTION
 Bureau/Comparable: ENGINEERING SUPPORT
 Section/Subsection: ADA COMPLIANCE & SERVICES

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

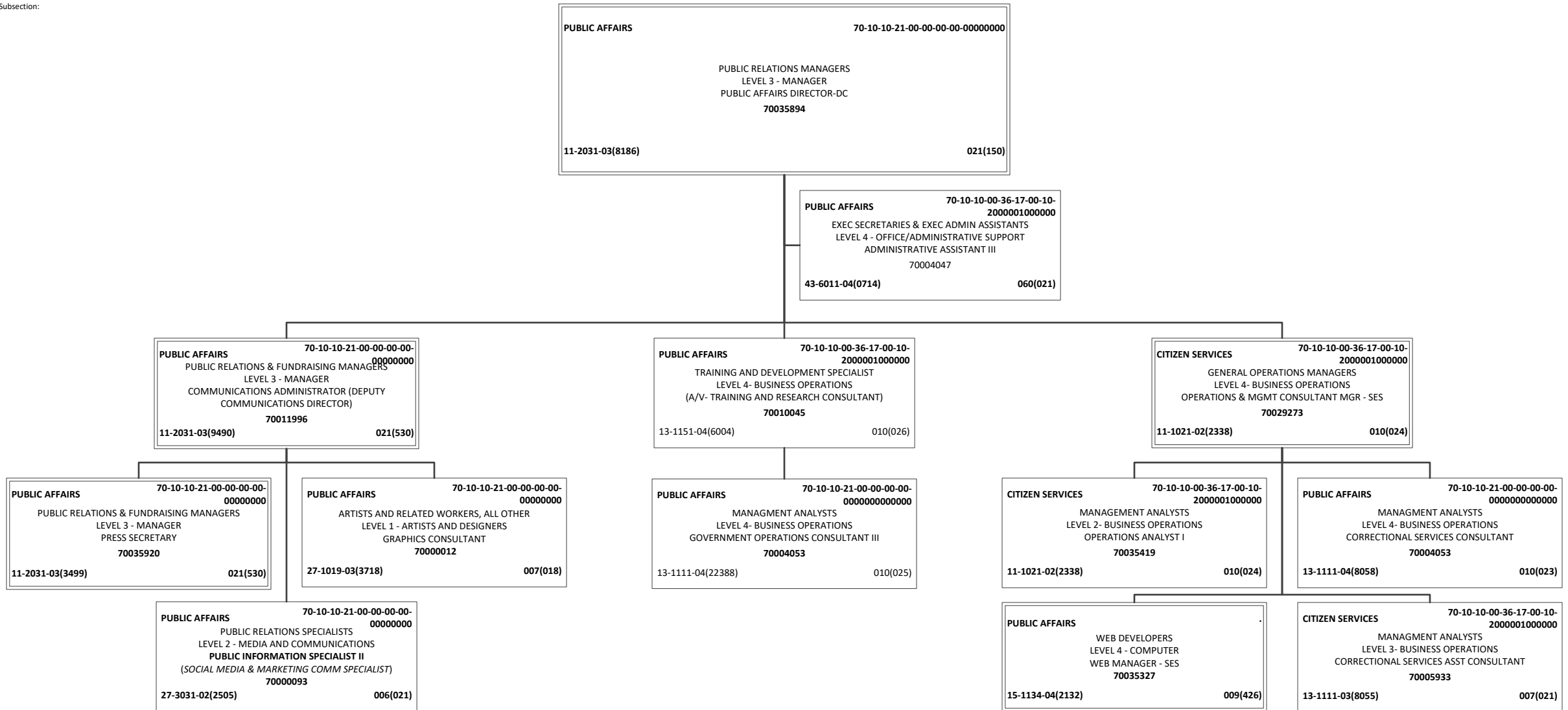
Division/Comparable: CHIEF OF STAFF

Bureau/Comparable: PUBLIC AFFAIRS

Section/Subsection:

PUBLIC AFFAIRS

CURRENT



Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: CHIEF OF STAFF/STRATEGIC INITIATIVES

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

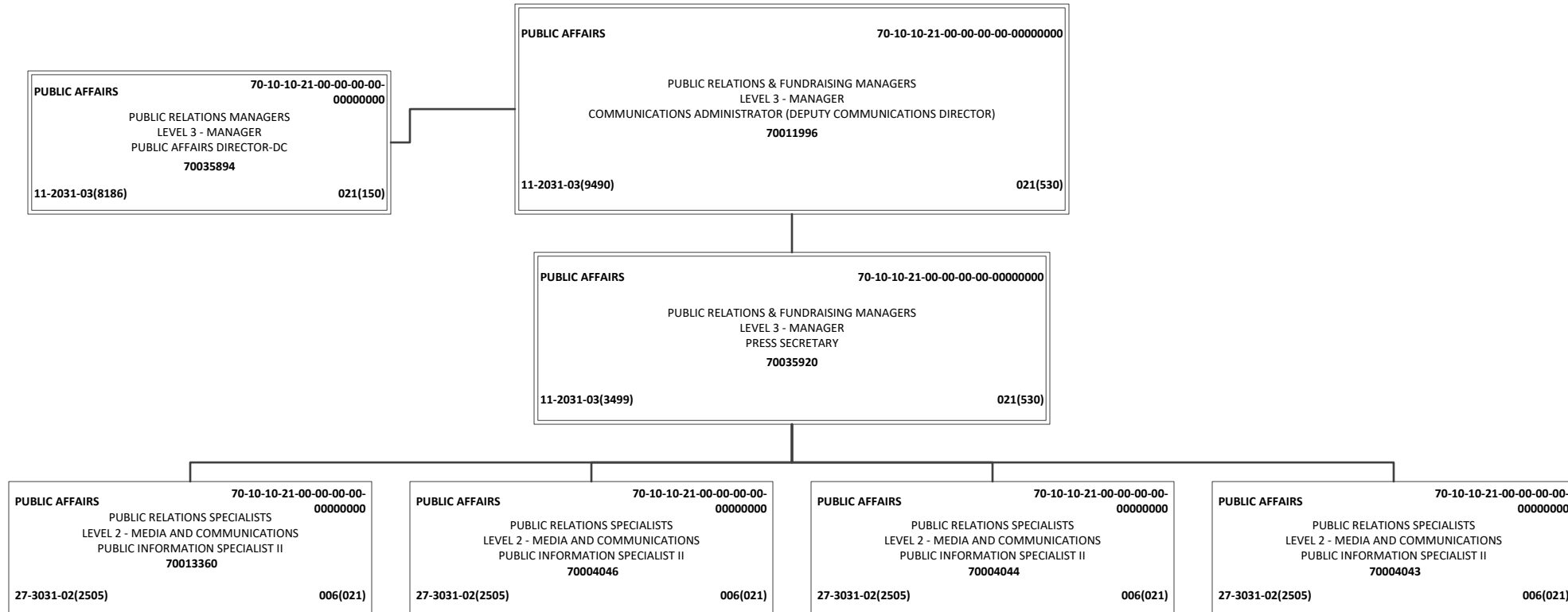
Division/Comparable: CHIEF OF STAFF

Bureau/Comparable: PUBLIC AFFAIRS

Section/Subsection:

PUBLIC AFFAIRS (Comm Team)

CURRENT



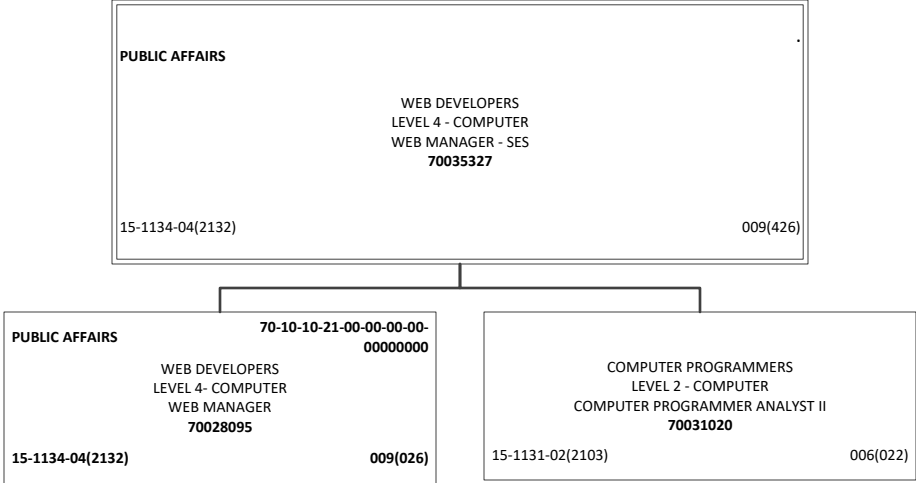
PUBLIC AFFAIRS (WEB TEAM)

Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: CHIEF OF STAFF
Bureau/Comparable: PUBLIC AFFAIRS

Section/Subsection:

CURRENT



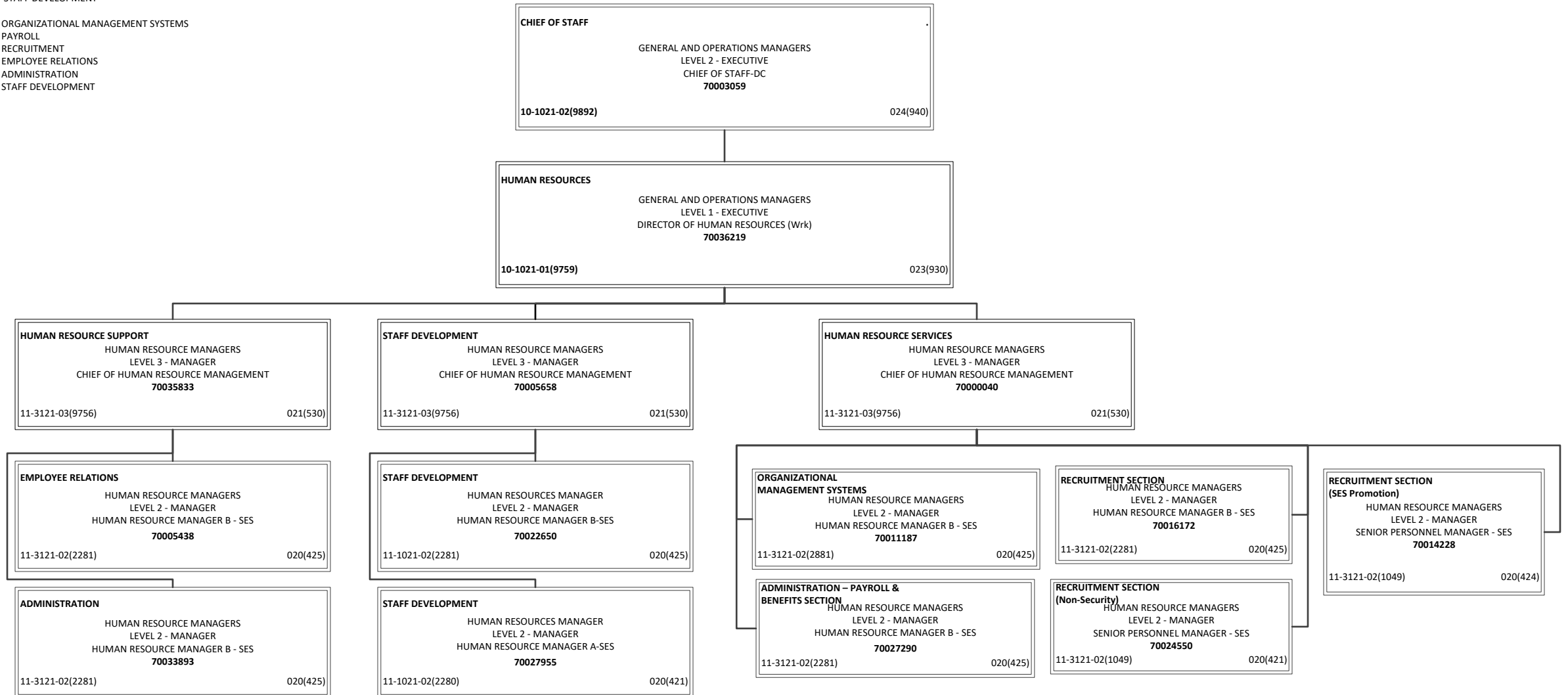
HR - Overview

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

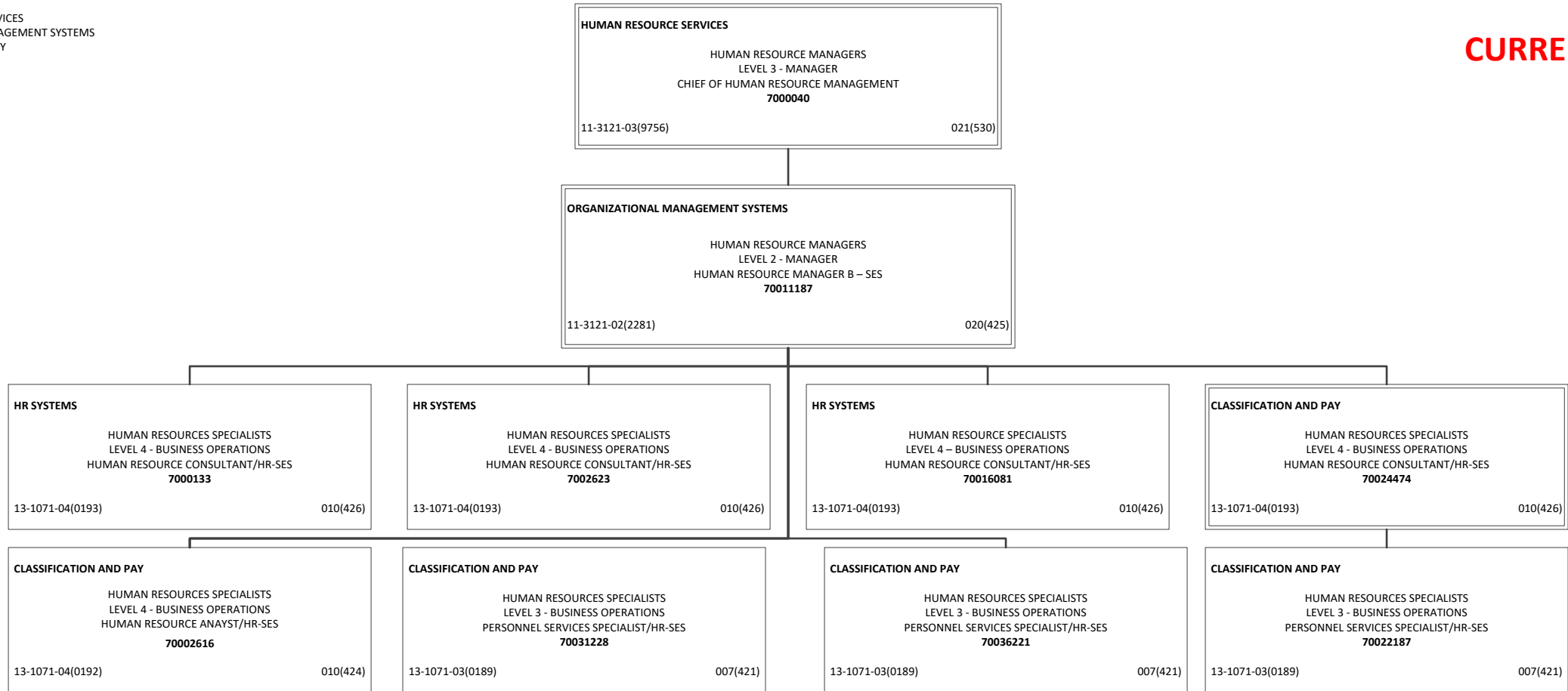


Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES

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

HR-ORG Mgt Systems

CURRENT

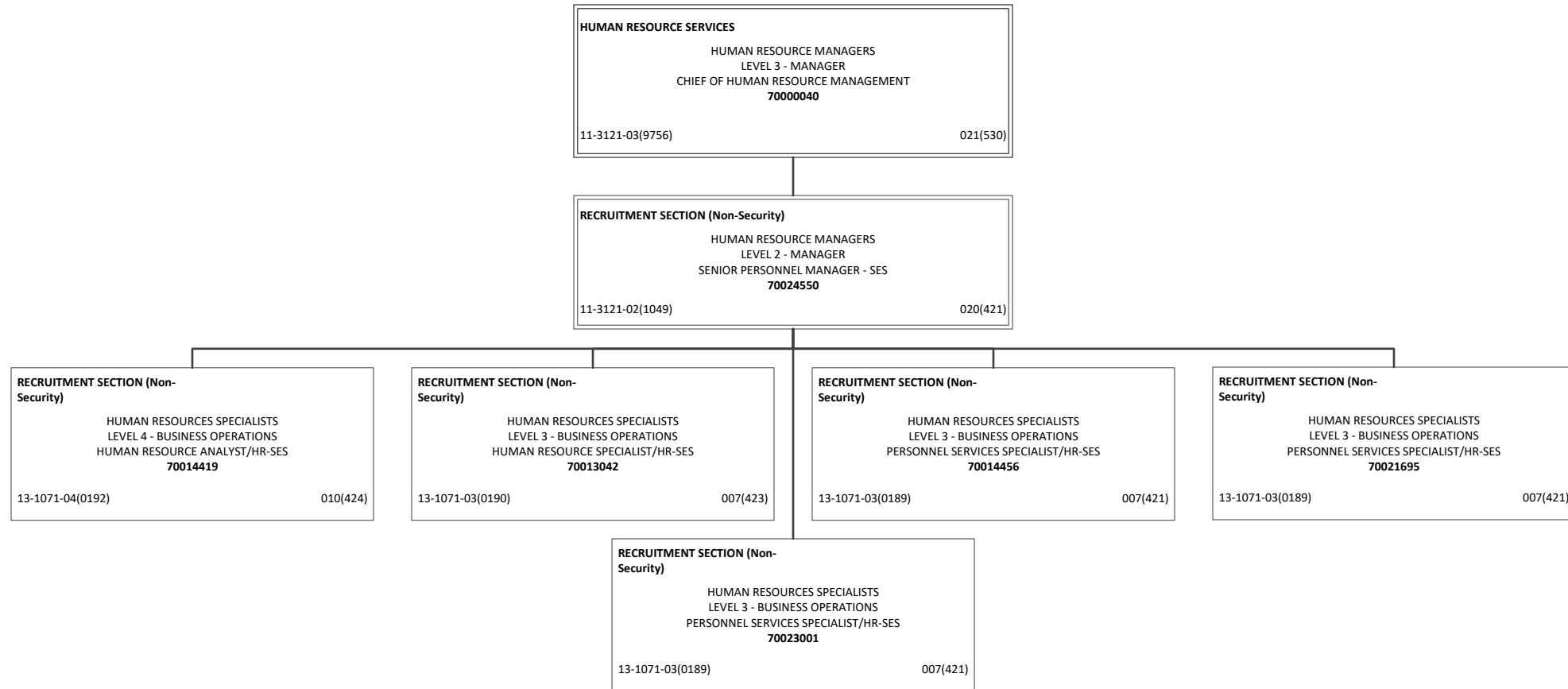


Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES

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

HR - Recruitment (NS)

CURRENT

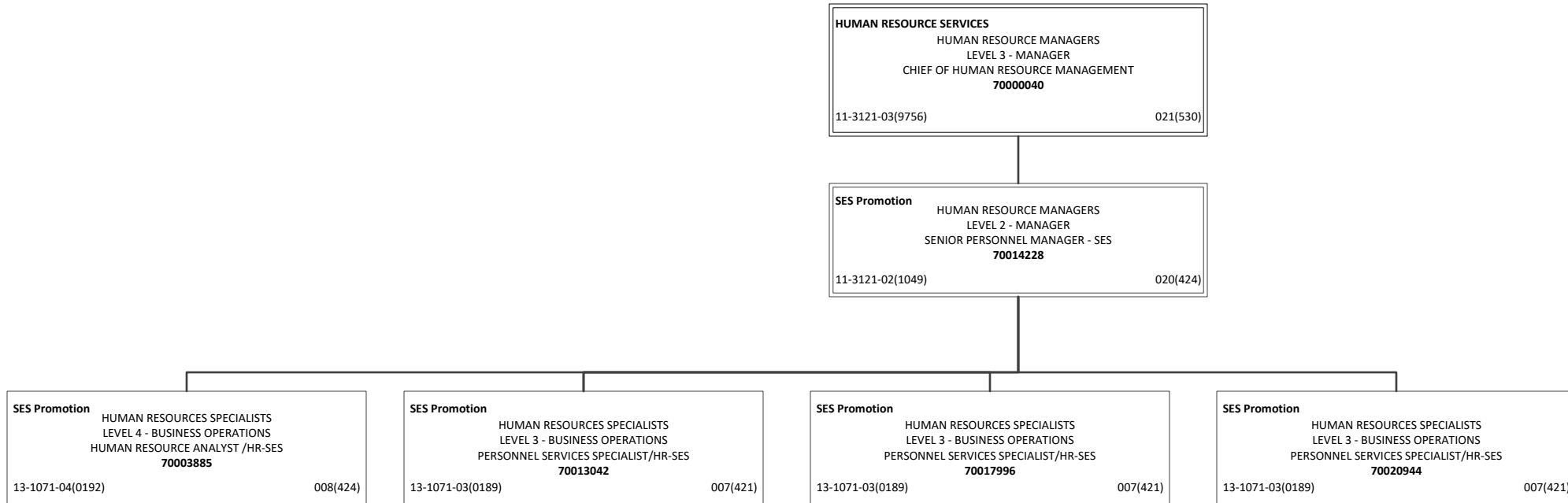


SES PROMOTION

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)

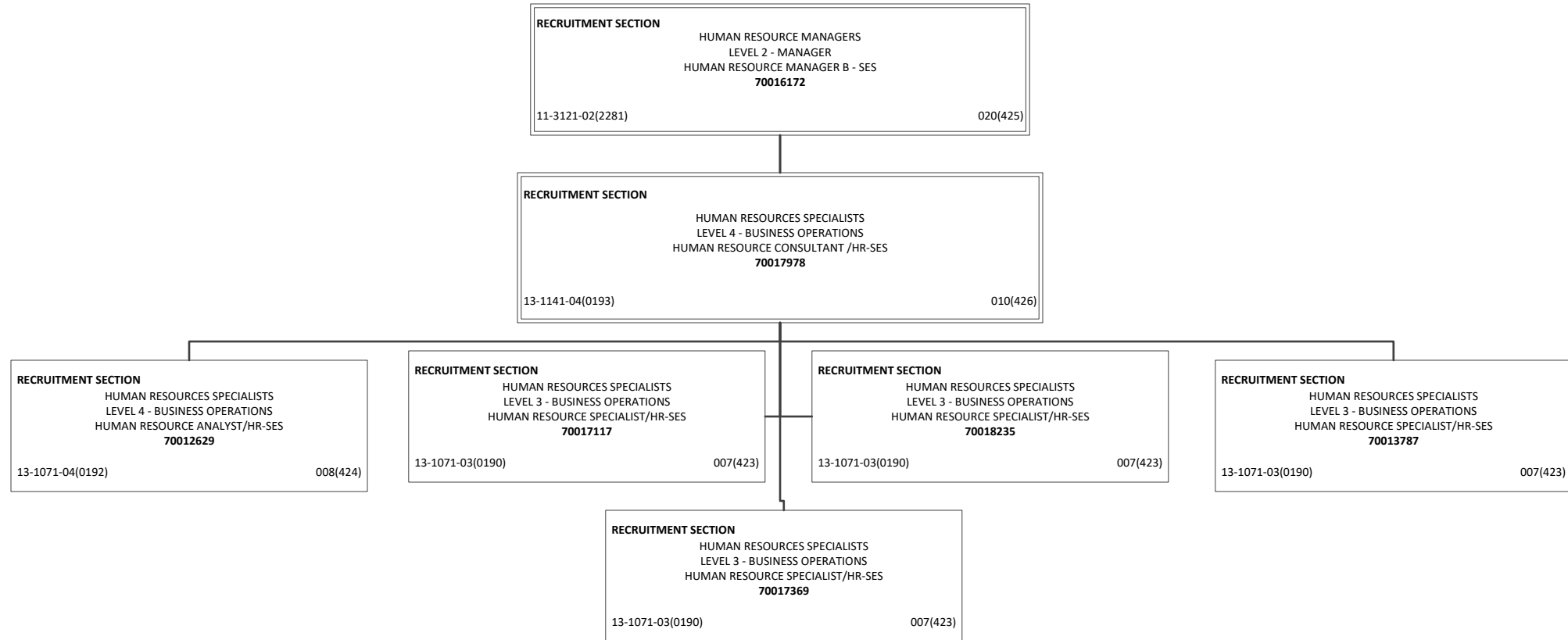
HR - Recruitment

CURRENT



HR - Recruitment (17978)

CURRENT

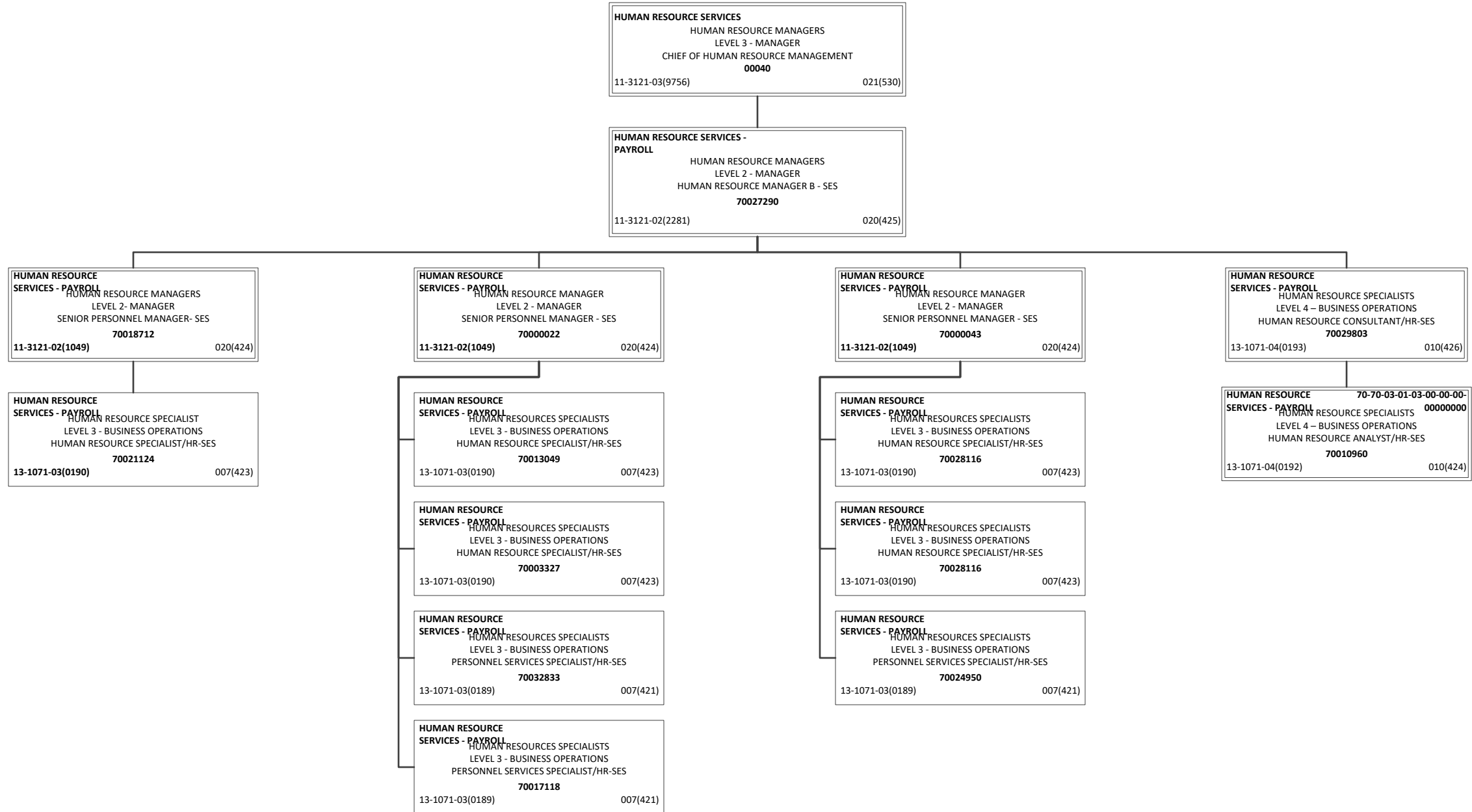


Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES

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

HR-PAYROLL

CURRENT

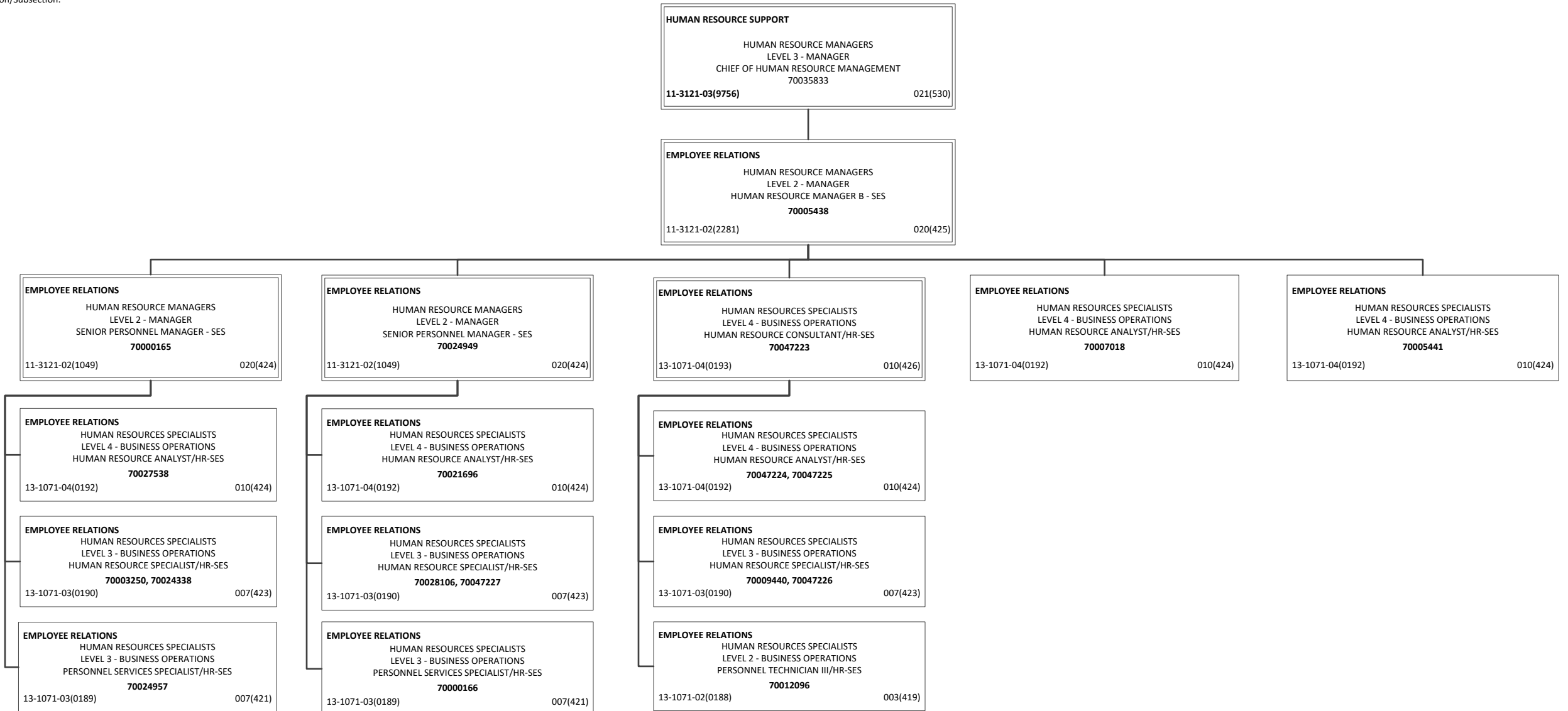


Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES

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

HR - LR ER

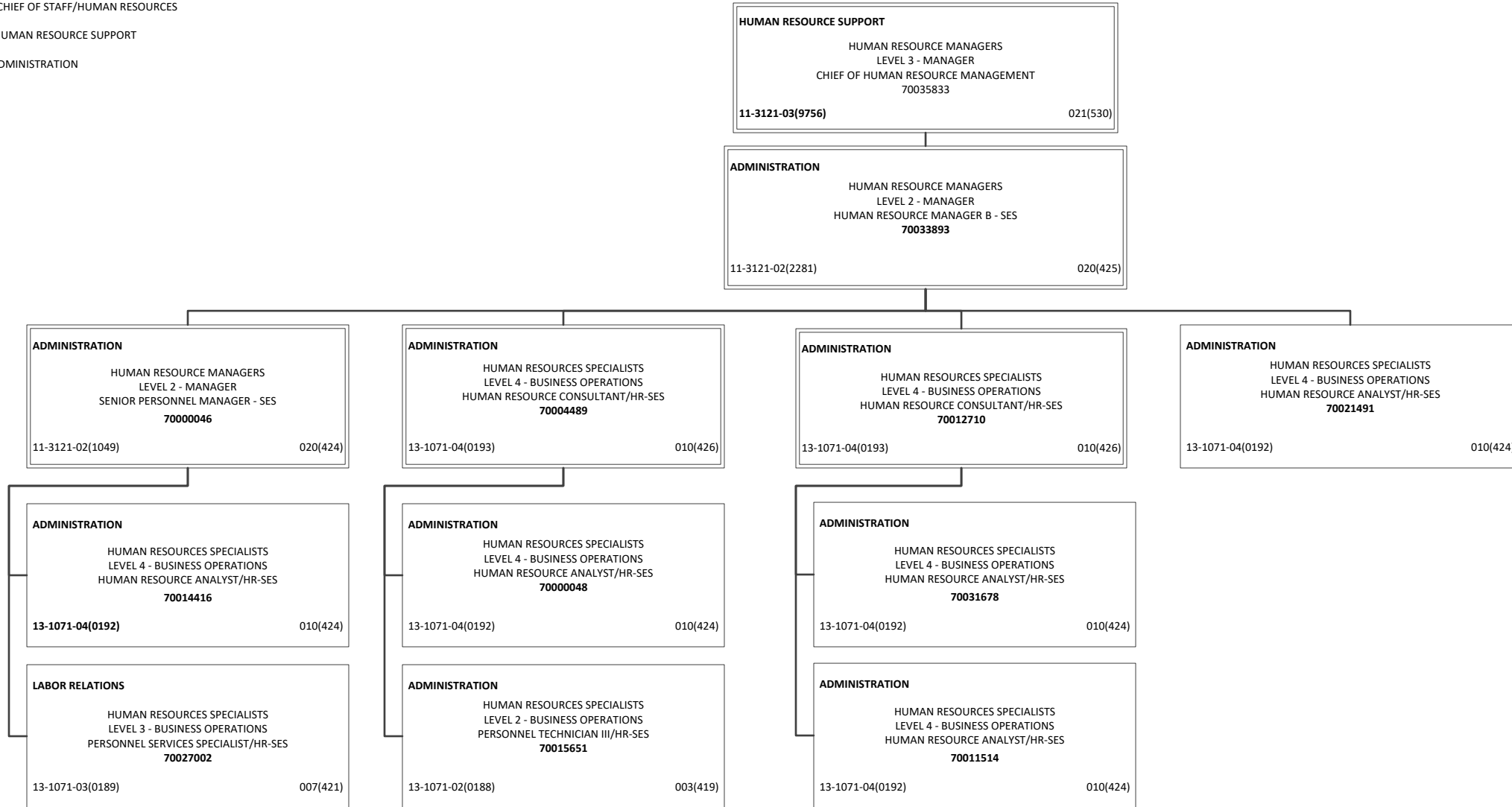
CURRENT



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

HR-ADMIN

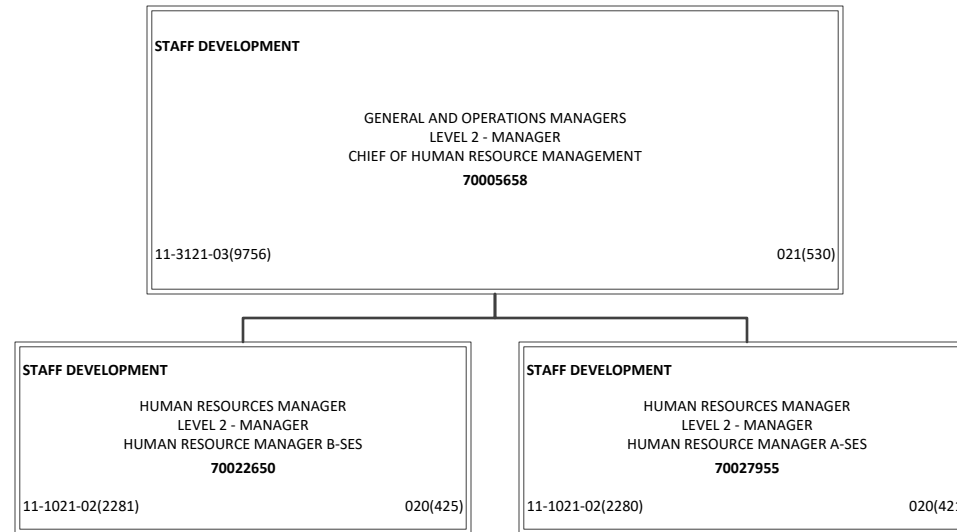
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Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES
Bureau/Comparable: STAFF DEVELOPMENT
Section/Subsection:

STAFF DEVELOPMENT (05658)

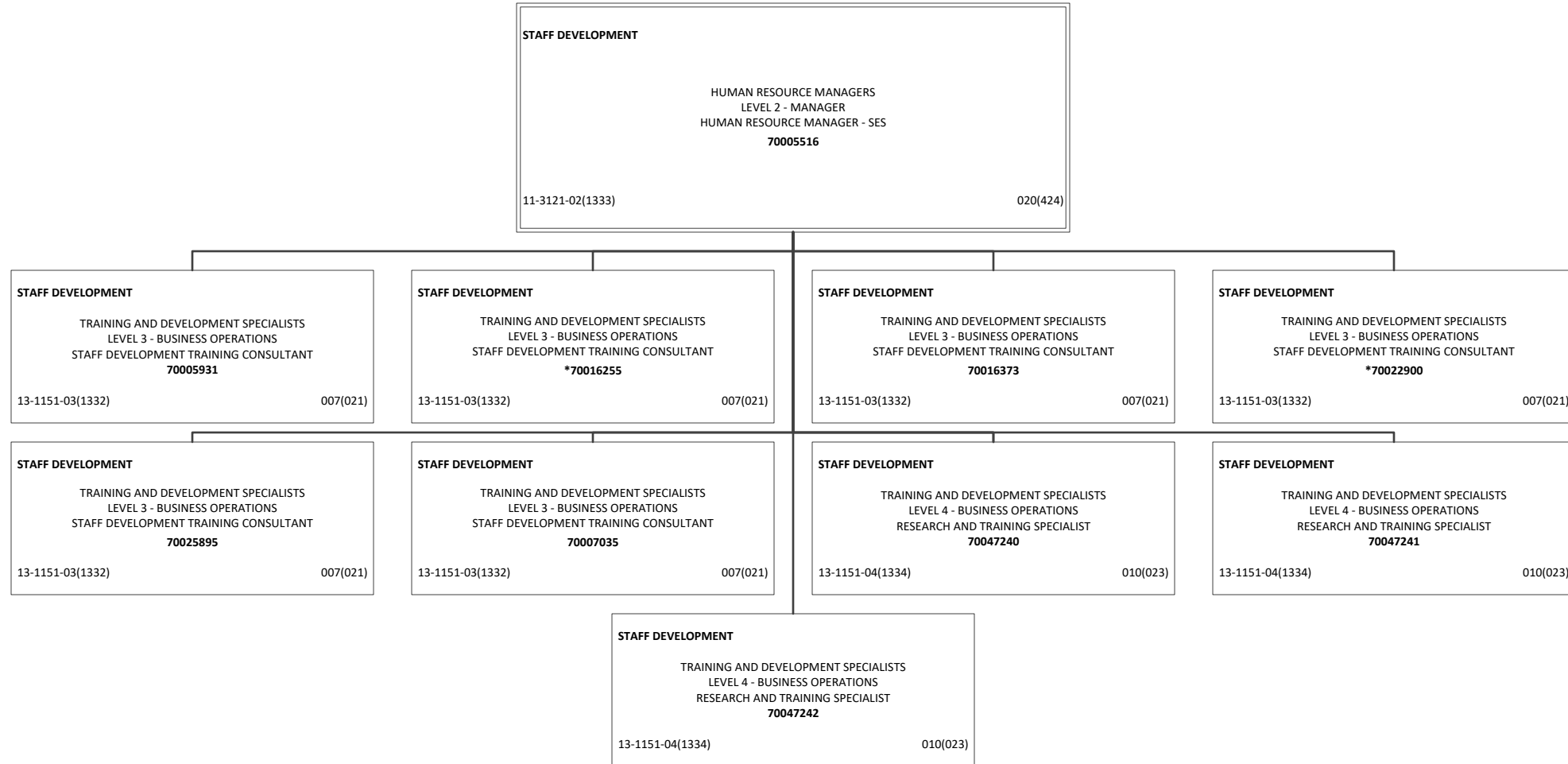
CURRENT



SD (HR MANAGER B-SES 22650)

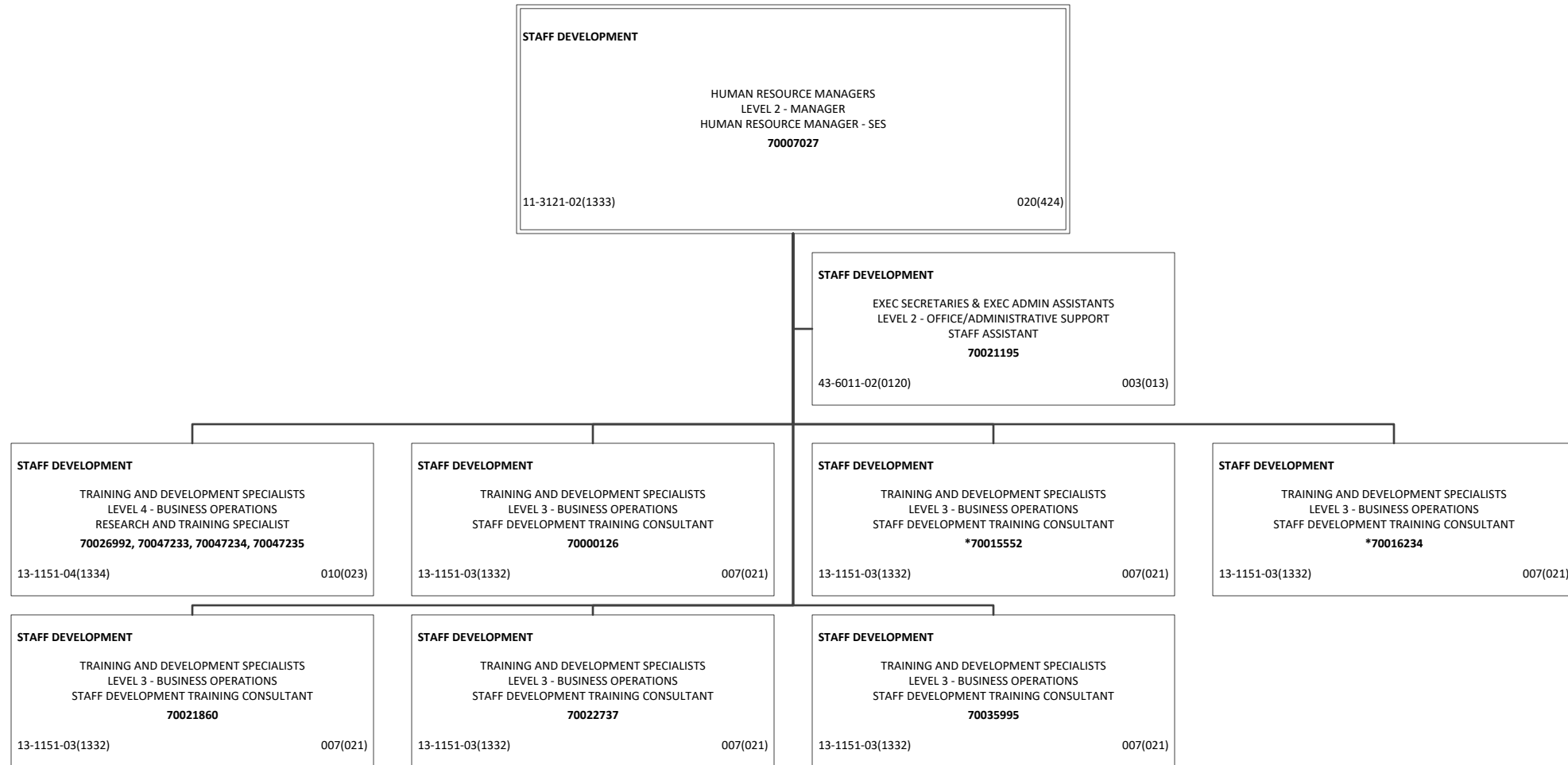
CURRENT





SD (HR MANAGER-SES 07027)

CURRENT



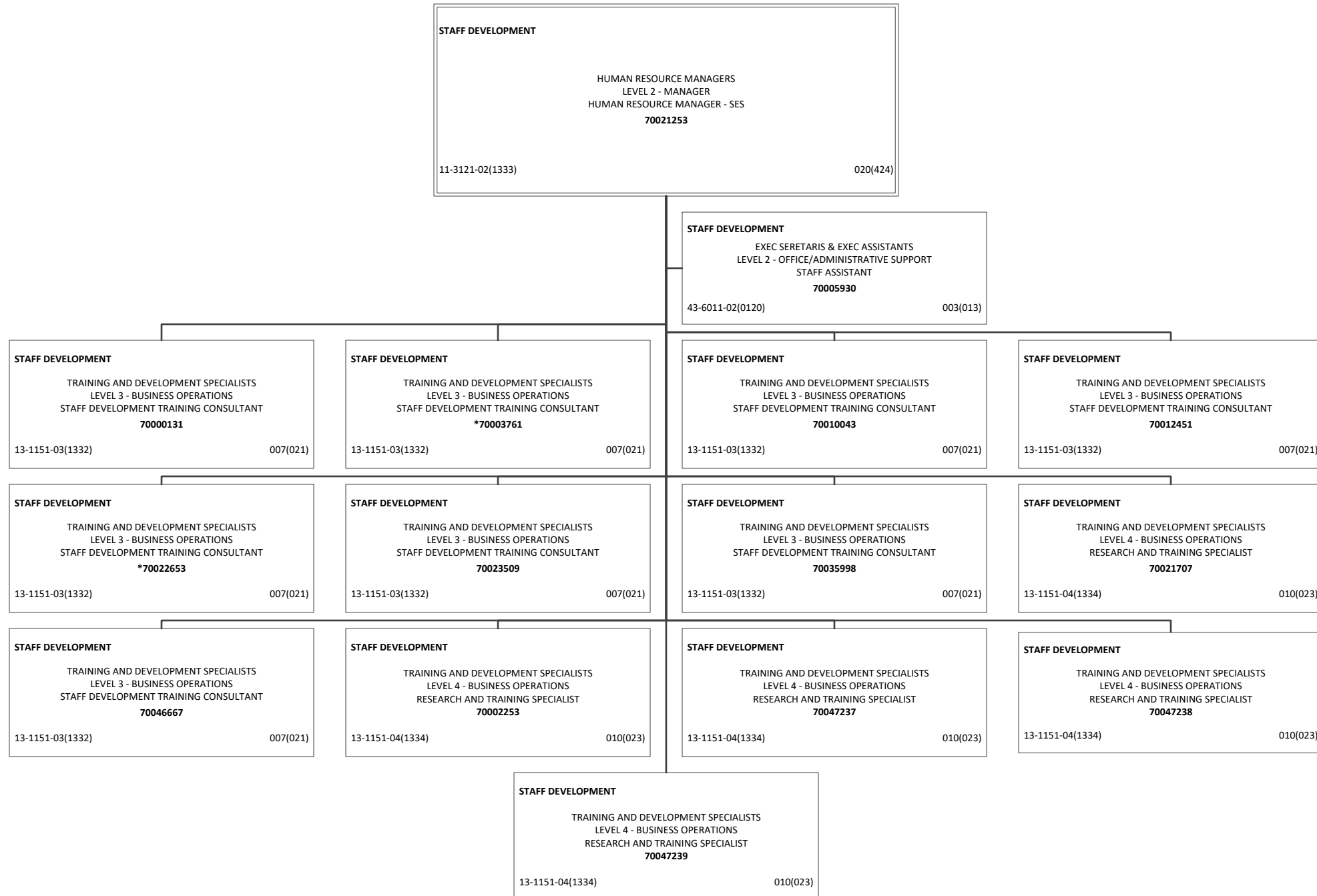
SD (HR MANAGER-SES 21028)

CURRENT



SD (HR MANAGER-SES 21253)

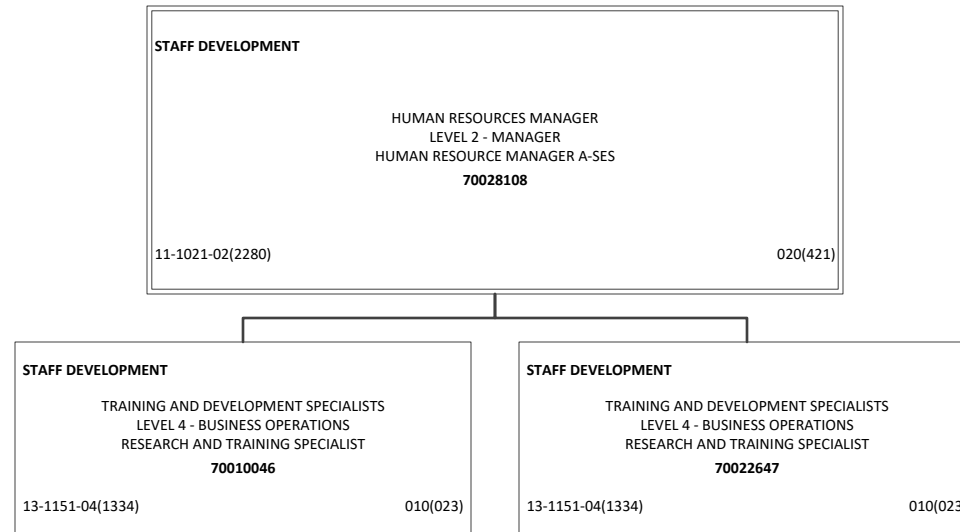
CURRENT



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

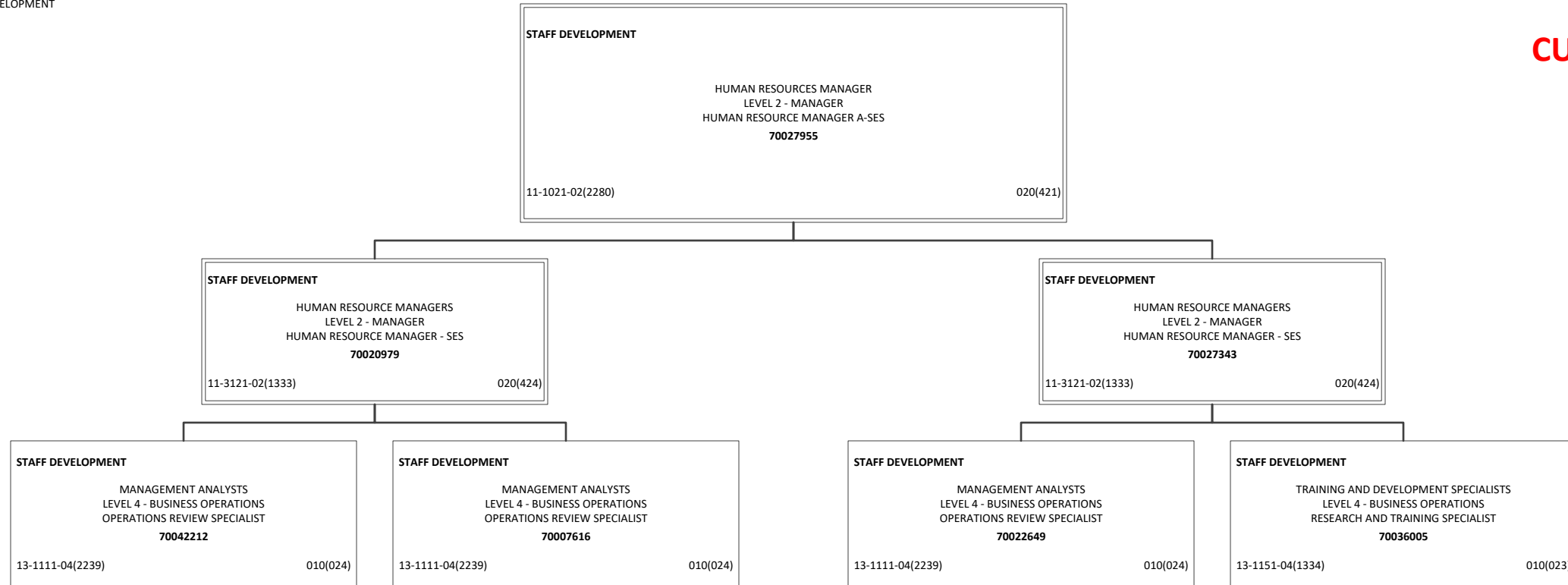
SD (HR MANAGER-SES 28108)

CURRENT



SD (HR MANAGER B-SES 27955)

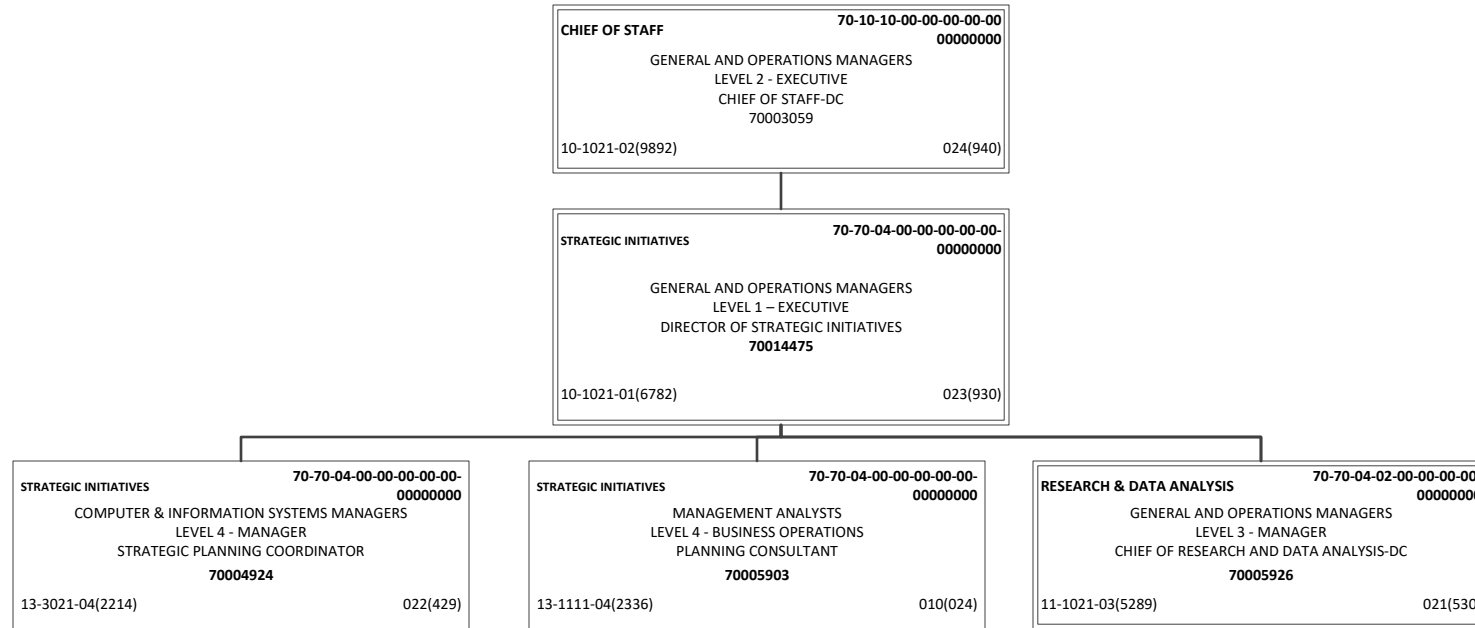
CURRENT



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



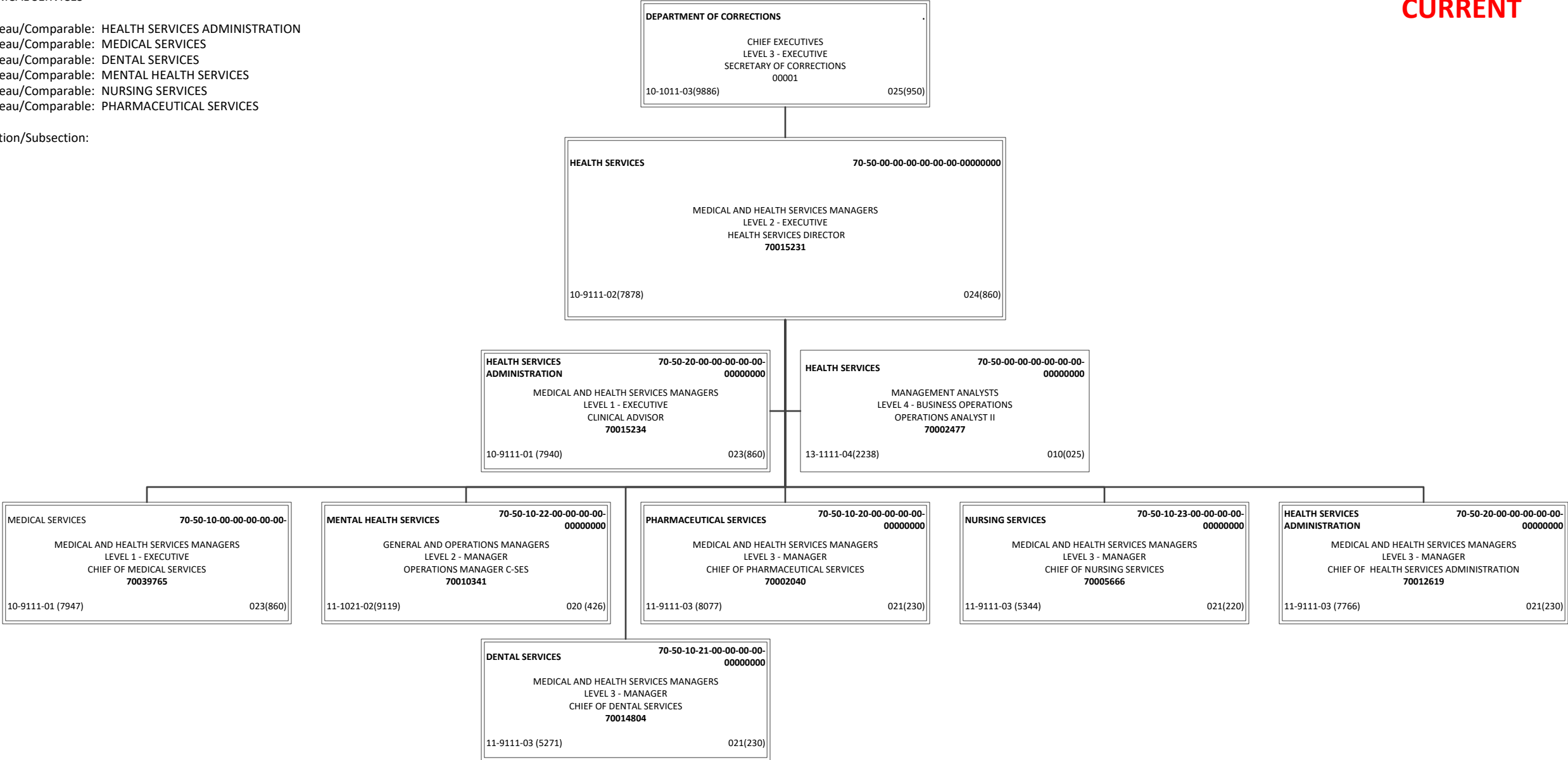
OVERVIEW

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:

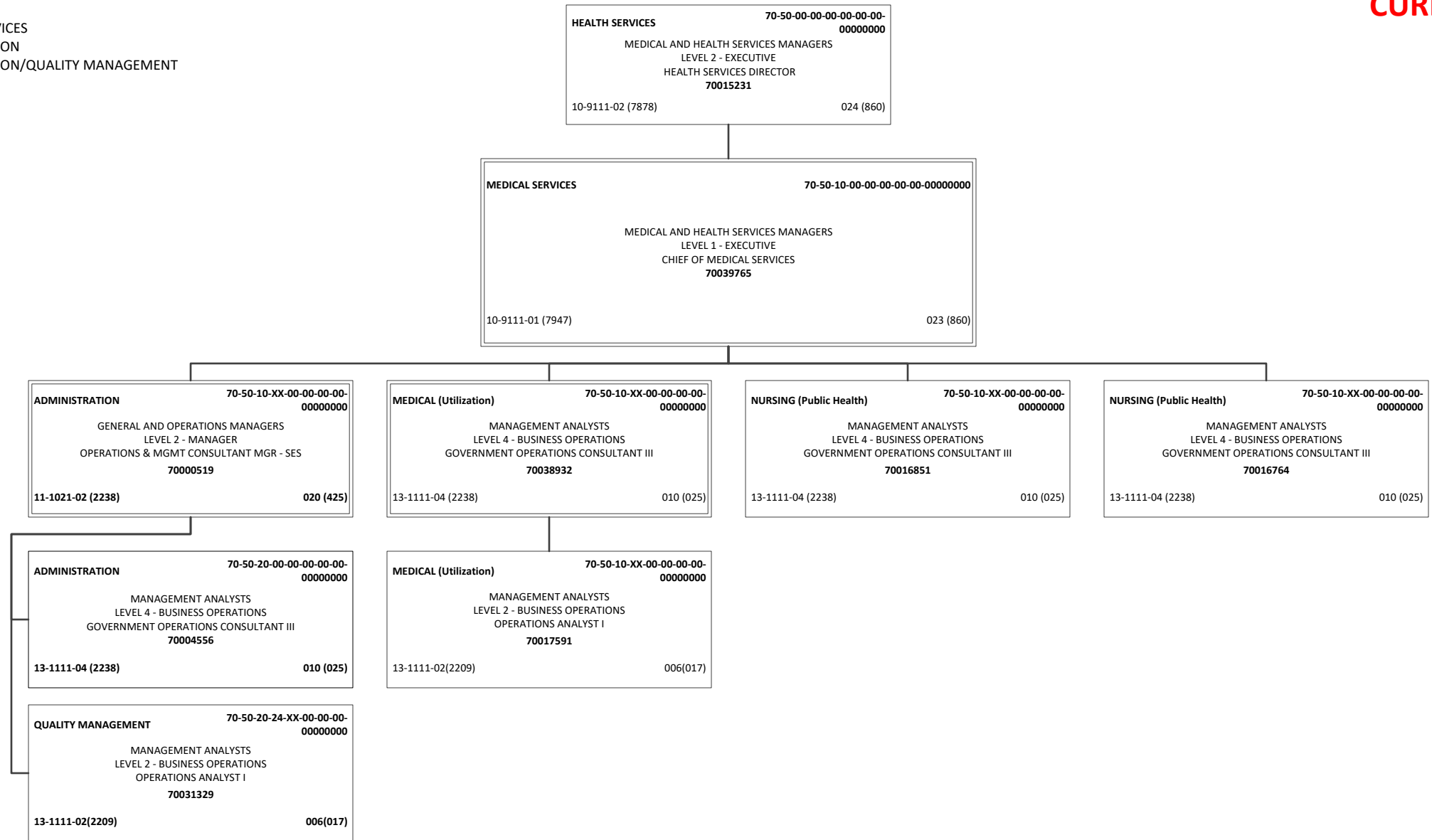


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: MEDICAL SERVICES

MEDICAL SERVICES (39765)

CURRENT

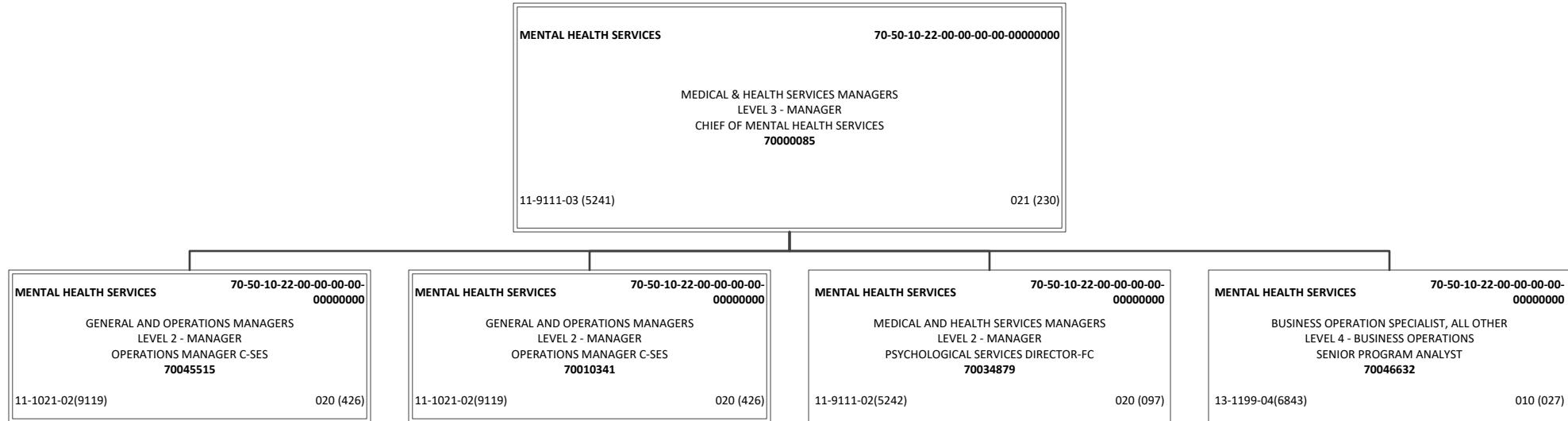
Section/Subsection: MEDICAL
 Section/Subsection: NURSING SERVICES
 Section/Subsection: ADMINISTRATION
 Section/Subsection: ADMINISTRATION/QUALITY MANAGEMENT



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)

CURRENT

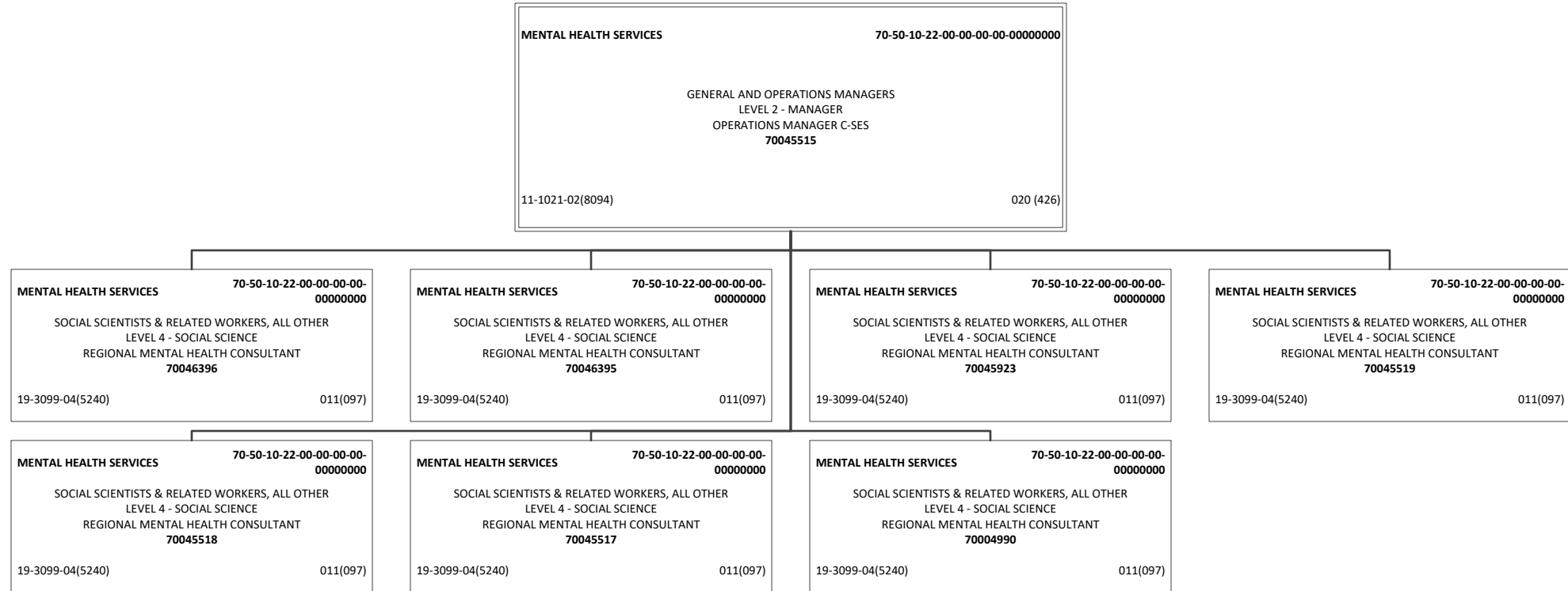


Position (#34879) Government Analyst II, Psychological Services Director-FC
 Position (#46632) Government Analyst II, reclassification to Senior Program Analyst.

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)

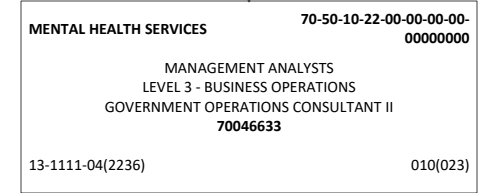
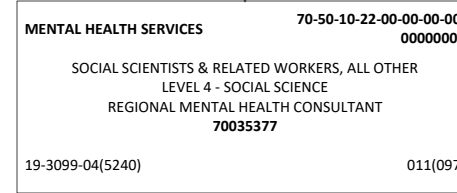
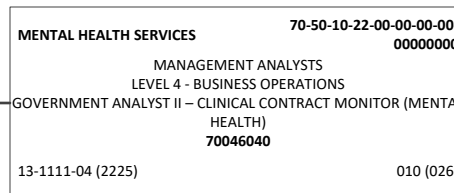
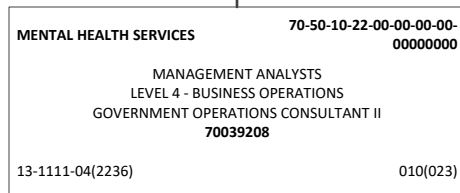
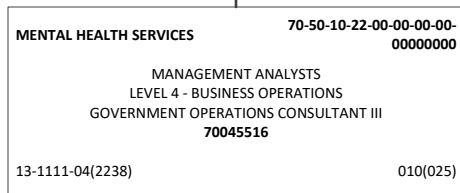
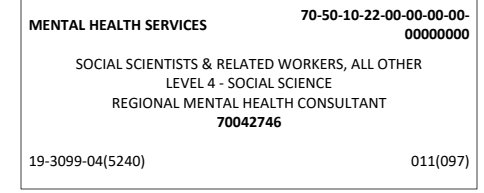
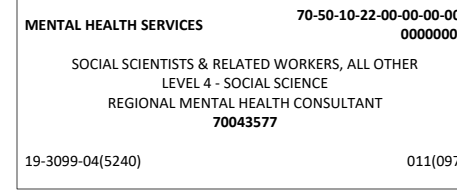
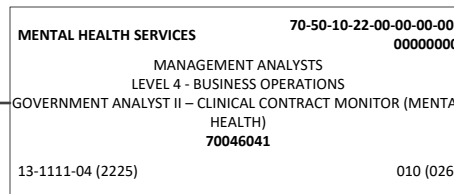
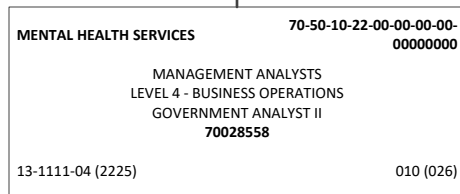
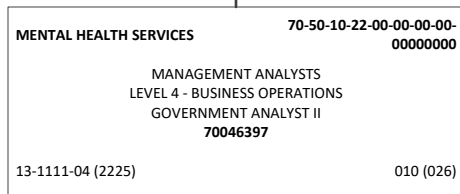
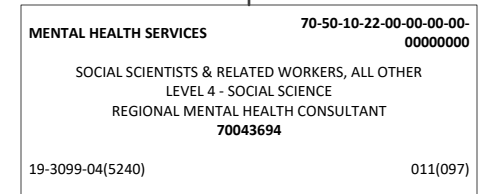
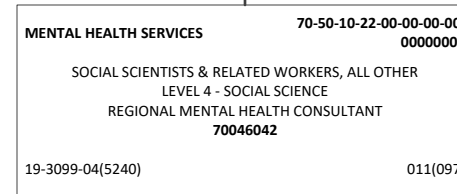
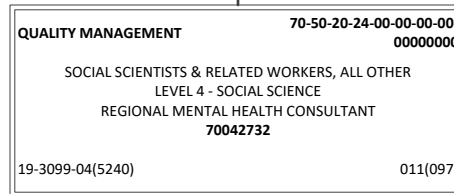
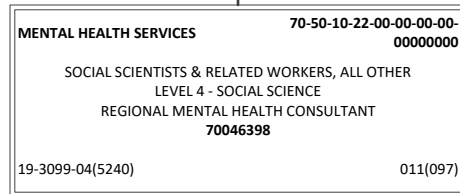
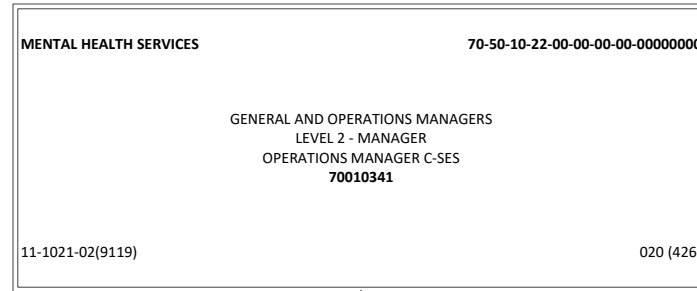
CURRENT



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

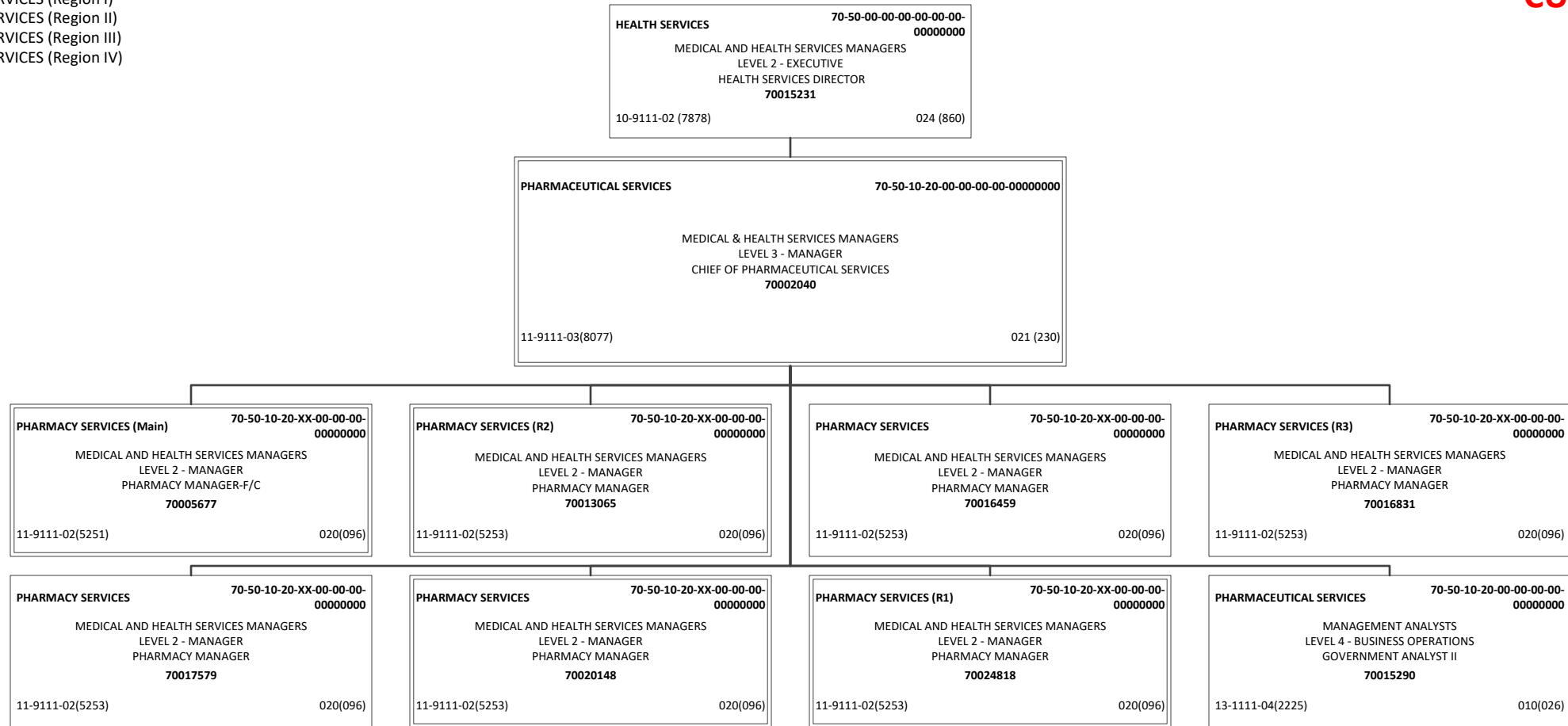


PHARMACEUTICAL SERVICES (02040)

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

CURRENT

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

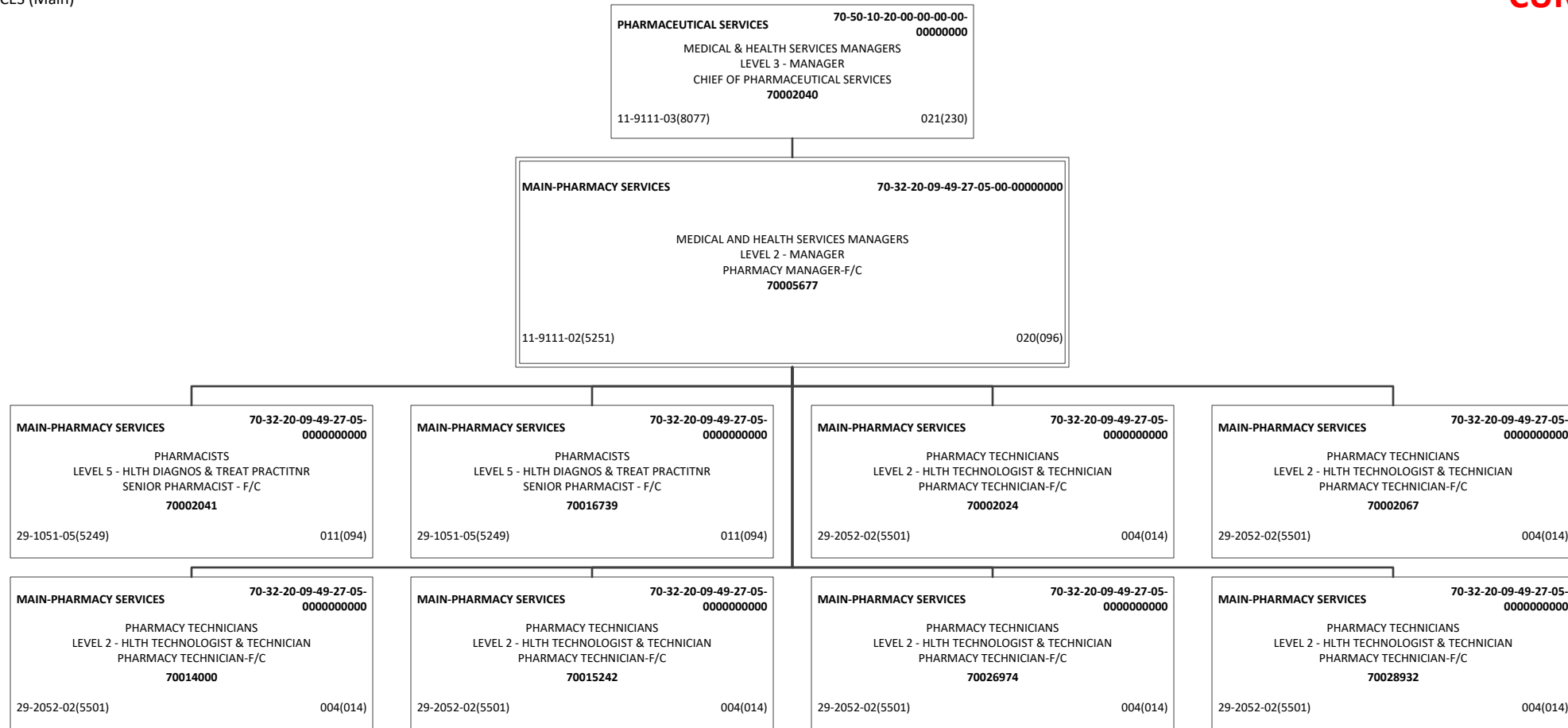


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: PHARMACEUTICAL SERVICES

PHARMACY SERVICES (Main - 05677)

Section/Subsection: PHARMACY SERVICES (Main)

CURRENT

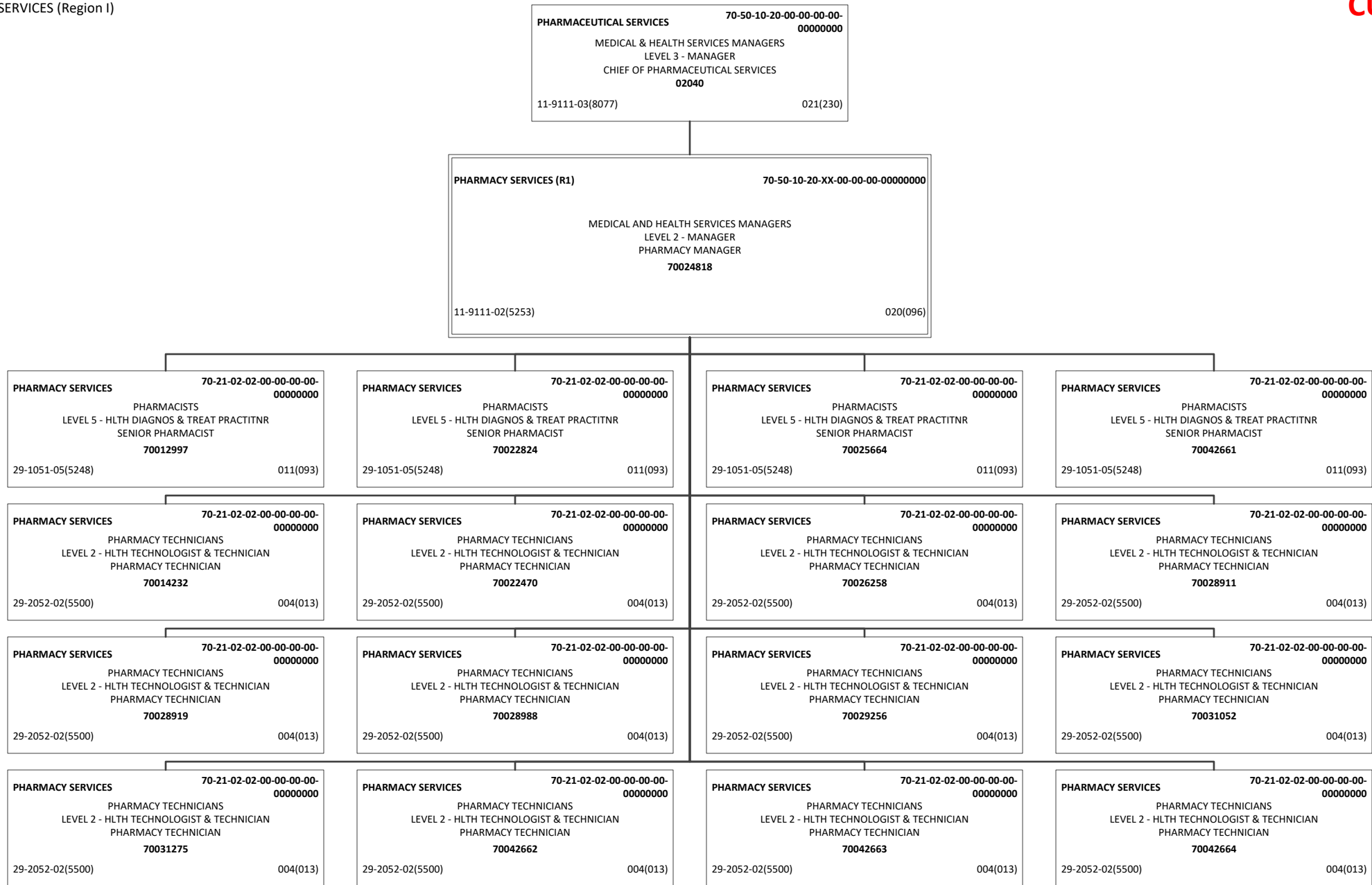


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: PHARMACEUTICAL SERVICES

PHARMACY SERVICES (R1 - 24818)

CURRENT

Section/Subsection: PHARMACY SERVICES (Region I)

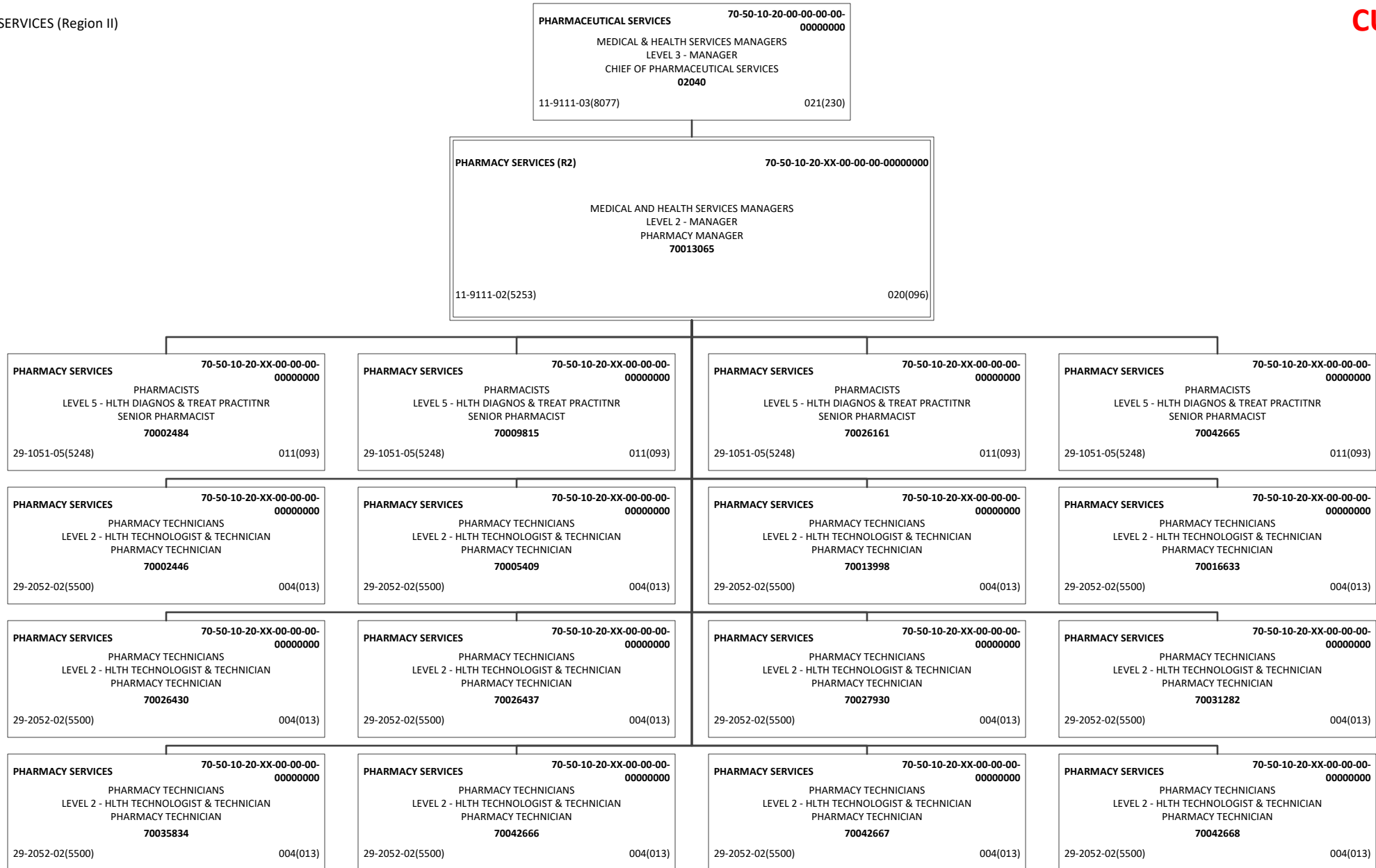


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: PHARMACEUTICAL SERVICES

PHARMACY SERVICES (R2 - 13065)

Section/Subsection: PHARMACY SERVICES (Region II)

CURRENT

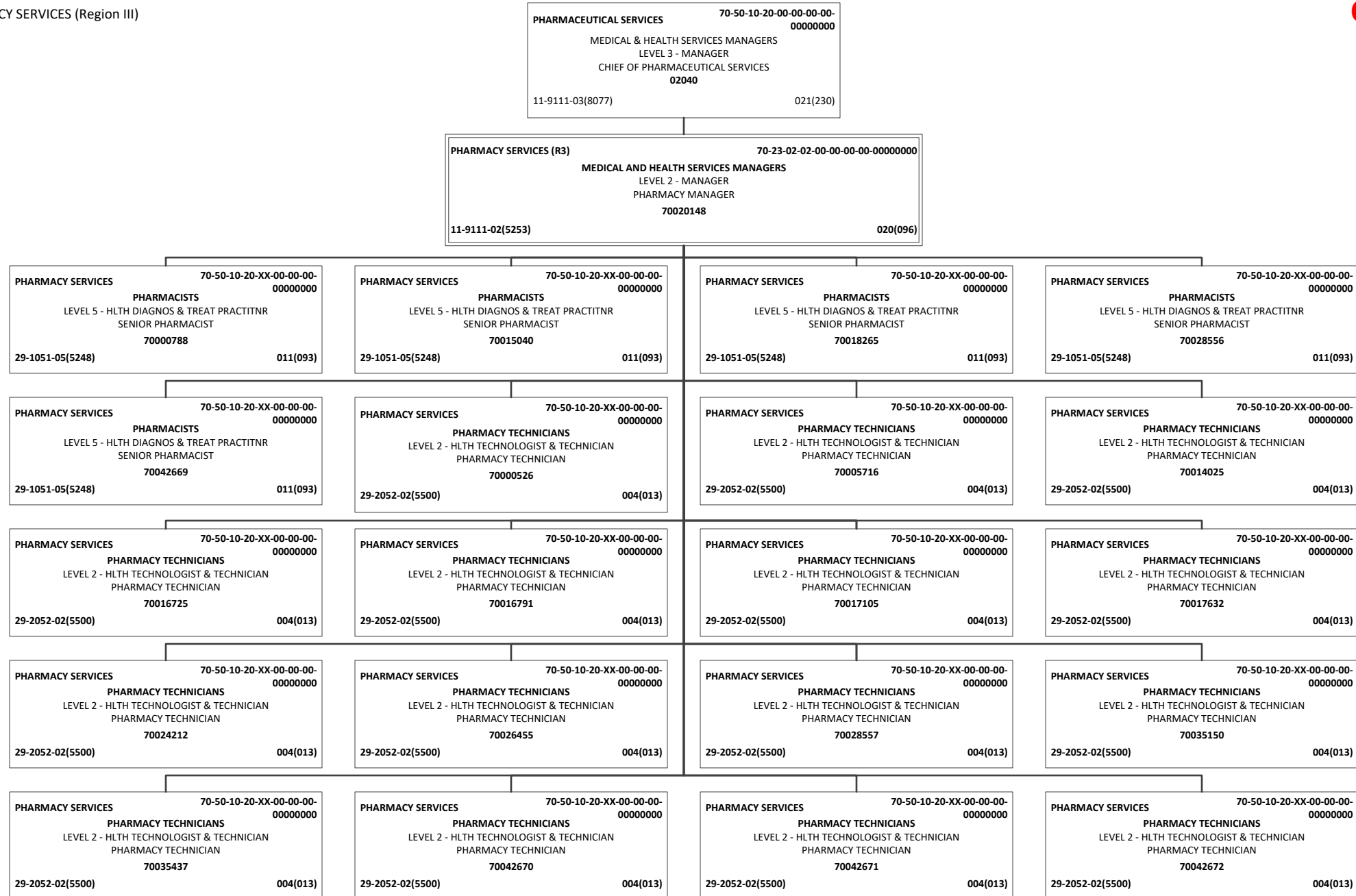


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: PHARMACEUTICAL SERVICES

PHARMACY SERVICES (R3 - 20148)

Section/Subsection: PHARMACY SERVICES (Region III)

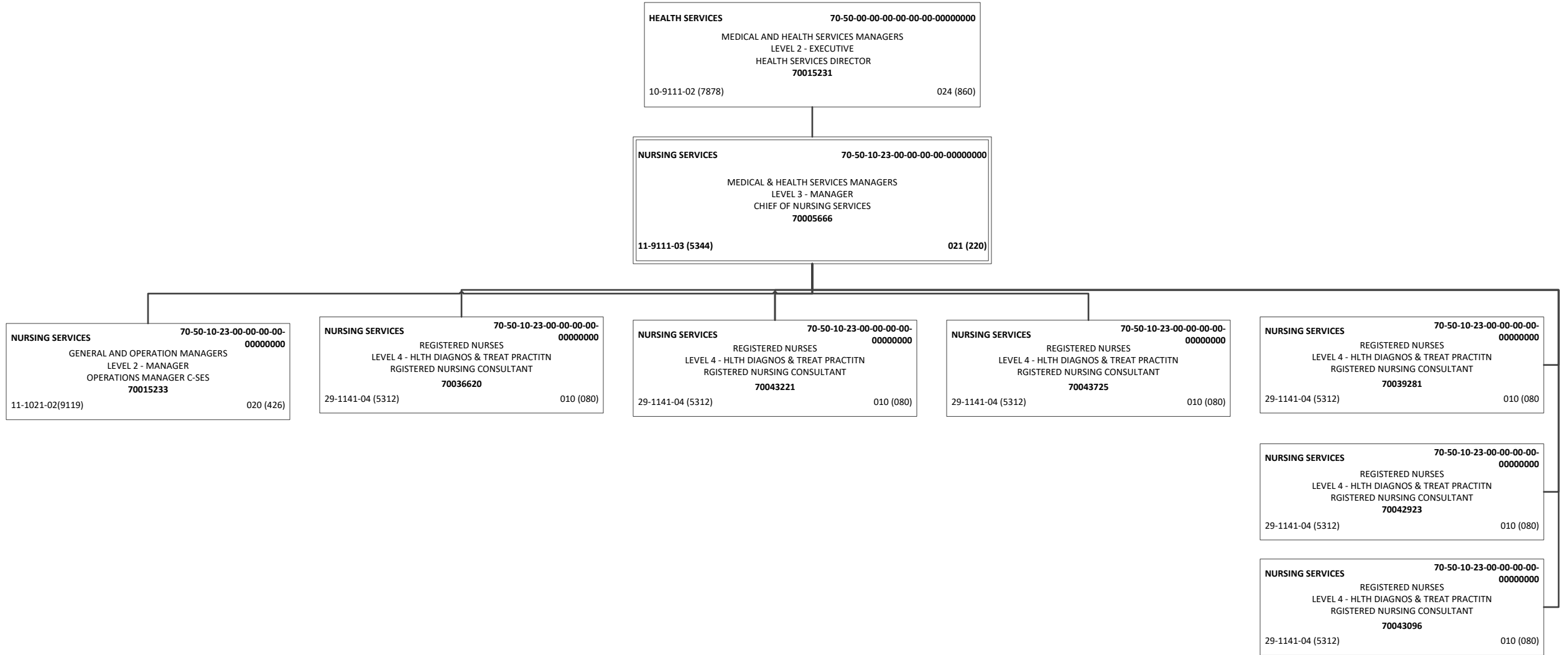
CURRENT



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

NURSING SERVICES (05666)

CURRENT

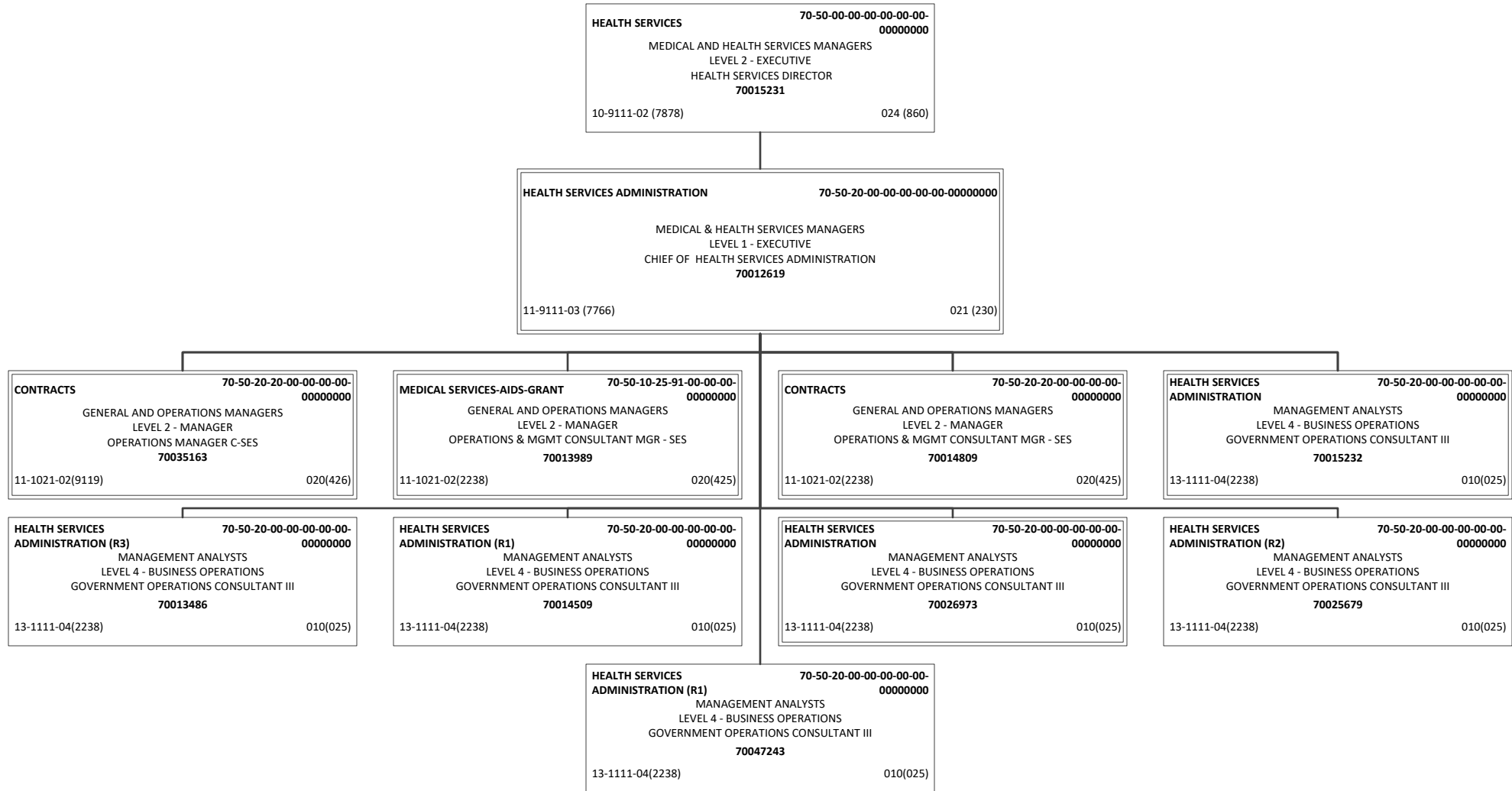


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: HEALTH SERVICES ADMINISTRATION

HEALTH SERVICE ADMINISTRATION (12619)

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

CURRENT

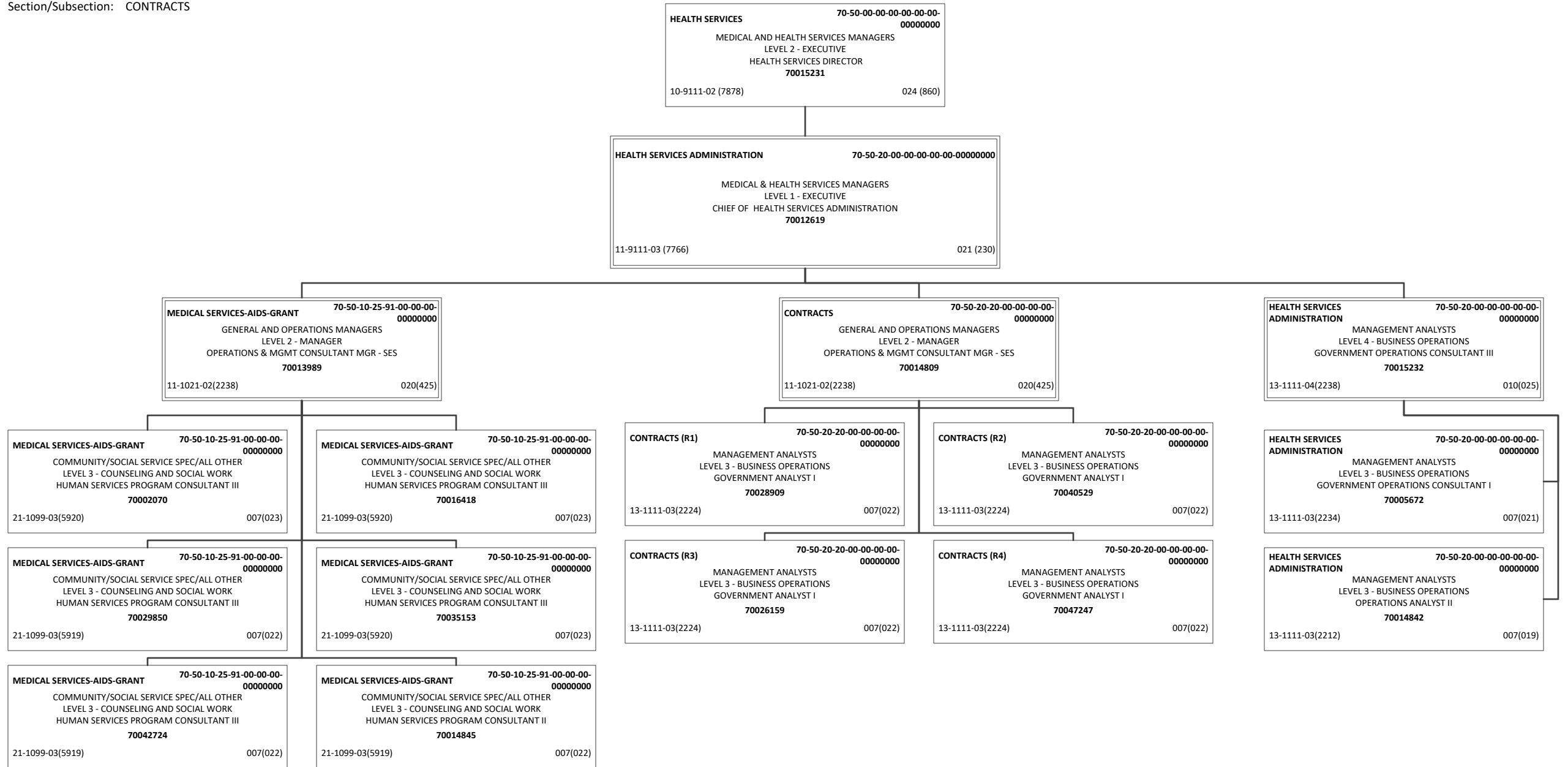


HEALTH SERVICE ADMINISTRATION CONT. (12619)

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

CURRENT

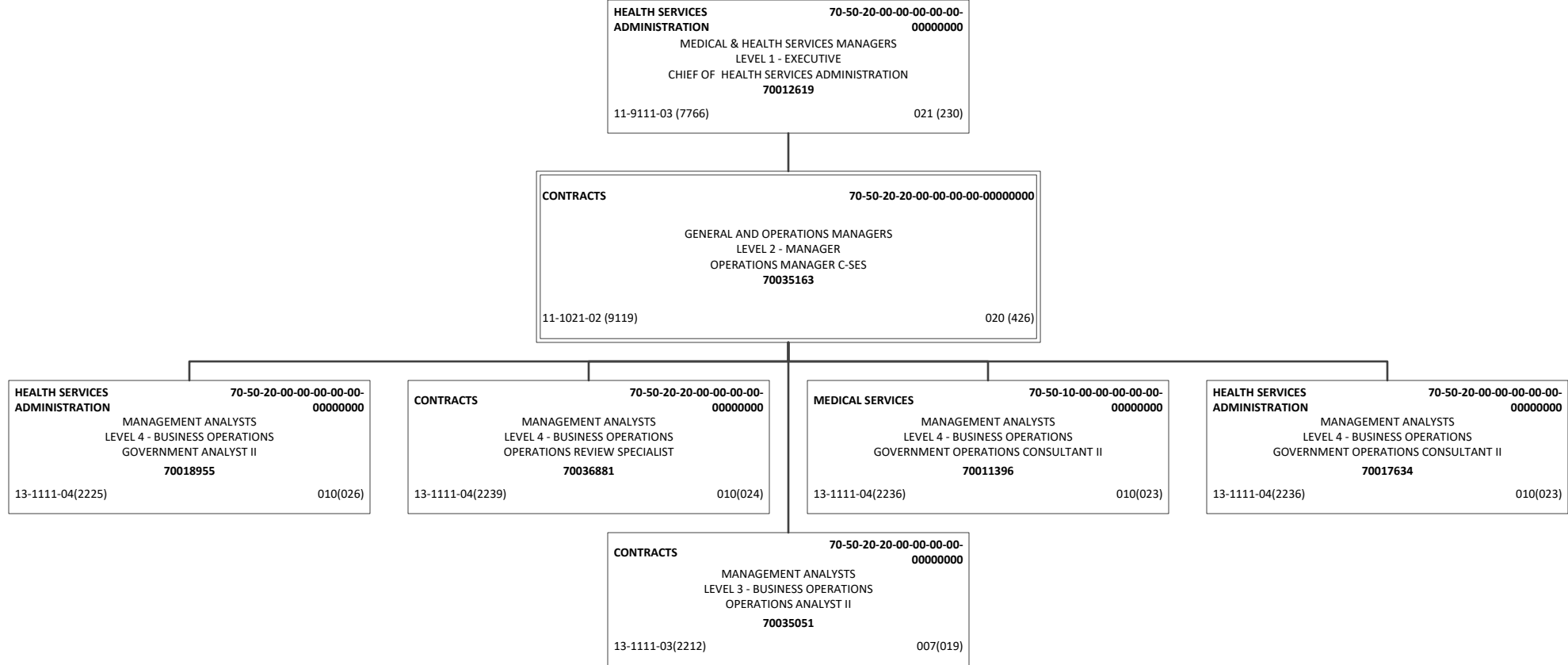


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
 Bureau/Comparable: HEALTH SERVICES ADMINISTRATION

HEALTH SERVICE ADMINISTRATION CONTRACTS (35163)

CURRENT

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

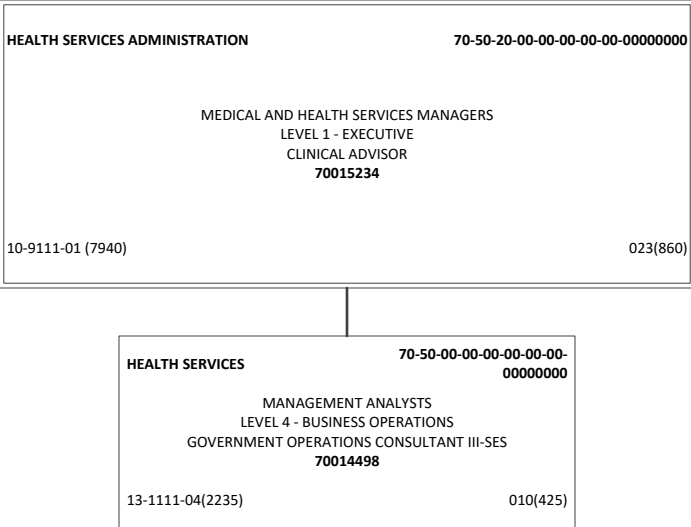


HEALTH SERVICE ADMINISTRATION (15234)

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:

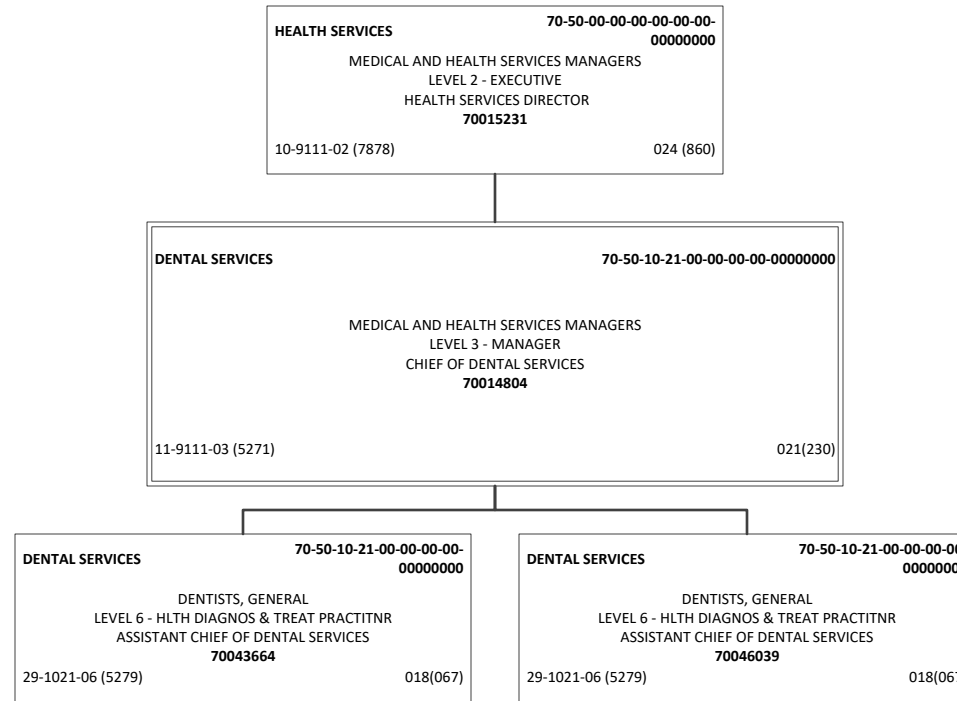
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Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
Bureau/Comparable: DENTAL SERVICES
Section/Subsection:

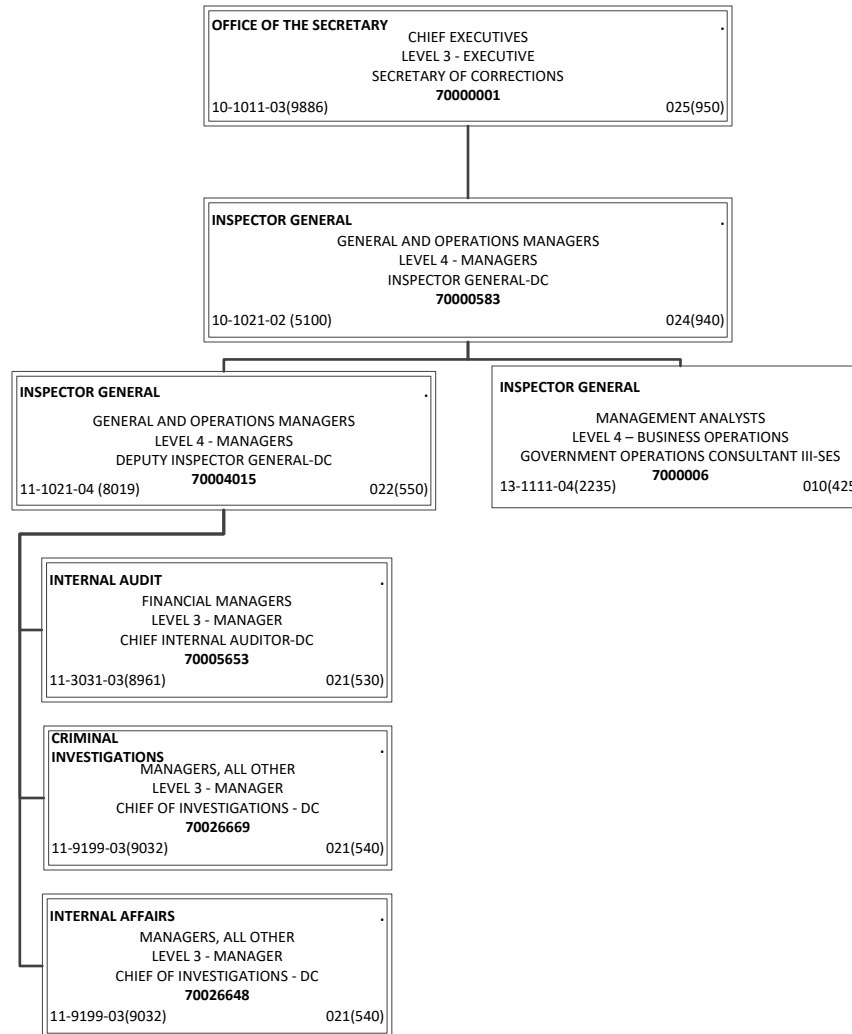
DENTAL SERVICES (14804)

CURRENT



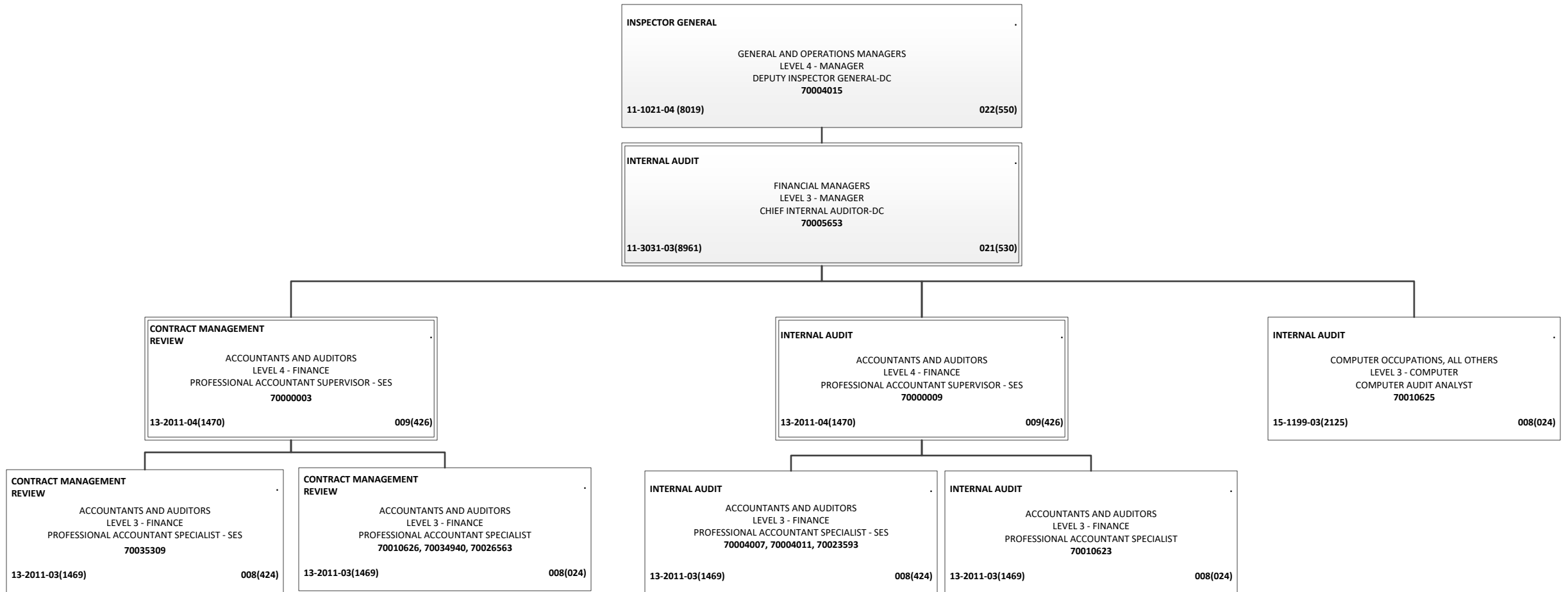
Inspector General (Overview)

CURRENT



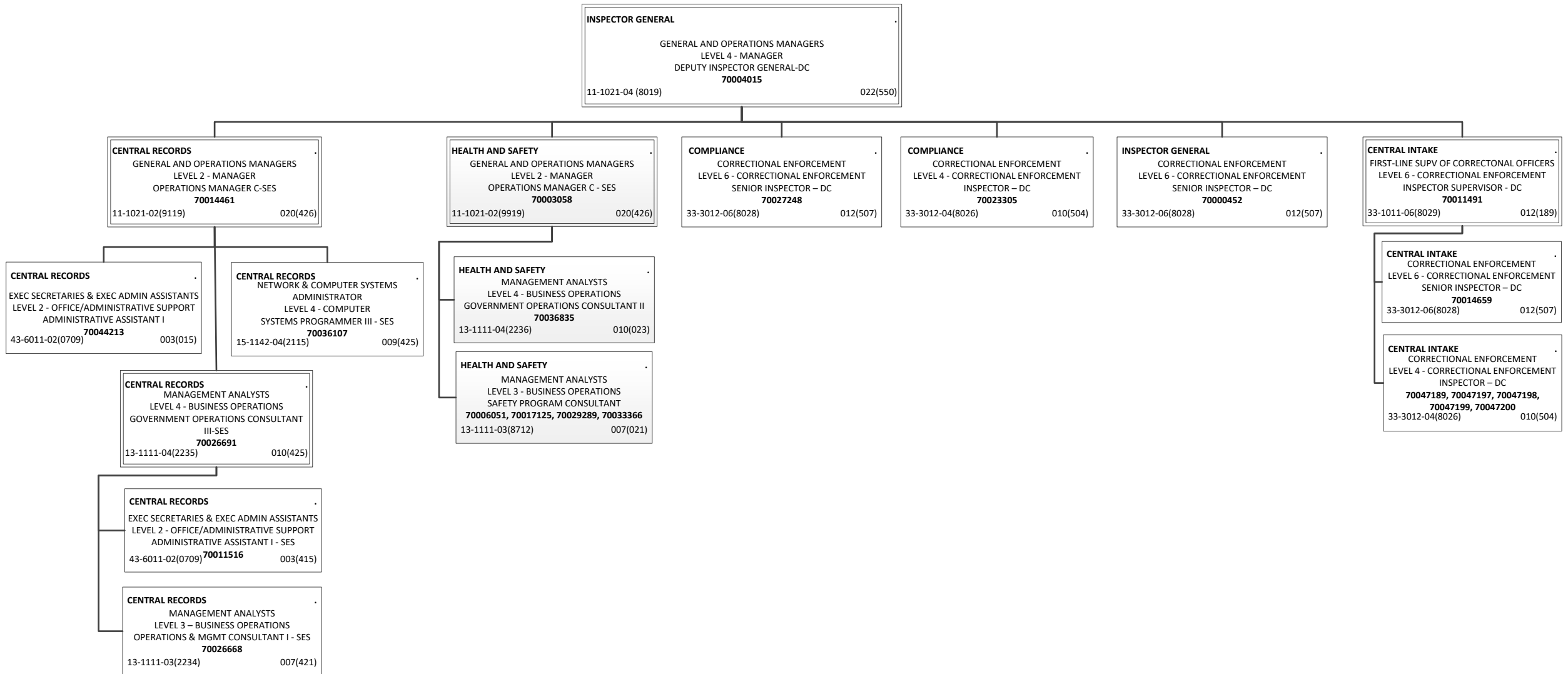
Internal Audit

CURRENT



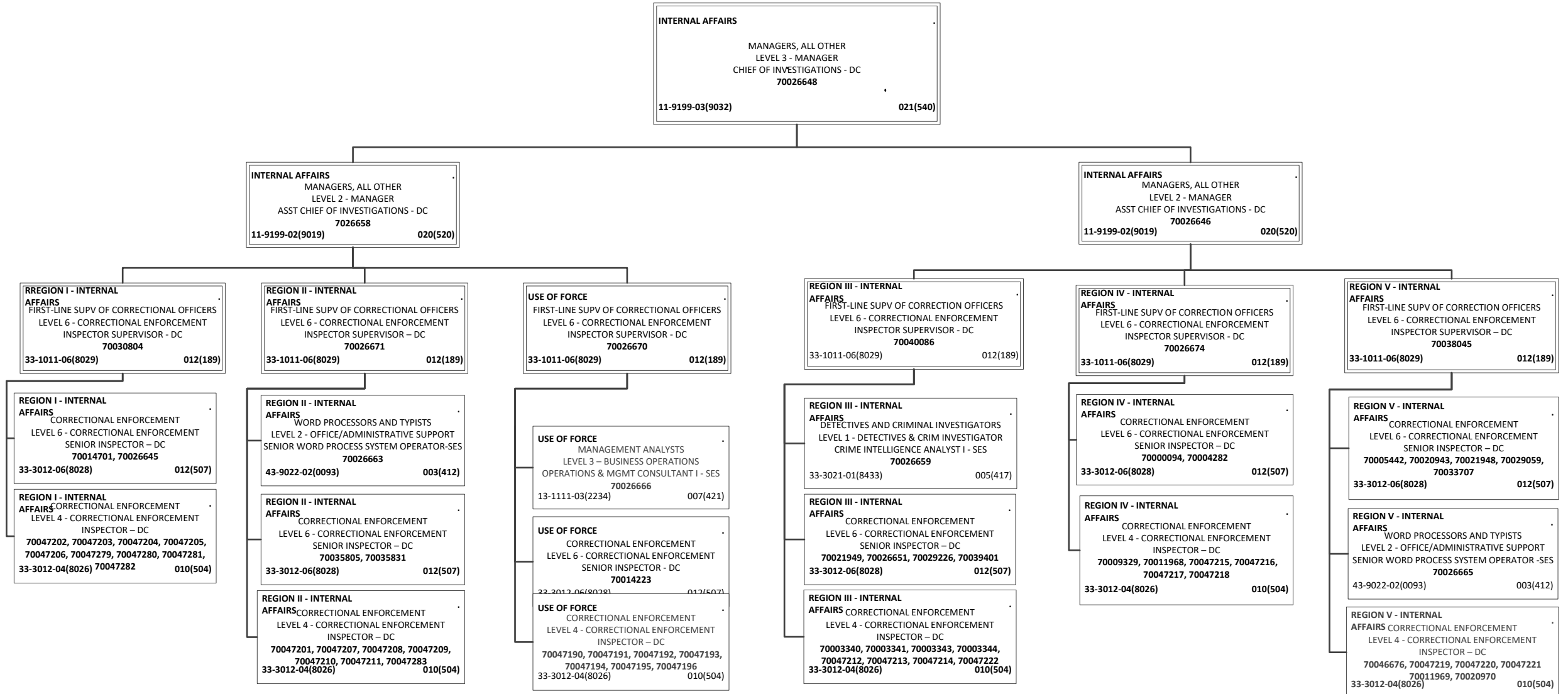
Health & Safety, Records, Compliance

CURRENT

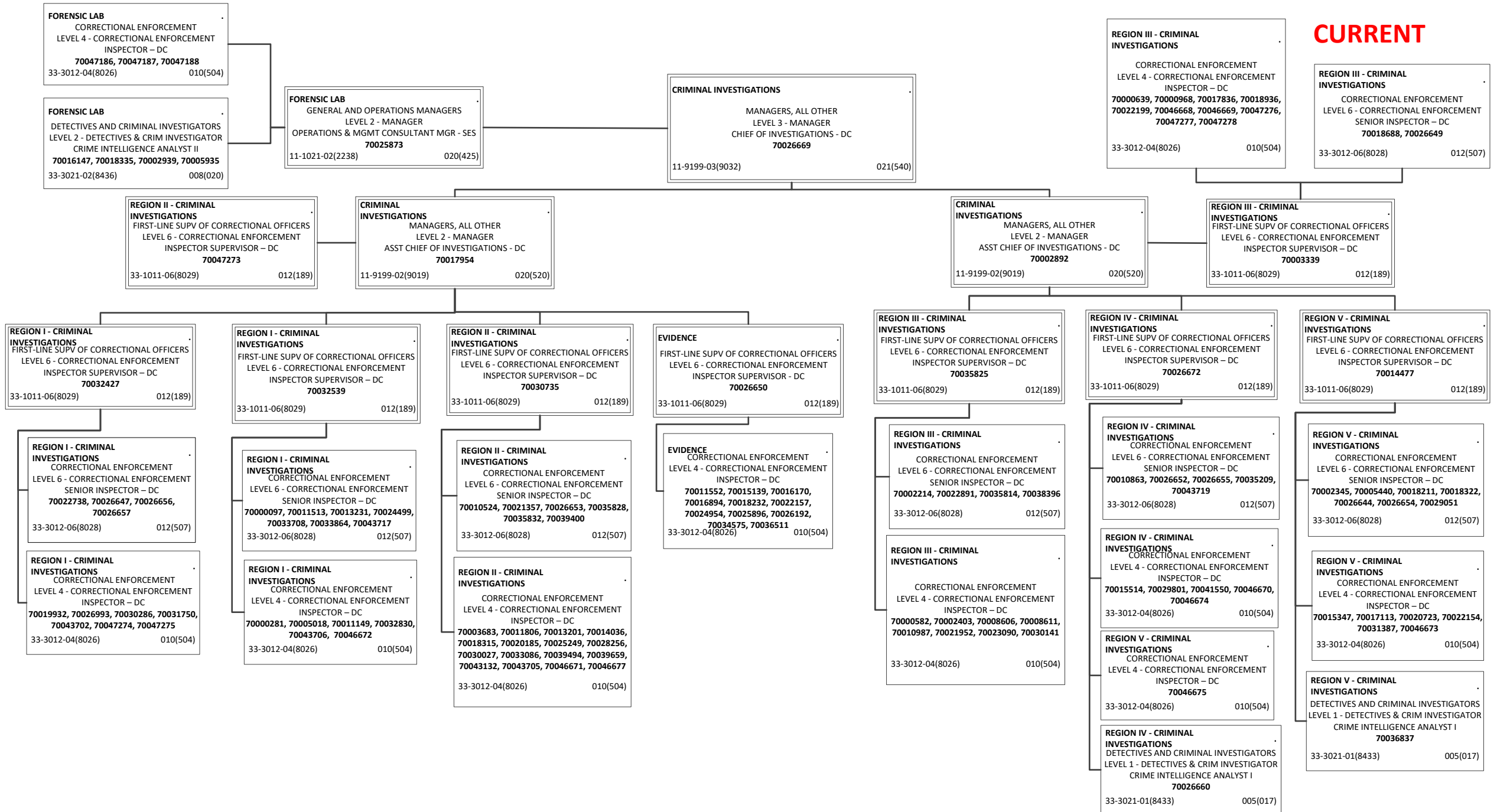


Internal Affairs-District 1-5

CURRENT



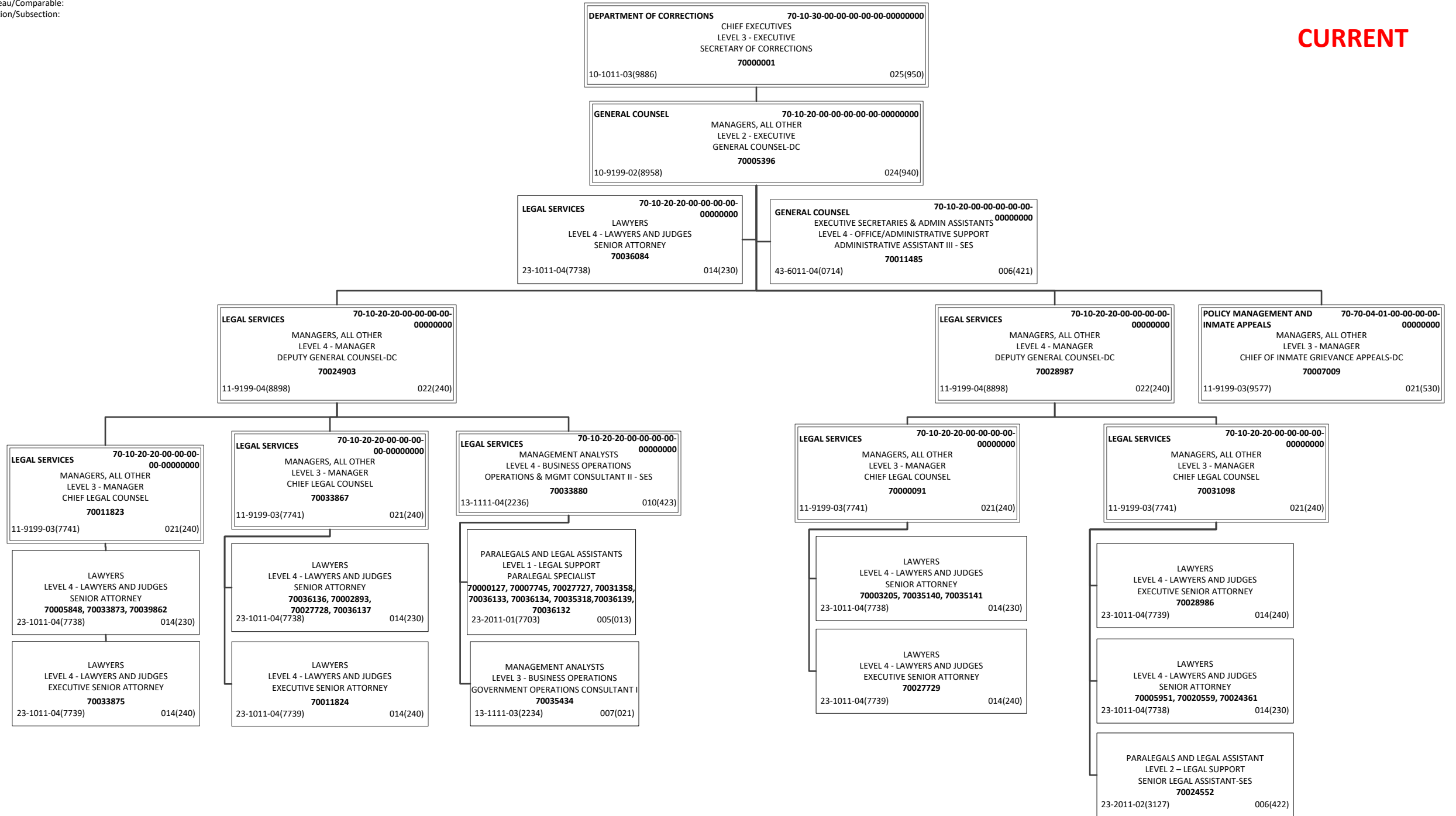
Criminal Investigatins-District 1-5



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

GC OVERVIEW

CURRENT



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

GENERAL COUNSEL 70005396

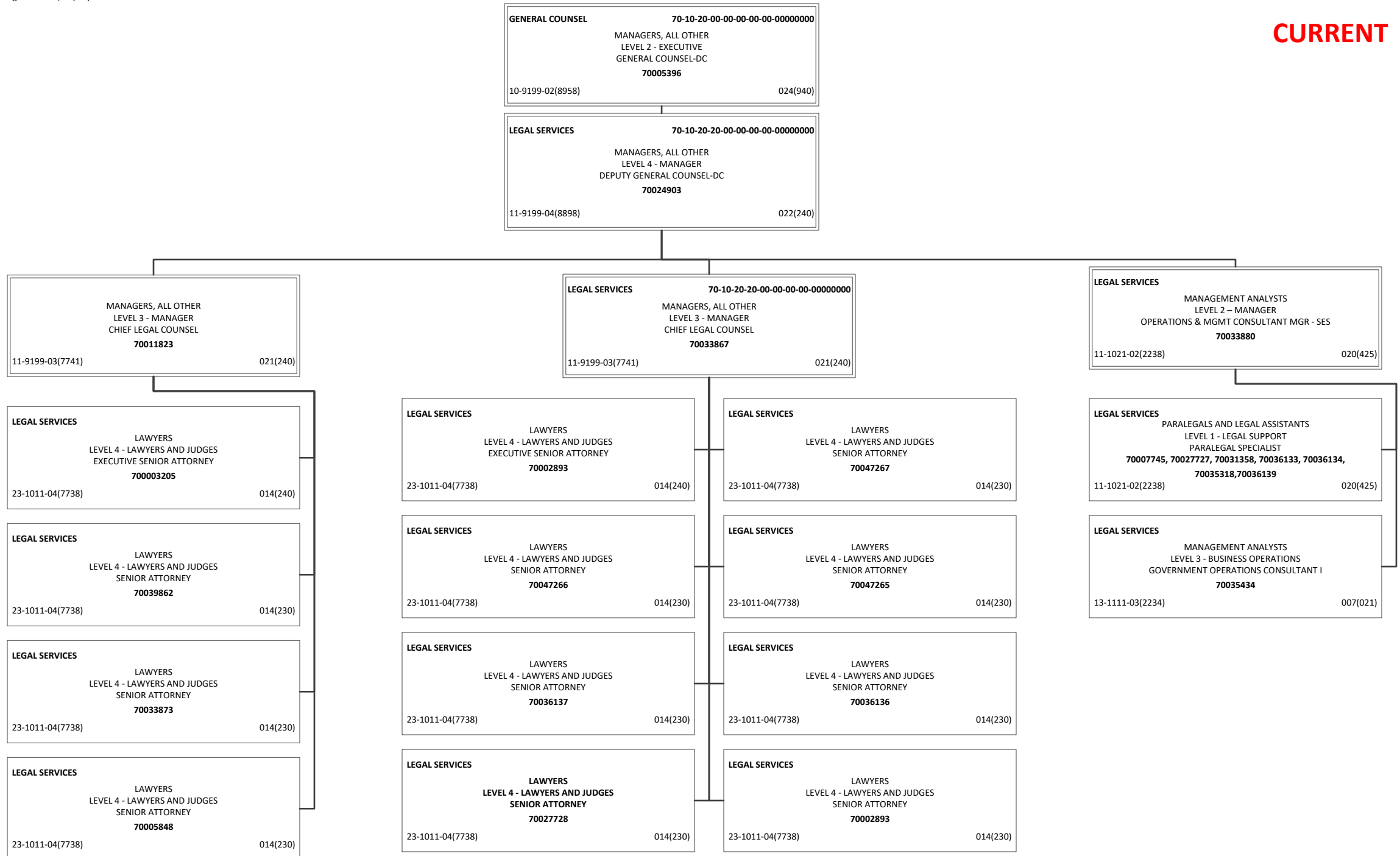
CURRENT



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

LEGAL SERVICES (Deputy General Counsel 70024903)

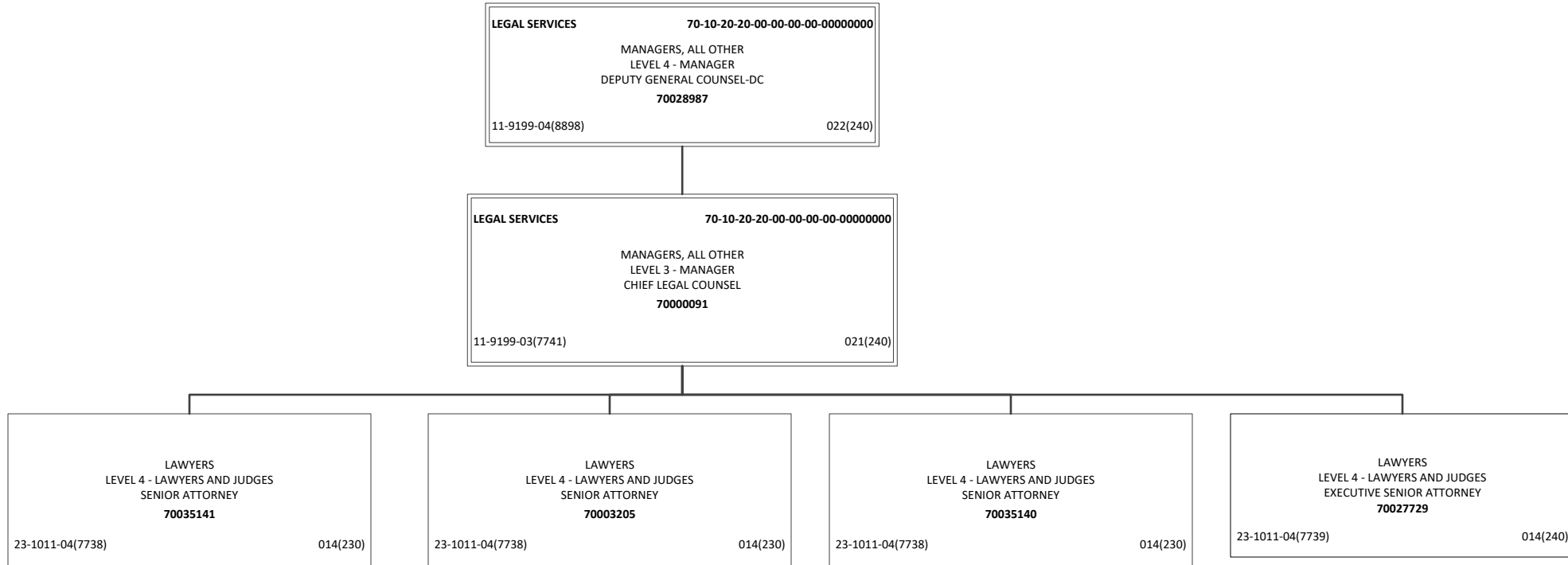
CURRENT



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

LEGAL SERVICES (Attorney 70000091)

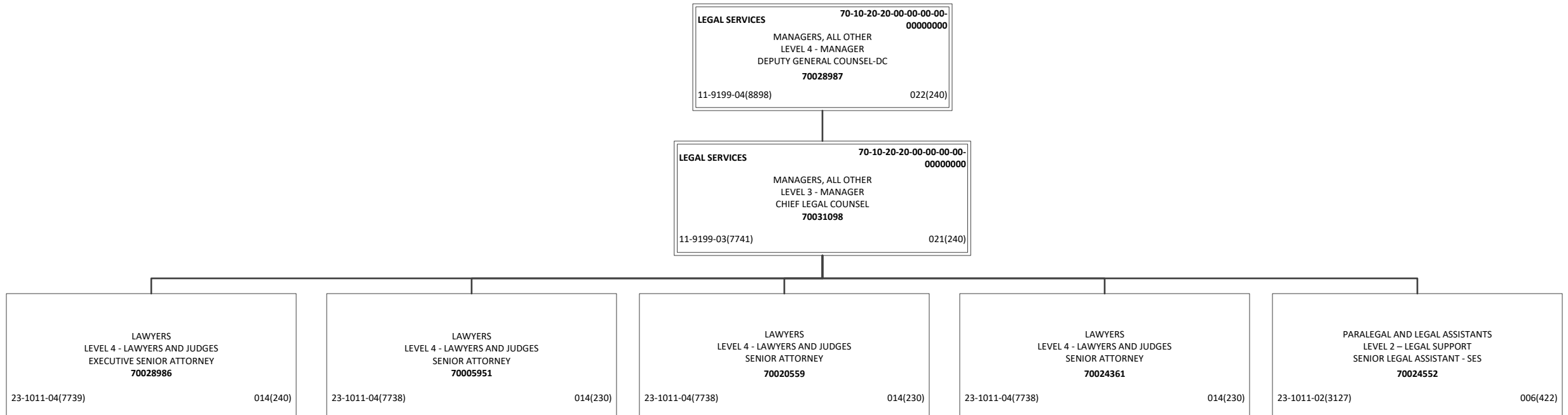
CURRENT



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 (OMC II 70033880)

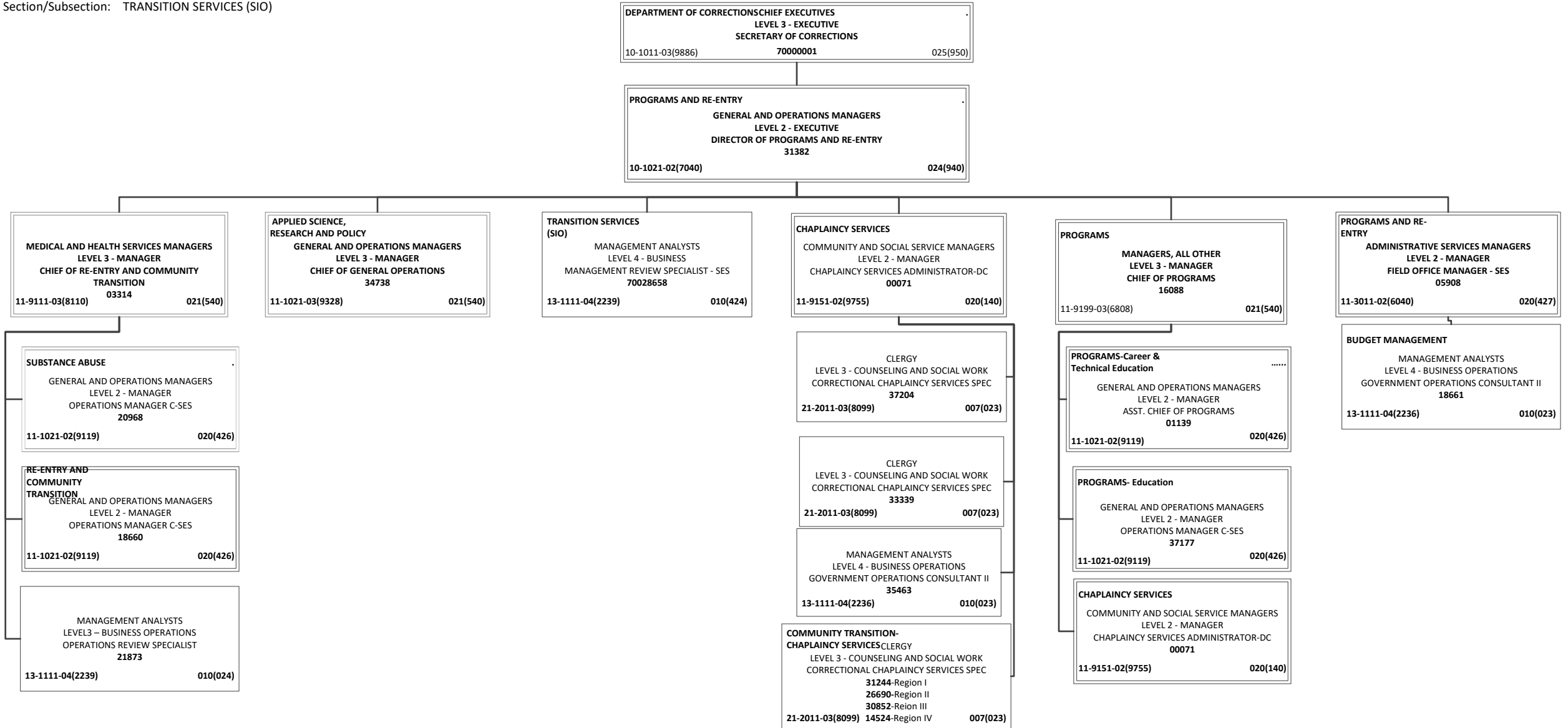
CURRENT



PROGRAMS AND RE-ENTRY OVERVIEW

CURRENT

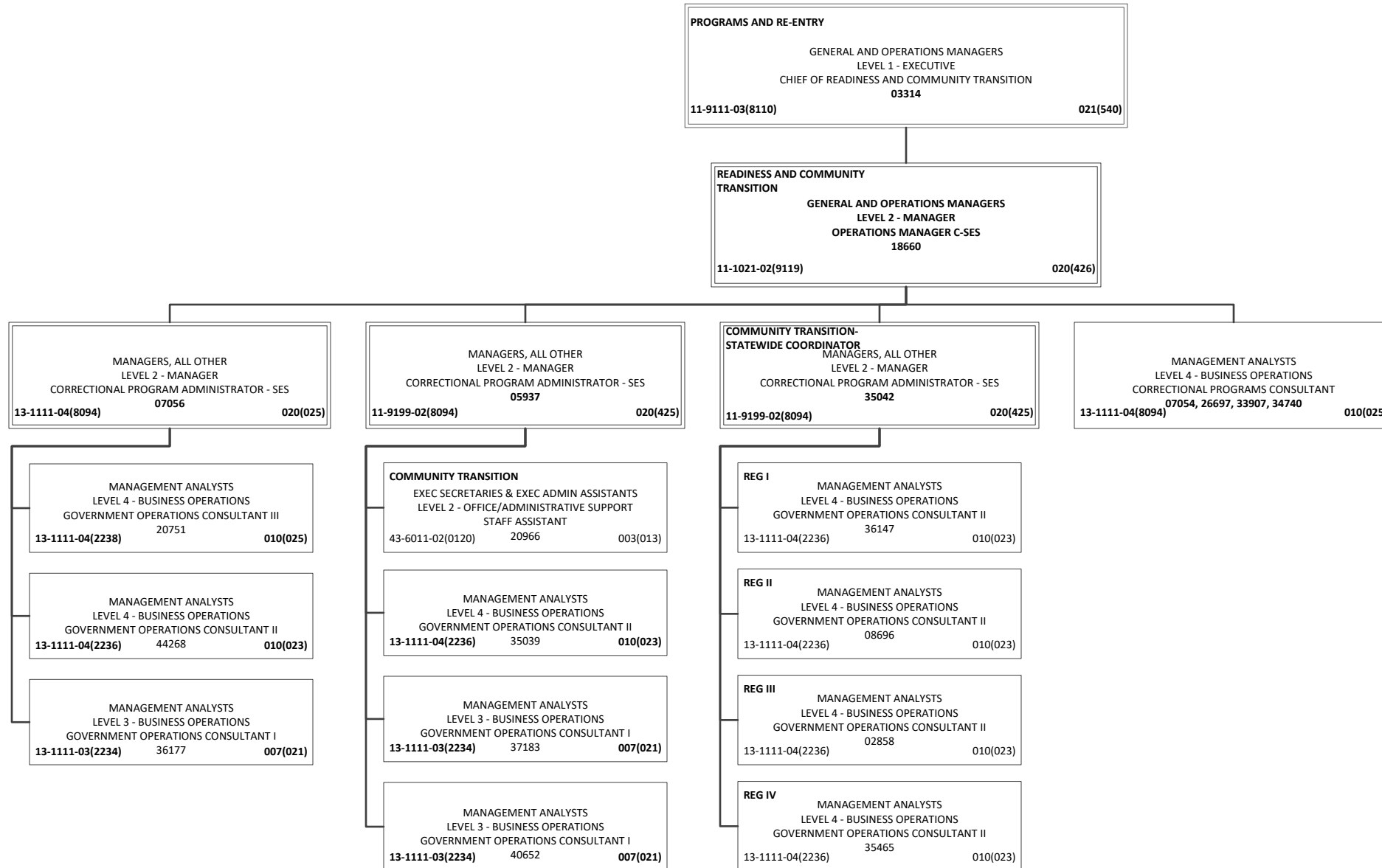
Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/PROGRAMS AND RE-ENTRY
 Bureau/Comparable: RE-ENTRY AND COMMUNITY TRANSITION
 Bureau/Comparable: APPLIED SCIENCE, RESEARCH AND POLICY
 Bureau/Comparable: PROGRAMS
 Section/Subsection: TRANSITION SERVICES (SIO)



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

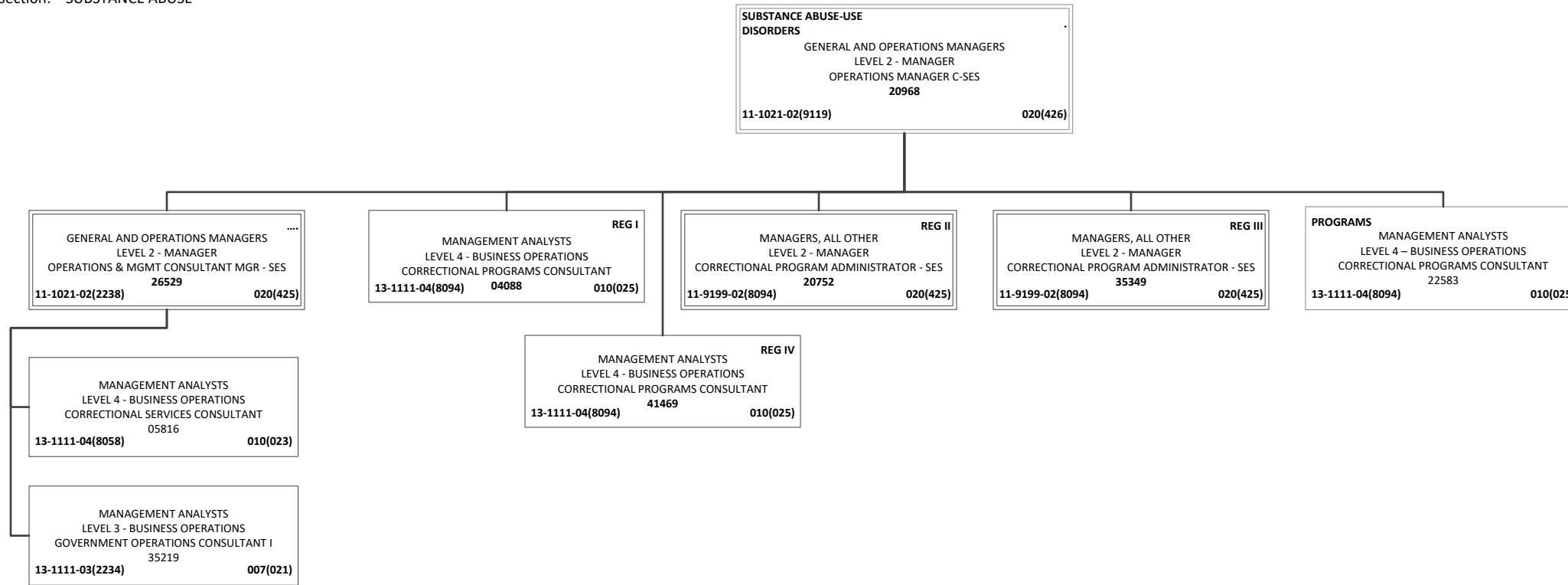
CURRENT



SUBSTANCE ABUSE

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

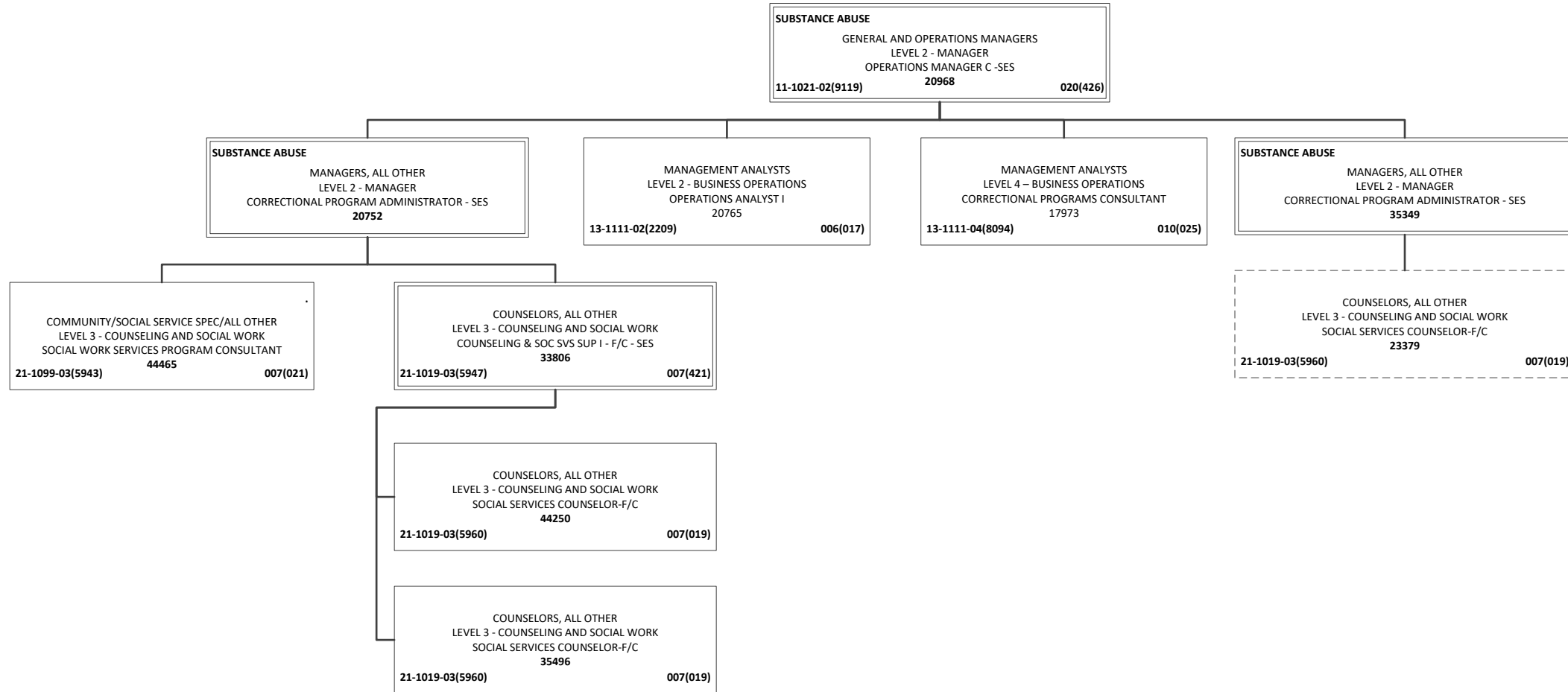
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SUBSTANCE ABUSE (CON'T)

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)

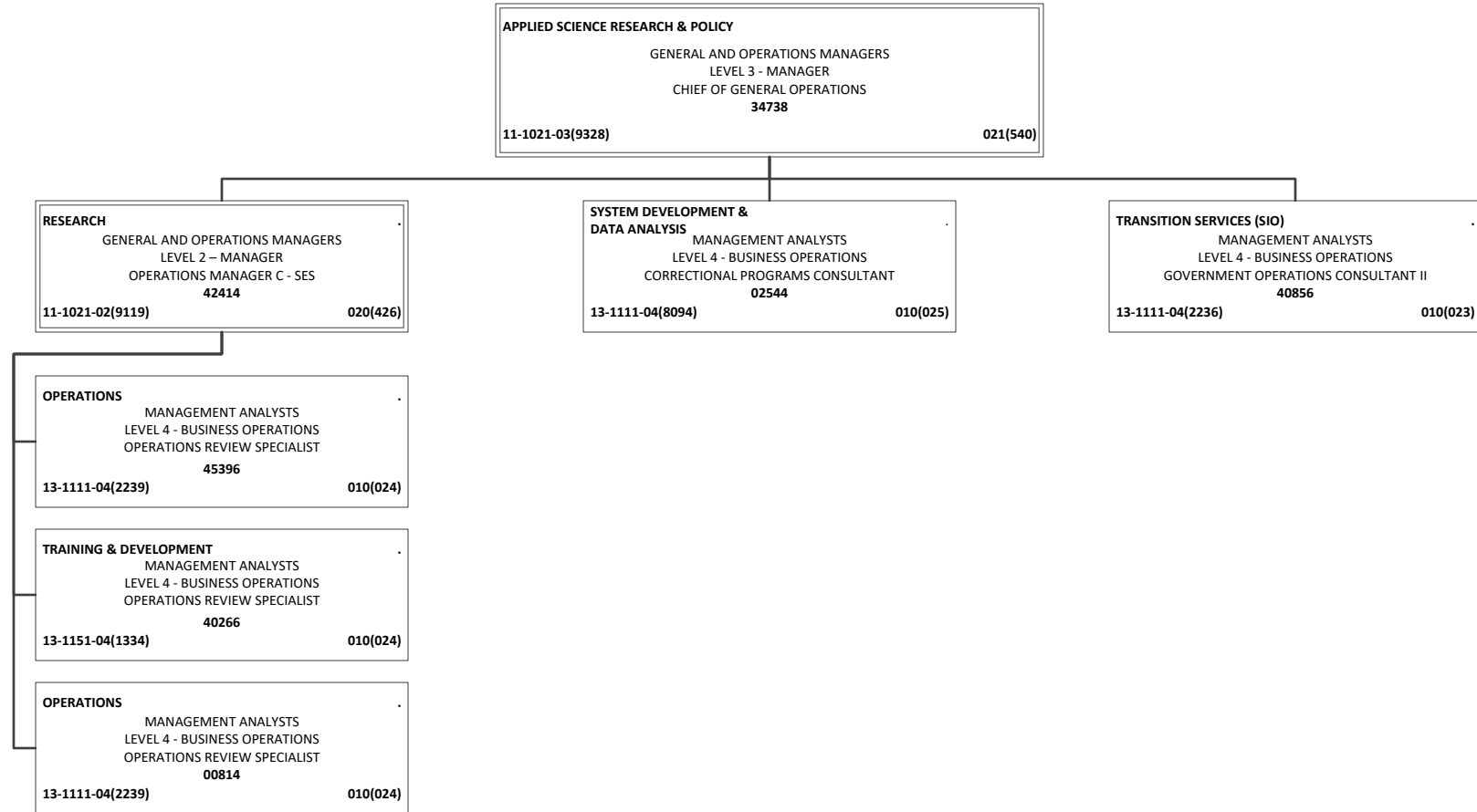
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APPLIED SCIENCE RESEARCH & POLICY

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

CURRENT

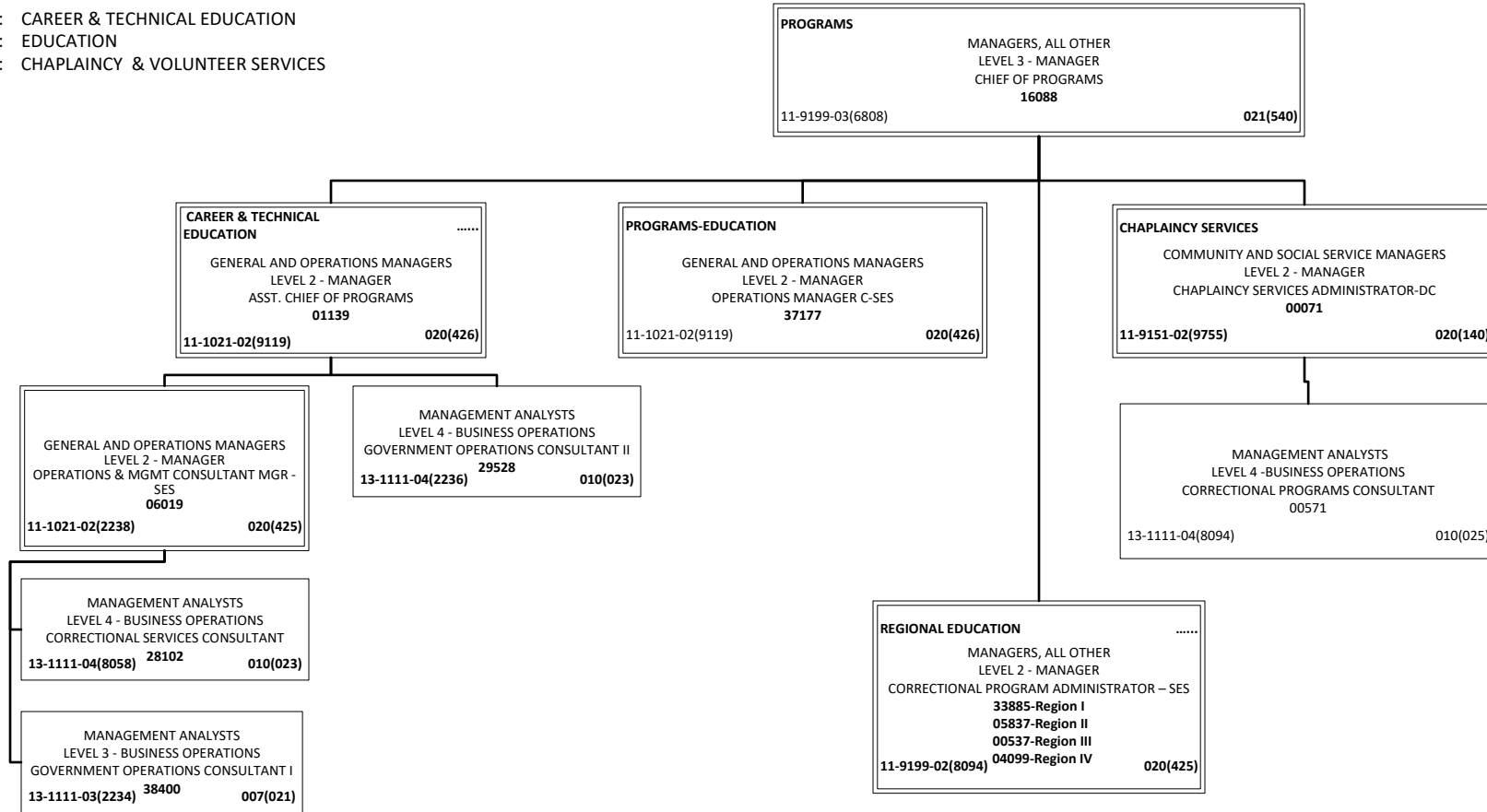


Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/PROGRAMS AND RE-ENTRY
 Bureau/Comparable: PROGRAMS

PROGRAMS OVERVIEW

CURRENT

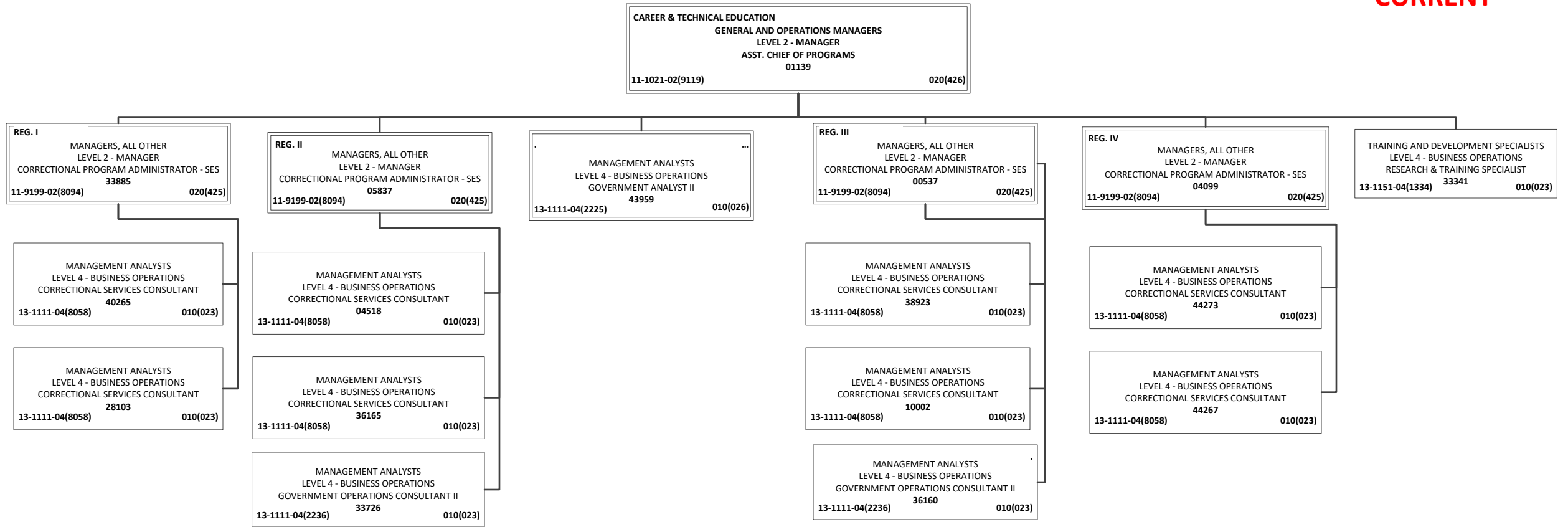
Section/Subsection: CAREER & TECHNICAL EDUCATION
 Section/Subsection: EDUCATION
 Section/Subsection: CHAPLAINCY & VOLUNTEER SERVICES



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

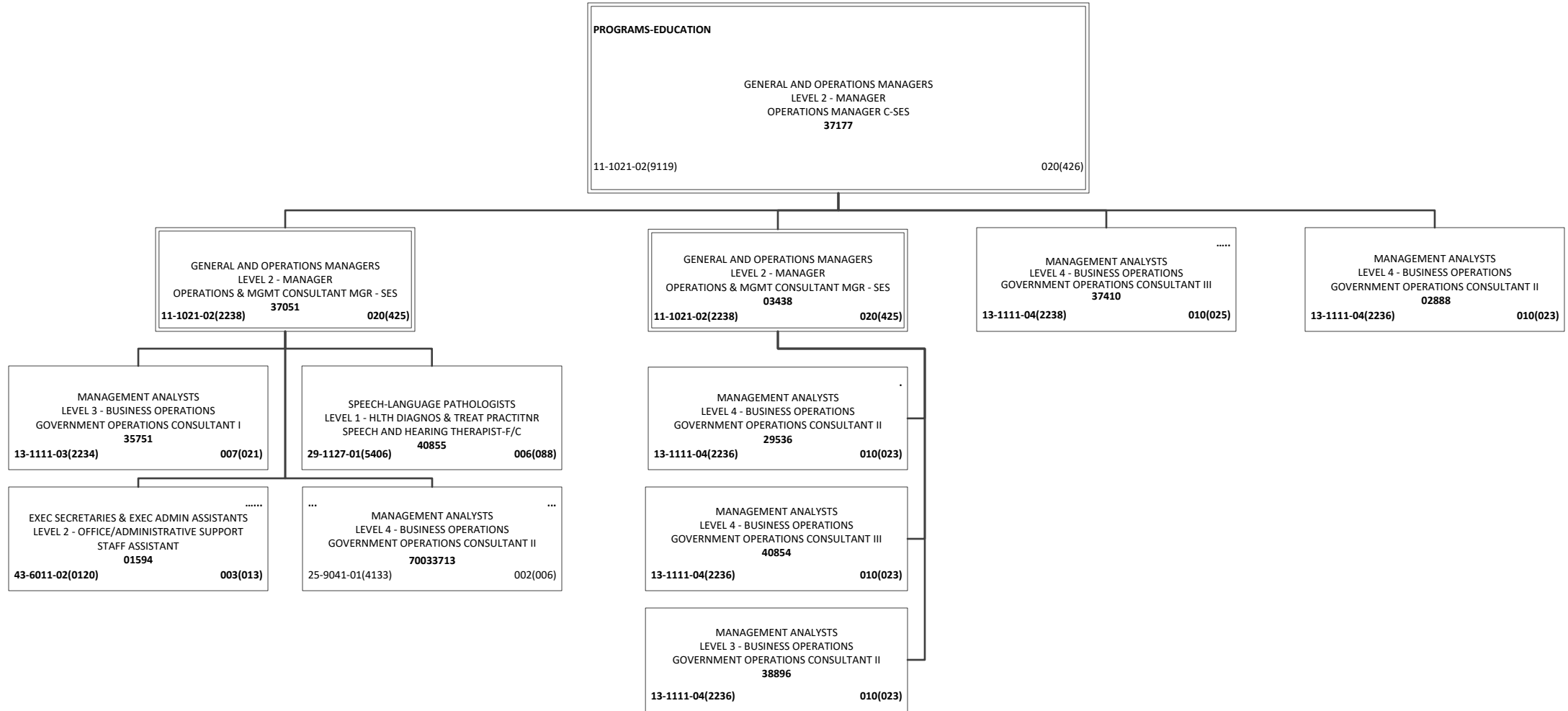
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/PROGRAMS AND RE-ENTRY
 Bureau/Comparable: PROGRAMS
 Section/Subsection: EDUCATION

EDUCATION

CURRENT



Schedule XIV
Variance from Long Range Financial Outlook

Agency: Department of Corrections

Contact: Mark Tallent

Article III, section 19(a)3 of the 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 2022 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 2023-2024 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 2023-2024 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Risk Management Insurance	B	\$6.01M	0
b	Education and Training Programs	B	\$1.6M	\$24.7M
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 a three-year funding shortfall caused by COVID-19 claims. Based on current recurring appropriation and projected expenditures, the Department does not anticipate additional need for FY 23-24.

B. The Outlook is based on a three-year funding average. The Department's request includes expansion of career, technical, academic and wellness programming to meet criminogenic need, as well as pay parity for the stability of instructors.

* R/B = Revenue or Budget Driver



Exhibits or Schedules



The image features a decorative background with diagonal stripes in blue and green, set against a dark blue background. The stripes are wider at the top and bottom edges and taper towards the center. The text "Schedule I Series" is centered in the white space between the stripes.

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2023 - 2024
Trust Fund Title:	Department Of Correctic
Budget Entity:	Administrative Trust Fund
LAS/PBS Fund Number:	Department Level
	2021

	Balance as of 6/30/2022		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	3,024,772	(A)			3,024,772
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments		(C)			0
ADD: Outstanding Accounts Receivable	330,850	(D)			330,850
ADD: _____		(E)			0
Total Cash plus Accounts Receivable	3,355,622	(F)	0		3,355,622
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	29,702	(H)			29,702
Approved "B" Certified Forwards	655,699	(H)			655,699
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)	72,262	(I)			72,262
LESS: _____		(J)			0
Unreserved Fund Balance, 07/01/22	2,597,959	(K)	0		2,597,959 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2023 - 2024

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/22

Total all GLC's 5XXXX for governmental funds; 3,253,658 (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (655,699) (D)

Approved FCO Certified Forward per LAS/PBS (D)

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 2,597,959 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 2,597,959 (F)

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2023 - 2024
Trust Fund Title:	Department Of Correctic
Budget Entity:	Criminal Justice Standards and Training Trust Fund
LAS/PBS Fund Number:	Department Level
	2148

	Balance as of 6/30/2022		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	355,169	(A)			355,169
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments		(C)			0
ADD: Outstanding Accounts Receivable		(D)			0
ADD: _____		(E)			0
Total Cash plus Accounts Receivable	355,169	(F)	0		355,169
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	24,432	(H)			24,432
Approved "B" Certified Forwards	10,860	(H)			10,860
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)		(I)			0
LESS: _____		(J)			0
Unreserved Fund Balance, 07/01/22	319,877	(K)	0		319,877 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2023 - 2024

Department Title: Department of Corrections
Trust Fund Title: Criminal Justice Standards and Training Trust Fund
LAS/PBS Fund Number: 2148

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/22

Total all GLC's 5XXXX for governmental funds; 330,737 (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (10,860) (D)

Approved FCO Certified Forward per LAS/PBS (D)

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 319,877 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 319,877 (F)

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2023 - 2024
Trust Fund Title:	Department Of Correctic
Budget Entity:	Correctional Work Program Trust Fund
LAS/PBS Fund Number:	Department Level
	2151

	Balance as of 6/30/2022		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	131,092	(A)			131,092
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments		(C)			0
ADD: Outstanding Accounts Receivable	473,957	(D)			473,957
ADD: _____		(E)			0
Total Cash plus Accounts Receivable	605,049	(F)	0		605,049
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	85,400	(H)			85,400
Approved "B" Certified Forwards	9,505	(H)			9,505
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)		(I)			0
LESS: Other Accounts Payable (Nonoperating)		(J)			0
Unreserved Fund Balance, 07/01/22	510,144	(K)	0		510,144 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2023 - 2024

Department Title: Department of Corrections
Trust Fund Title: Correctional Work Program Trust Fund
LAS/PBS Fund Number: 2151

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/22

Total all GLC's 5XXXX for governmental funds; 34,579 (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (9,505) (D)

Approved FCO Certified Forward per LAS/PBS (D)

A/P not C/F-Operating Categories 3,909 (D)

Capital Assets -10,193 (D)

Compensated Absences 491,355 (D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 510,144 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 510,144 (F)

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2023 - 2024
Trust Fund Title:	Department Of Correctic
Budget Entity:	Federal Grants Trust Fund
LAS/PBS Fund Number:	Department Level
	2261

	Balance as of 6/30/2022		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	2,578,996	(A)			2,578,996
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments		(C)			0
ADD: Outstanding Accounts Receivable	2,300,412	(D)			2,300,412
ADD: Anticipated Receivables	1,027,989	(E)			1,027,989
Total Cash plus Accounts Receivable	5,907,397	(F)	0		5,907,397
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	245,196	(H)			245,196
Approved "B" Certified Forwards	773,518	(H)			773,518
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)		(I)			0
LESS: Other Accounts Payable (Nonoperating)		(J)			0
Unreserved Fund Balance, 07/01/22	4,888,683	(K)	0		4,888,683 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2023 - 2024

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/22

Total all GLC's 5XXXX for governmental funds; 4,574,539 (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (773,518) (D)

Approved FCO Certified Forward per LAS/PBS (D)

A/P not C/F-Operating Categories 57,927 (D)

Compensated Absences 1,746 (D)

Anticipated Receivables 1,027,989 (D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 4,888,683 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 4,888,683 (F)

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2023 - 2024
Trust Fund Title:	Department Of Correctic
Budget Entity:	Grants and Donations Trust Fund
LAS/PBS Fund Number:	Department Level
	2339

	Balance as of 6/30/2022		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	8,600,538	(A)			8,600,538
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments		(C)			0
ADD: Outstanding Accounts Receivable	77,704	(D)			77,704
ADD: _____		(E)			0
Total Cash plus Accounts Receivable	8,678,242	(F)	0		8,678,242
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	13,200	(H)			13,200
Approved "B" Certified Forwards	7,641	(H)			7,641
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)	25,802	(I)			25,802
LESS: Other Accounts Payable (Nonoperating)	21,957	(J)			21,957
Unreserved Fund Balance, 07/01/22	8,609,642	(K)	0		8,609,642 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2023 - 2024

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/22

Total all GLC's 5XXXX for governmental funds; 8,617,283 (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (7,641) (D)

Approved FCO Certified Forward per LAS/PBS (D)

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

0 (D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 8,609,642 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 8,609,642 (F)

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2023 - 2024
Trust Fund Title:	Department Of Correctic
Budget Entity:	State Operated Inmate Welfare Trust Fund
LAS/PBS Fund Number:	Department Level
	2523

	Balance as of 6/30/2022		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,140,001	(A)			1,140,001
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments		(C)			0
ADD: Outstanding Accounts Receivable		(D)			0
ADD: _____		(E)			0
Total Cash plus Accounts Receivable	1,140,001	(F)	0		1,140,001
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	88,309	(H)			88,309
Approved "B" Certified Forwards	1,026,726	(H)			1,026,726
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)		(I)			0
LESS: Other Accounts Payable (Nonoperating)		(J)			0
Unreserved Fund Balance, 07/01/22	24,966	(K)	0		24,966 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2023 - 2024

Department Title: Department of Corrections
Trust Fund Title: State Operated Inmate Welfare Trust Fund
LAS/PBS Fund Number: 2523

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/22

Total all GLC's 5XXXX for governmental funds; **1,051,692** (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (1,026,726) (D)

Approved FCO Certified Forward per LAS/PBS (D)

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

 (D)

 (D)

 (D)

ADJUSTED BEGINNING TRIAL BALANCE: **24,966** (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) **24,966** (F)

DIFFERENCE: **0** (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2023 - 2024
Trust Fund Title:	Department Of Correctic
Budget Entity:	Sales of Goods and Services Trust Fund
LAS/PBS Fund Number:	Department Level
	2606

	Balance as of 6/30/2022		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,751,774	(A)		1,751,774
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)	58,385	58,385
ADD: _____		(E)		0
Total Cash plus Accounts Receivable	1,751,774	(F)	58,385	1,810,159
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards		(H)		0
Approved "B" Certified Forwards		(H)		0
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)	29,052	(I)		29,052
LESS: Other Accounts Payable (Nonoperating)		(J)		0
Unreserved Fund Balance, 07/01/22	1,722,722	(K)	58,385	1,781,107 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2023 - 2024

Department Title: Department of Corrections
Trust Fund Title: Sales of Goods and Services Trust Fund
LAS/PBS Fund Number: 2606

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/22

Total all GLC's 5XXXX for governmental funds; 1,722,722 (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment B7000003, Outstanding Accounts Receivable 58,385 (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

Approved FCO Certified Forward per LAS/PBS (D)

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 1,781,107 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 1,781,107 (F)

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2023 - 2024
Trust Fund Title:	Department Of Correctic
Budget Entity:	Private Inmate Welfare Trust Fund
LAS/PBS Fund Number:	Department Level
	2623

	Balance as of 6/30/2022		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	400,001	(A)			400,001
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	8,868,958	(C)			8,868,958
ADD: Outstanding Accounts Receivable	79,307	(D)			79,307
ADD: _____		(E)			0
Total Cash plus Accounts Receivable	9,348,266	(F)	0		9,348,266
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	1,924,003	(H)			1,924,003
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)	862	(I)			862
LESS: Other Accounts Payable (Nonoperating)	101,999	(J)			101,999
Unreserved Fund Balance, 07/01/22	7,321,402	(K)	0		7,321,402 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2023 - 2024

Department Title: Department of Corrections
Trust Fund Title: Private Inmate Welfare Trust Fund
LAS/PBS Fund Number: 2623

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/22

Total all GLC's 5XXXX for governmental funds; 7,321,402 (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

Approved FCO Certified Forward per LAS/PBS (D)

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

 (D)

 (D)

 (D)

ADJUSTED BEGINNING TRIAL BALANCE: 7,321,402 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 7,321,402 (F)

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IV-B FOR OFFICER STATION NETWORK

For Fiscal Year 2023-24




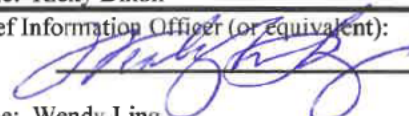
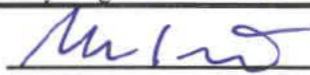


October 15, 2022

FLORIDA DEPARTMENT OF CORRECTIONS

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Corrections	Schedule IV-B Submission Date: 10-15-2022
Project Name: Officer Station Network	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2023-24 LBR Issue Code: 36265C0	FY 2023-24 LBR Issue Title: Officer Station Network Connectivity
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: 10/14/22
Printed Name: Ricky Dixon	
Agency Chief Information Officer (or equivalent): 	Date: 10/11/22
Printed Name: Wendy Ling	
Budget Officer: 	Date: 10/13/22
Printed Name: Mark Tallent	
Planning Officer: 	Date: 10/14/22
Printed Name: Eric Henderson	
Project Sponsor: 	Date: 10/14/22
Printed Name: Ricky Dixon	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Greg Prescott, 850-717-3895, greg.prescott@fdc.myflorida.com
Cost Benefit Analysis:	Greg Prescott, 850-717-3895, greg.prescott@fdc.myflorida.com
Risk Analysis:	Andrew Morton, 850-717-9926, andrew.morton@fdc.myflorida.com
Technology Planning:	Wendy Ling, 850-717-3963, wendy.ling@fdc.myflorida.com
Project Planning:	Andrew Morton, 850-717-9926, andrew.morton@fdc.myflorida.com

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. Of the 149 main units, work camps, and annex sites, only a handful of those built in recent decades have been properly scoped for emerging technology and connectivity needs. As it stands today, Department leadership cannot directly communicate with the officers in the field due to the inaccessibility of technology behind the secure perimeter, extending to the various buildings and officer stations—including computers and connectivity—for basic email and access to the Department's intranet site. The lack of technology access also limits the future of offender management when talking about automation opportunities requiring real-time upload of information for routine, statutorily required processes such as the various counts and cell checks required.

The Department also recently launched a pilot program at Jackson CI in three AMU housing units, installing fiber and wireless access points. This base installation enabled the Department to offer a mobile OBIS program for classification officers to use, bringing their routine inmate meetings directly to the inmates. This allowed classification officers to meet with more inmates, lessened the burden on corrections officers for various inmate call outs, and consolidated the mobile meetings with a real-time exchange of information benefiting both officers and inmates. Expanding the network infrastructure to include officer stations and wireless installations will enable such advancements in the use of technology behind the secure perimeter.

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

A. Background and Strategic Needs Assessment

1. Business Need

The Department provides for the safety and security of inmates and staff behind the secure perimeter, including various daily manual tasks. Network connectivity at institutional sites in housing units has been limited by old infrastructure and a lack of resources.

The Department seeks to remedy a lack of network connectivity to approximately 848 housing units, also often referred to as dorms, behind the secure perimeter. The current situation limits the possibility for automation and efficiency for functions that require additional staff to assist with manual data entry. Expanding and securing the Department's staff network infrastructure provides a cost-effective solution for multiple efficiency gains and frees up security staff for more critical public safety posts that might remain unfilled due to staff vacancies.

2. Business Objectives

Expanding network connectivity will provide the following benefits.

- Enables direct communication channels via Microsoft Outlook email, MS Teams, and DC Web (Intranet access).
- Provides for considerable efficiency gains via process automation and workflows, such as activity and security logs, incident reporting, use of force, human resource applications and tools, etc.
- Frees up security staff for more critical public safety posts that otherwise might remain unfilled due to staff vacancies
- Provides the infrastructure foundation for a future networked camera solution

B. Baseline Analysis

1. Current Business Process(es)

There is currently limited network connectivity behind the secure perimeter.

2. Assumptions and Constraints

Assumptions

- Project activities will be compliant with all applicable state and federal policies, statutes, and rules.
- Equipment and services can be procured timely to ensure project completion.
- Vendors can implement the proposed solution in the designated timeframe, in the sequence prescribed, and in alignment with budgetary allocations/restrictions.
- The additional network connectivity will enable direct communications and promote operational efficiencies.
- The project team, both the Department and the vendor, will be staffed appropriately to coordinate the procurement and installation of all infrastructure and services per the project objectives.
- The project can be implemented in single fiscal year.
- 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.

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.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

Functional Requirements

The Department requires the following to meet the intent of this request:

1. All required equipment, such as additional network switches, wireless access points, wireless intrusion protection, and computer workstations for the officer stations
2. All required fiber pairs for installation to all housing units/dorms behind the secure perimeter
3. Installation services
4. Additional OIT staff to augment the support and maintenance of the additional endpoint devices and expanded network use

2. Business Solution Alternatives

The Department has not identified alternative solutions to the business need that do not require a technology expenditure. Without technology the Department handles these needs with time-consuming, paper-based processes. All functional requirements are necessary for the Department to ensure the health and safety of inmates and officers.

3. Rationale for Selection

Expanding network connectivity will provide the following benefits.

- Enables direct communication channels via Microsoft Outlook email, MS Teams, and DC Web (Intranet access)
- Provides for considerable efficiency gains via process automation and workflows, such as activity and security logs, incident reporting, use of force, human resource applications and tools, etc.
- Frees up security staff for more critical public safety posts that otherwise might remain unfilled due to staff vacancies
- Provides the infrastructure foundation for a future networked camera solution

4. Recommended Business Solution

Establish statewide network connectivity and wireless access behind the secure perimeter for officer stations in all housing units.

D. Functional and Technical Requirements

All correctional institutions have a base level of connectivity with fiber cabling between a handful of buildings and wide area network connection to the state data center over the MyFloridaNet with Internet access. A majority of the nearly 900¹ housing units do not have connectivity and officers do not have access to computers or agency applications. Connectivity with sufficient bandwidth and computers to access existing agency applications are detailed below.

- Connectivity between buildings will be provided using fiberoptic cabling that is run through new conduit in the ground.
- Connectivity in each housing unit will include new switch equipment for desktop computers to obtain connectivity through Ethernet cabling.

¹ Note the total number of housing units varies depending on staffing levels available for use. This issue estimates the need for all housing units available vs. necessarily open and in use.

- Connectivity in each housing unit will include new wireless access point equipment enabling computers and mobile devices to connect over WiFi that complies with FIPS 140-2 security requirements.
- Approximately 1,000 new desktop computers with Microsoft licensing will be installed in each housing unit for correctional officers to access network resources and agency applications.
- This infrastructure also then enables the Department to consider future technology solutions, replacing paper-based business processes with digital solutions. The expanded infrastructure ultimately also provides for future digital solutions and fosters direct communication opportunities using Microsoft Outlook email, Microsoft Teams, and DC Web (Intranet access).

III. Success Criteria

Success Criteria Table				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	The solution will support the Department in its on-going practice of sound fiscal stewardship of its assets.	Operating costs for Security and Institutional Operations Overhead costs for Department Administration	All those who are currently using paper processes to capture data in the correctional institutions.	07/2024
2	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	Correctional supervisors and officers.	07/2024
3	The solution will positively impact the user experience and increase employee satisfaction.	Employee satisfaction survey results.	FDC	07/2024
4	The solution will provide an underlying network infrastructure capable of handling new digital processes.	Cost to implement new capabilities/requirements	FDC	07/2024
5	The project will be completed on-schedule, following an approved project plan.	Project milestones	FDC	07/2024
6	The project will be completed within the prescribed budget constraints defined in advance of project initiation.	Project financial data	FDC	07/2024

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

A. Benefits Realization Table

Expanding network infrastructure ultimately provides for future technologies, enables direct communications with staff, and supports multiple process efficiencies. Direct communications with officers has many intangible benefits, including improved morale and incentives for recruitment in using newer technologies for their day-to-day tasks.

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	Provides the infrastructure to support future technologies and process efficiencies.	FDC	Decreased staff time spent on data entry by 20%. Decrease use of paper by 50% or more.	Compare the data entry time between the paper-based processes and the digitized processes using computers. Establish a baseline of paper usage prior to the network expansion and compare that to the paper usage upon implementation.	07/2024

B. Cost Benefit Analysis (CBA)

The CBA Forms are included in Appendix D – Cost Benefit Analysis.

V. Schedule IV-B Major Project Risk Assessment

The Risk Assessment Tool and Risk Assessment Summary are included in Appendix A – Risk Assessment Tool.

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

a. Description of Current System

Approximately 848 housing units are included in this request. A portion of those have old, brittle fiber that should be replaced, and the majority do not have any type of network connectivity today.

b. Current System Resource Requirements

Housing units without network connectivity do not have the necessary switches, transceivers, cables, and computers.

c. Current System Performance

Housing units without network connectivity use paper and do not have a technology component today.

2. Information Technology Standards

B. Current Hardware and/or Software Inventory

Switching equipment and computers for the proposed solution do not exist and must be purchased new.

C. Proposed Technical Solution

1. Technical Solution Alternatives

The department researched three alternatives.

Point to Point Wireless.

This solution would be similar and slightly less expensive than fiberoptic cabling but does not have sufficient bandwidth for transferring future applications such as camera video. Additionally, there is a likely potential for radio frequency interference with existing WiFi networks installed by third party vendors. A fiberoptic network lays the groundwork for future use of body cameras and centralized surveillance cameras that might be required by future legislation.

Cell 4G LTE Service.

This solution is not feasible because cell service providers do not provide sufficient data speeds in the rural areas where most of the institutions are located. A cell service solution would require stronger signals from the service providers for outdoor coverage and cell boosters to amplify the cell signal for indoor coverage. Monthly data usage rates are not a cost-effective solution.

Private 5G.

5G is a new technology with lower latency than 4G LTE but is untested and vendors capable of installing standalone Private 5G network using Citizens Broadband Radio Service (CBRS) radio frequencies are limited. The Department spoke to one vendor who estimated the cost at approximately \$500,000 for each deployed location, resulting in a \$30M rough order of magnitude.

Extensive testing is needed to:

- evaluate the integration of a 5G service-based core network architecture with existing architecture;
- perform signal analysis and performance testing to support high reliability and quality of service (QoS);
- identify protected locations where small cell transceivers and antennas can be mounted; and,
- evaluate the market for tablets and computers that have Private 5G CBRS enabled radios and replace current equipment that is WiFi only and does not support 5G.

The Department’s support staff is unfamiliar with this new technology. Requirements would include either formal training of 125 staff members or payments to a service provide for outsourcing the long-term administration and support of the new technology.

The corrections environment is not a good starting point for testing new infrastructure that will be used for critical communications.

2. Rationale for Selection

Evaluation Criteria	Factors
Stakeholder Value	<p>Supports Evolving Needs - The solution supports evolving stakeholder needs, including sufficient bandwidth for new applications and camera video.</p> <p>Stakeholder Experience - The solution offers an improved stakeholder experience that should result in increased stakeholder satisfaction and an improved relationship between the correctional officers and executive management.</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 environment.</p> <p>Future Needs - The solution offers the stability and scalability necessary to support future needs.</p> <p>Meets Standards - The solution is aligned with industry standards.</p>
Business Alignment	<p>Current Business Process - The solution supports the Department’s current business processes and would eliminate current manual, intensive use of paper.</p> <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 public safety activities.</p>
Financial	<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>

3. Recommended Technical Solution

Establish statewide network connectivity and wireless access behind the secure perimeter for officer stations in all housing units with new computers.

D. Proposed Solution Description

1. Summary Description of Proposed System

Network connectivity with sufficient bandwidth and computers to access existing agency applications will be installed in all housing units for officers to access existing Department network resources and applications. Connectivity between buildings will be provided using fiberoptic cabling that is run through new conduit in the ground. Connectivity in each housing unit will include new switch equipment for desktop computers to obtain connectivity through Ethernet cabling. Connectivity in each housing unit will include new wireless access point equipment for tablet computers to obtain connectivity over WiFi that complies with FIPS 140-2 security requirements. Approximately 1,000 new desktop computers with Microsoft licensing will be installed in each housing unit for correctional officers to access network resources and agency applications. The new infrastructure will provide opportunities for the Department to capitalize on operational efficiencies, replacing paper-based processes with digital solutions that enable correctional officers to capture data directly into agency applications in real-time and enable direct communications using Microsoft Outlook email, Microsoft Teams, and the intranet.

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

Funding	Item	Amount
Non-recurring	Network Fiber Installation	\$12,866,800
Non-recurring	Network Equipment	\$15,001,200
Non-recurring	Computers	\$1,325,000
Recurring	Network Maintenance	\$245,688
Recurring	DMS MFN2 State Network Bandwidth	\$840,000
Recurring	Microsoft G3 License Subscription	\$1,450,080
Recurring	5-Year Computer Refresh	\$265,000
	Total	\$31,993,768

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

VIII. Appendices

A. Risk Assessment Tool

B. Project Charter

C. Draft Project Management Plan

D. Cost Benefit Analysis Forms

Appendix A - Risk Assessment Tool

	B	C	D	E	F	G	H				
3	Project		<i>Officer Stations</i>								
4											
5	Agency		<i>Florida Department of Corrections</i>								
6	FY 2023-24 LBR Issue Code:			FY 2023-24 LBR Issue Title:							
7	<i>Issue Code</i>			<i>Officer Stations</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>Andrew Morton</i>								
12	Prepared By		<i>Andrew Morton</i>			<i>10/6/2022</i>					
14	Risk Assessment Summary										
15	<div style="display: flex; align-items: center; justify-content: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-weight: bold; margin-right: 10px;">Business Strategy</div> <table border="1" style="border-collapse: collapse; width: 100%; height: 100%;"> <tr> <td style="width: 50%; height: 50%;"></td> <td style="width: 50%; height: 50%;"></td> </tr> <tr> <td style="width: 50%; height: 50%;"></td> <td style="width: 50%; height: 50%; text-align: center; vertical-align: middle;">◆</td> </tr> </table> </div>										◆
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17								Most Aligned			
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27											
28	Least Aligned										
29											
30	Level of Project Risk										
31	Least Risk					Most Risk					
32											
34	Project Risk Area Breakdown										
35	Risk Assessment Areas						<i>Risk Exposure</i>				
36	Strategic Assessment						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						MEDIUM				
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: Officer Stations	
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	Most regularly attend executive steering committee meetings
12			Most regularly attend executive steering committee meetings	
13			Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
14	1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is 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	Single agency-wide use or visibility
32			Single agency-wide use or visibility	
33			Use or visibility at division and/or bureau level only	
34	1.10	Is this a multi-year project?	Greater than 5 years	Between 1 and 3 years
35			Between 3 and 5 years	
36			Between 1 and 3 years	
37			1 year or less	

	B	C	D	E
1	Agency: Florida Department of Corrections		Project: Officer Stations	
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	Supported prototype or production system less than 6 months
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	Extensive 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: Officer Stations	
3	Section 3 -- Organizational Change Management Area			
4	#	Criteria	Values	Answer
5	3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Moderate changes to organization structure, staff or business processes
6			Moderate changes to organization structure, staff or business processes	
7			Minimal changes to organization structure, staff or business processes structure	
8	3.02	Will this project impact essential business processes?	Yes	Yes
9			No	
10	3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	41% to 80% -- Some process changes defined and documented
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defined and documented	
13	3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	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: Officer Stations
3		Section 5 -- Fiscal Area		
4	#	Criteria	Values	Answer
5	5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	No
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	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: Officer Stations	
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	Yes, business, functional or technical experts dedicated full-time, 100% to project
24			No, business, functional or technical experts dedicated 50% or less to project	
25			No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
26			Yes, business, functional or technical experts dedicated full-time, 100% to project	
27	6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Few or no staff from in-house resources
28			Half of staff from in-house resources	
29			Mostly staffed from in-house resources	
30			Completely staffed from in-house resources	
31	6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
32			Moderate impact	
33			Extensive impact	
34	6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
35			No	
36	6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
37			No, only IT staff are on change review and control board	
38			No, all stakeholders are not represented on the board	
39			Yes, all stakeholders are represented by functional manager	

	B	C	D	E
1	Agency: Florida Department of Corrections		Project: Officer Stations	
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	41 to 80% -- Some are traceable
21			41 to 80% -- Some are traceable	
22			81% to 100% -- All or nearly all requirements and specifications are traceable	
23	7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
24			Some deliverables and acceptance criteria have been defined and documented	
25			All or nearly all deliverables and acceptance criteria have been defined and documented	
26	7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
27			Only project manager signs-off	
28			Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
29	7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	0% to 40% -- None or few have been defined to the work package level
30			41 to 80% -- Some have been defined to the work package level	
31			81% to 100% -- All or nearly all have been defined to the work package level	
32	7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	No
33			No	
34	7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
35			No	
36	7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting processes
37			Project team uses formal processes	
38			Project team and executive steering committee use formal status reporting processes	
39	7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
40			Some templates are available	
41			All planning and reporting templates are available	
42	7.14	Has a documented Risk Management Plan been approved for this project?	Yes	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: Officer Stations	
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	More than 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	Infrastructure upgrade
32			Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
33			Business Process Reengineering	
34			Combination of the above	
35	8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Similar size and complexity
36			Lesser size and complexity	
37			Similar size and complexity	
38			Greater size and complexity	
39	8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Similar size and complexity
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

Appendix B - Project Charter



FLORIDA DEPARTMENT OF CORRECTIONS
Office of Information Technology



FLORIDA DEPARTMENT OF CORRECTIONS
Office of Information Technology
Project Management Office



OFFICER STATIONS NETWORK
PROJECT CHARTER
10/6/2022



CONTACTS

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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.

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. Of the 149 main units, work camps, and annex sites, only a handful of those built-in recent decades have been properly scoped for emerging technology and connectivity needs. As it stands today, Department leadership cannot directly communicate with the officers in the field due to the inaccessibility of technology behind the secure perimeter, extending to the various buildings and officer stations—including computers and connectivity—for basic email and access to the Department's intranet site. The lack of technology access also limits the future of offender management when talking about automation opportunities requiring real-time upload of information for routine, statutorily required processes such as the various counts and cell checks Required.

The Department also recently launched a pilot program at Jackson CI in three AMU housing units, installing fiber and wireless access points. This base installation enabled the Department to offer a mobile OBIS program for classification officers to use, bringing their routine inmate meetings directly to the inmates. This allowed classification officers to meet with more inmates, lessened the burden on corrections officers for various inmate call outs, and consolidated the mobile meetings with a real-time exchange of information benefiting both officers and inmates. Expanding



the network infrastructure to include officer stations and wireless installations will enable such advancements in the use of technology behind the secure perimeter.

2.0 BUSINESS NEED AND OBJECTIVES

2.1 Business Need and Justification

The Expanding network connectivity will provide the following benefits.

- Enables direct communication channels via Microsoft Outlook email, MS Teams, and DC Web (Intranet access)
- Provides for considerable efficiency gains via process automation and workflows, such as activity and
- security logs, incident reporting, use of force, human resource applications and tools, etc.
- Frees up security staff for more critical public safety posts that otherwise might remain unfilled due to staff vacancies
- Provides the infrastructure foundation for a future networked camera solution

3.0 PROJECT SUMMARY

3.1 Project Description

Network connectivity with sufficient bandwidth and computers to access existing agency applications will be installed in all housing units for officers to access existing Department network resources and applications. Connectivity between buildings will be provided using fiberoptic cabling that is run through new conduit in the ground. Connectivity in each housing unit will include new switch equipment for desktop computers to obtain connectivity through Ethernet cabling. Connectivity in each housing unit will include new wireless access point equipment for tablet computers to obtain connectivity over WiFi that complies with FIPS 140-2 security requirements. Approximately 1,000 new desktop computers with Microsoft licensing will be installed in each housing unit for correctional officers to access network resources and agency applications. The paper-based business process will be replaced with digital solutions so that correctional officers can input data through agency applications in real-time and enable direct communication channels using Microsoft Outlook email, Microsoft Teams, and DC Web (Intranet access).

3.2 Scope

The scope of this project includes the procurement, implementation, and management of network resources required to support statewide network connectivity and wireless access.



The table below summarizes the activities to support the Officer Stations Network project:

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 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

The Officer Stations Network project 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 Officer Stations Network is an understanding that the functions of the Department to meet its mission cannot be interrupted.

3.3.1 Assumptions

- Project activities will be compliant with all applicable state and federal policies, statutes, and rules.
- Equipment and services can be procured timely to ensure project completion.
- Vendors can implement the proposed solution in the designated timeframe, in the sequence prescribed, and in alignment with budgetary allocations/restrictions.
- The additional network connectivity will enable direct communications and promote operational efficiencies.
- The project team, both the Department and the vendor, will be staffed appropriately to coordinate the procurement and installation of all infrastructure and services per the project objectives.
- The project can be implemented in single fiscal year.
- 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.

3.3.2 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.

3.4 Milestones

Milestone	Deliverable(s) to Complete
Legislative Approval	Updated Schedule IV-B
Procurement (RFQ)	Solicitation Document and Contract
Procurement (Support resources and software)	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
Hardware Purchase Completed	Hardware Received
Acceptance of Functional and Technical Design Specifications	Functional and Technical Design Specification documents
Network Infrastructure Installed	Wired and Wireless Network Installation and Configuration
User Acceptance Testing Complete	User Acceptance Document Sign-off
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 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>
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>
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



Name	Deliverable Description
IV&V Contract Compliance Checklist	Documents that vendors involved with the project have met all contractual requirements.
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 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 Network	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.
System Documentation	All the documentation required to enable FDC staff to troubleshoot, maintain and enhance the newer system.

4.0 INITIAL PROJECT PLAN

4.1 Estimated Budget

The total project cost is estimated to about \$31,993,768.

Funding	Item	Amount
Non-recurring	Network Fiber Installation	\$12,866,800
Non-recurring	Network Equipment	\$15,001,200
Non-recurring	Computers	\$1,325,000
Recurring	Network Maintenance	\$245,688
Recurring	DMS MFN2 State Network Bandwidth	\$840,000
Recurring	Microsoft G3 License Subscription	\$1,450,080
Recurring	5-Year Computer Refresh	\$265,000
	Total	\$31,993,768

4.2 Funding Source(s)

Funding for the Officer Stations Network is dependent on approval of the Department's FY 2023-24 Legislative Budget Request (LBR). Without funding approval, the project will not move forward.



4.3 Procurement Strategy

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.

4.4 Project Schedule Estimate

The graphics below depict the high-level timeline for major activities or workstreams for the project.

Task Name	Duration	Start	Finish
Officer Stations LBR V2	398 days	Tue 11/1/22	Fri 5/31/24
Preparation	153 days	Tue 11/1/22	Mon 6/12/23
Schedule IV-B	153 days	Tue 11/1/22	Mon 6/12/23
Drafting	60 days	Tue 11/1/22	Tue 1/31/23
Internal Review	30 days	Wed 2/1/23	Tue 3/14/23
Session	45 days	Mon 4/10/23	Mon 6/12/23
Budget Approval (Gov Signature)	0 days	Mon 6/26/23	Mon 6/26/23
TIPS Quote for Fiber Install	168 days	Tue 11/1/22	Mon 7/3/23
IV&V RFQ	168 days	Tue 11/1/22	Mon 7/3/23
Hardware Purchase and Installation RFQ	203 days	Tue 11/1/22	Tue 8/22/23
Project Execution	230 days	Wed 7/5/23	Fri 5/31/24
Project Complete	0 days	Thu 5/16/24	Thu 5/16/24

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 Officer Stations Network 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.

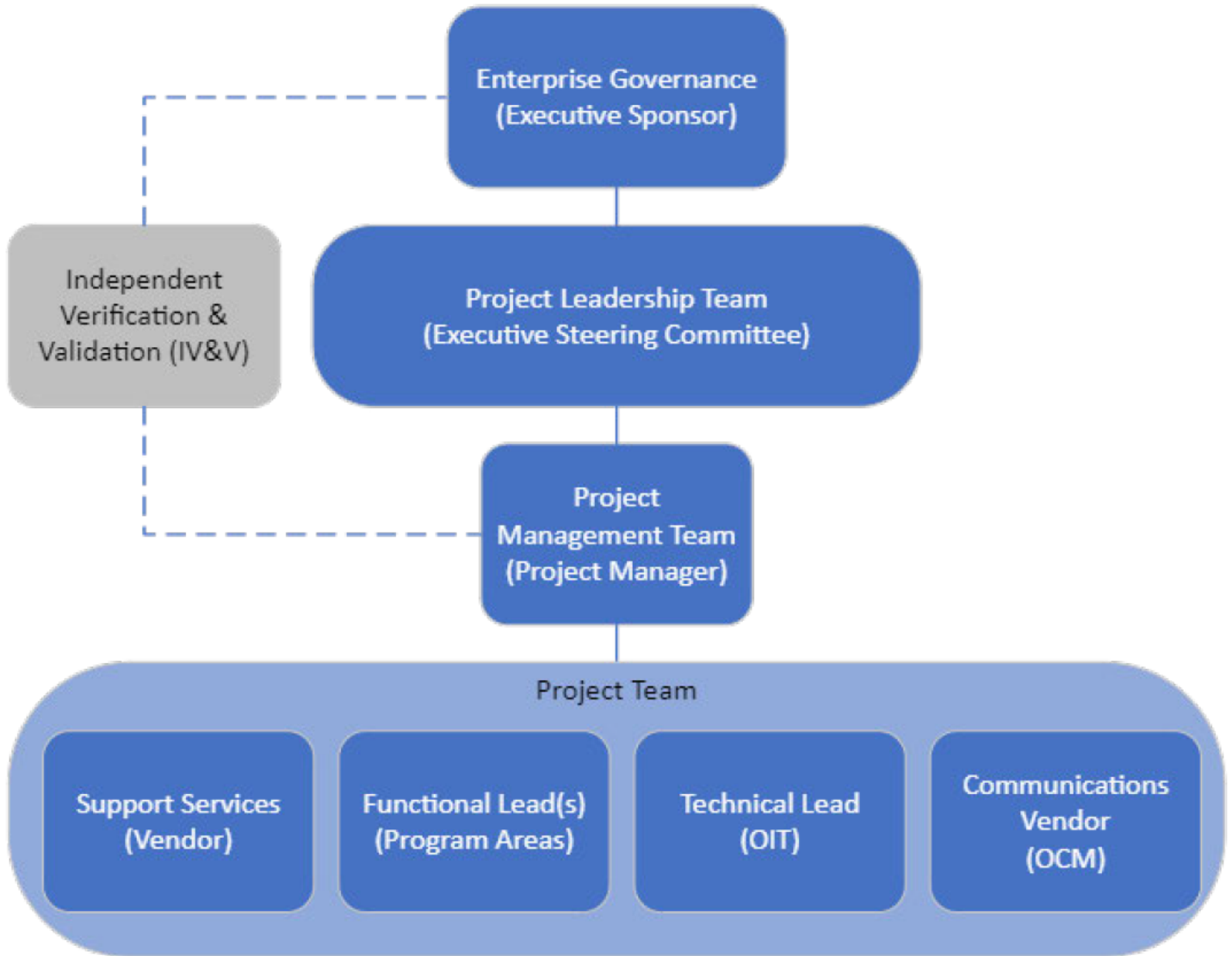
5.2 Project Manager

The Project Manager is responsible for managing the project and keeping the project leadership team and stakeholders informed. The Officer Stations Network 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 at least one Certified Project Management Professionals (PMP®).



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 **Officer Stations Network 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: _____
Print Name: **Richard Comerford**
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: _____

Appendix C - Draft Project Management Plan

FLORIDA DEPARTMENT OF CORRECTIONS

Office of Information Technology

Project Management Office



OFFICER STATIONS NETWORK

PROJECT MANAGEMENT PLAN

VERSION 1.0



CONTACTS

Agency Project Manager:		Agency Project Sponsor:	
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Email:	Andrew.Morton@fdc.myflorida.com	Email:	Richard.Comerford@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: **Richard Comerford**
 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: **Andrew Morton**
 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 Officer Stations Network 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

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. Of the 149 main units, work camps, and annex sites, only a handful of those built in recent decades have been properly scoped for emerging technology and connectivity needs. As it stands today, Department leadership cannot directly communicate with the officers in the field due to the inaccessibility of technology behind the secure perimeter, extending to the various buildings and officer stations—including computers and connectivity—for basic email and access to the Department’s intranet site. The lack of technology access also limits the future of offender management when talking about automation opportunities requiring real-time upload of information for routine, statutorily required processes such as the various counts and cell checks required.

The Department also recently launched a pilot program at Jackson CI in three AMU housing units, installing fiber and wireless access points. This base installation enabled the Department to offer a mobile OBIS program for classification officers to use, bringing their routine inmate meetings directly to the inmates. This allowed classification officers to meet with more inmates, lessened the burden on corrections officers for various inmate call outs, and consolidated the mobile meetings with a real-time exchange of information benefiting both officers and inmates. Expanding the network infrastructure to include officer stations and wireless installations will enable such advancements in the use of technology behind the secure perimeter.

2.2 In Scope

The scope of this project includes the procurement, implementation, and management of network resources required to support statewide network connectivity and wireless access, as described below:

- Addition of network connectivity with sufficient bandwidth and computers to access existing agency applications will be installed in all housing units for officers to access existing Department network resources and applications.
- Connectivity between buildings will be provided using fiberoptic cabling that is run through new conduit in the ground. Connectivity in each housing unit will include new switch equipment for desktop computers to obtain connectivity through Ethernet cabling.
- Connectivity in each housing unit to include new wireless access point equipment for tablet computers to obtain connectivity over WiFi that complies with FIPS 140-2 security requirements.
- Approximately 1,000 new desktop computers with Microsoft licensing will be installed in each housing unit for correctional officers to access network resources and agency applications.
- The new infrastructure will provide opportunities for the Department to capitalize on operational efficiencies, replacing paper-based processes with digital solutions that enable correctional officers to capture data directly into agency applications in real-time and enable direct communications using Microsoft Outlook email, Microsoft Teams, and the intranet.



Also Included in the project scope:

- Establishment of a Project Management Team
- Organizational Change Management
- Independent Verification and Validation (IV&V)
- Statewide infrastructure implementation
- Content development for training materials and system help screens
- End-user training
- Operations and maintenance planning

2.3 Out of Scope

Due to the broad scope of this project, anything not stated as in-scope is considered out of scope for this project.

2.4 Project Objectives

Expanding network connectivity will provide the following benefits.

- Enables direct communication channels via Microsoft Outlook email, MS Teams, and DC Web (Intranet access).
- Provides for considerable efficiency gains via process automation and workflows, such as activity and security logs, incident reporting, use of force, human resource applications and tools, etc.
- Frees up security staff for more critical public safety posts that otherwise might remain unfilled due to staff vacancies
- Provides the infrastructure foundation for a future networked camera solution
- Improve business connectivity and officer safety by establishing statewide network connectivity and wireless access behind the secure perimeter for officer stations in all housing units.
- Connects staff to Department resources, including intranet and email access.
- Provides necessary infrastructure for the use of web and mobile-based applications.
- Establishes core infrastructure to support future networked camera solutions.
- Reduces the Department's costly dependency on paper-based forms and storage.

2.5 Assumptions and Constraints

The implementation of an Officer Stations Network 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 implementing an Officer Stations Network is an understanding that the functions of the Department to meet its mission cannot be interrupted.

2.5.1 Assumptions

- Funding to maintain and operate the current network will continue until the new infrastructure is operational.



- The proposed vendor solution 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).
- 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 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 an Officer Stations Network 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 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 Department's executive leadership and key project stakeholders will remain invested in the success of the project throughout the implementation.
- 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 consider public safety as an overarching goal of the Department.

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.
- Infrastructure must comply with Department standards, which may be limited due to ongoing international supply chain constraints.
- There is a limit to the workload that Department staff can dedicate to external project work.
- Site visits require staff facilitation, advanced approval, and background screening.
- Federal infrastructure improvement efforts may limit the resource available to commit to a large-scale, statewide deployment.



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
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
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 by Project Sponsor, formally authorizing the existence of the project and provides the Project Manager with the authority to apply organizational resources to project activities.
Project Management Plan	Includes the following documents as required by the FDC Project Director and/or the PMO: <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 Network Diagrams	Represents, graphically, the current state of existing network infrastructure. This document should include narrative descriptions of key infrastructure, including access points, switches, and network devices.
To-Be Business Network Diagrams	Represents the future state of the Officer Stations Network architecture, as reengineered by the vendor in conjunction with FDC subject matter experts and in compliance with Department standards.
Technical Design Specification	Detailed technical design for data and information processing in the network architecture.
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.
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.



Name	Deliverable Description
Transition Plan	Defines how the new system will be managed and maintained by Department staff post implementation, including any technical training requirements.
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.
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.



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 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:

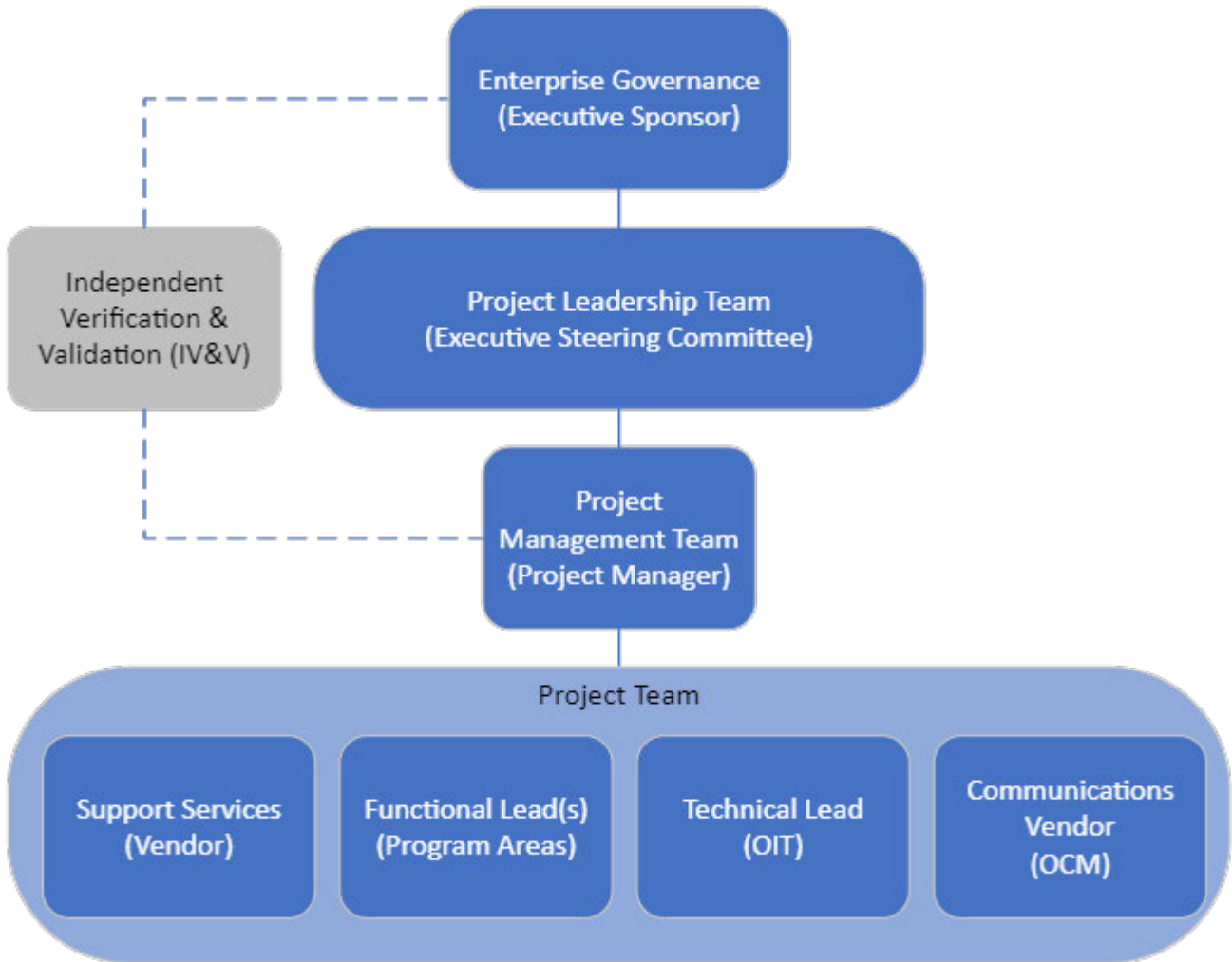
- Monitoring project progress; identifying, documenting, evaluating, and resolving project related problems that may arise
- Reviewing, evaluating, and making decisions with regard to proposed changes; Changes to project scope will be tightly controlled according to a documented change request, review 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

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 Leadership Team and Department 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 (\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).



	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 Officer Stations Network 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 2022-23). 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 2022-23). 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.

Task Name	Duration	Start	Finish
Officer Stations LBR V2	398 days	Tue 11/1/22	Fri 5/31/24
Preparation	153 days	Tue 11/1/22	Mon 6/12/23
Schedule IV-B	153 days	Tue 11/1/22	Mon 6/12/23
Drafting	60 days	Tue 11/1/22	Tue 1/31/23
Internal Review	30 days	Wed 2/1/23	Tue 3/14/23
Session	45 days	Mon 4/10/23	Mon 6/12/23
Budget Approval (Gov Signature)	0 days	Mon 6/26/23	Mon 6/26/23
TIPS Quote for Fiber Install	168 days	Tue 11/1/22	Mon 7/3/23
IV&V RFQ	168 days	Tue 11/1/22	Mon 7/3/23
Hardware Purchase and Installation RFQ	203 days	Tue 11/1/22	Tue 8/22/23
Project Execution	230 days	Wed 7/5/23	Fri 5/31/24
Project Complete	0 days	Thu 5/16/24	Thu 5/16/24

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 2023-24, estimates total project costs at \$31,993,768 million. The budget for this project will be co-managed by the Project Manager and Contract and Budget Staff internal to the department. An overview of the project budget is shown in the below chart. For detailed budget information, please refer to the Schedule IV-B Cost Benefit Analysis (CBA).

Funding	Item	Amount
Non-recurring	Network Fiber Installation	\$12,866,800
Non-recurring	Network Equipment	\$15,001,200
Non-recurring	Computers	\$1,325,000
Recurring	Network Maintenance	\$245,688
Recurring	DMS MFN2 State Network Bandwidth	\$840,000
Recurring	Microsoft G3 License Subscription	\$1,450,080
Recurring	5-Year Computer Refresh	\$265,000
	Total	\$31,993,768

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 Officer Stations Network 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 2022-23) 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

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 Officer Stations Network 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

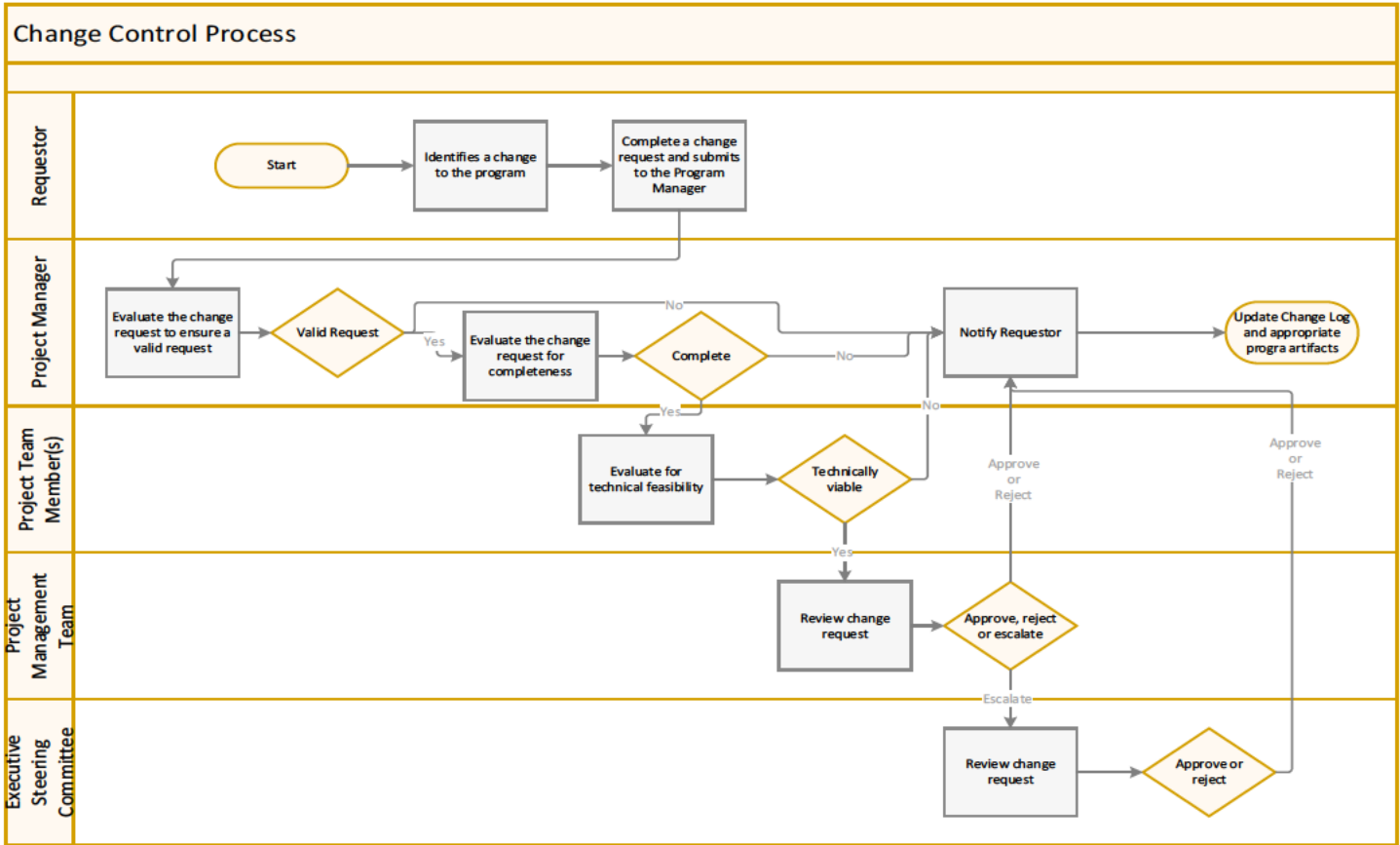
Changes should be expected during the project. These changes can result from the realization of risks, externally imposed requirements, estimation errors, leadership decisions, or adoption of new approaches to gain efficiency. Regardless the source, it is important that changes be managed to minimize 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 Officer Stations Network. These include the following artifacts:

- **Communications Strategy and Plan:** Helps to manage expectations about the Officer Stations Network 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 Officer Stations Network 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 Officer Stations Network 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	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 Officer Stations Network 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.

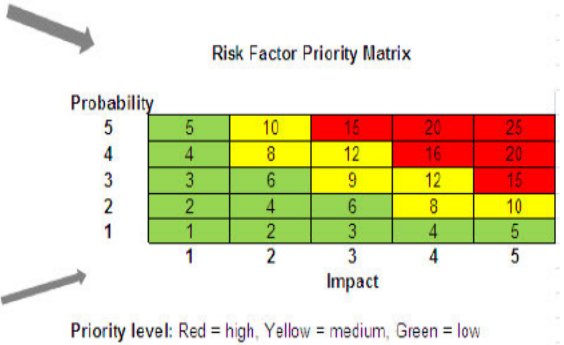
Risk Evaluation and Scoring

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	<p>Ranking the issue priority:</p> <p>Low: Minimal impact to the project.</p> <p>Medium: Progress disrupted with manageable extensions to short-term schedule and cost.</p> <p>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.</p>
Budget Impact	Numeric field to record the proposed budget impact.
% Complete	<p>Numeric field to record the percent complete status for the issue and proposed resolution strategy:</p> <p>0%: Issue has not been assigned and/or no activity has been initiated to resolve the issue.</p> <p>50%: Issue resolution is in progress and there is no concern about the resolution being achieved by the deadline date.</p> <p>100%: Issue has been resolved.</p>
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.

Appendix D – Cost Benefit Analysis Forms

CBAForm 1 - Net Tangible Benefits

Agency	Department of Corrections	Project	Officer Station Network
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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 2023-24			FY 2024-25			FY 2025-26			FY 2026-27			FY 2027-28		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A.b Total Staff	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-1.b. State FTEs (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-2.a. OPS Staff (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contractors)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Application Maintenance Costs	\$0	\$1,715,080	\$1,715,080	\$0	\$1,715,080	\$1,715,080	\$0	\$1,715,080	\$1,715,080	\$0	\$1,715,080	\$1,715,080	\$0	\$1,715,080	\$1,715,080
B-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Hardware	\$0	\$265,000	\$265,000	\$0	\$265,000	\$265,000	\$0	\$265,000	\$265,000	\$0	\$265,000	\$265,000	\$0	\$265,000	\$265,000
B-3. Software	\$0	\$1,450,080	\$1,450,080	\$0	\$1,450,080	\$1,450,080	\$0	\$1,450,080	\$1,450,080	\$0	\$1,450,080	\$1,450,080	\$0	\$1,450,080	\$1,450,080
B-4. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. Data Center Provider Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Infrastructure	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Disaster Recovery	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other State Data Center	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Other Costs	\$0	\$1,085,688	\$1,085,688	\$0	\$1,085,688	\$1,085,688	\$0	\$1,085,688	\$1,085,688	\$0	\$1,085,688	\$1,085,688	\$0	\$1,085,688	\$1,085,688
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															
E-4. Other DMS MFN2 State Network Bandwidth	\$0	\$840,000	\$840,000	\$0	\$840,000	\$840,000	\$0	\$840,000	\$840,000	\$0	\$840,000	\$840,000	\$0	\$840,000	\$840,000
E-5. Other Network Maintenance	\$0	\$245,688	\$245,688	\$0	\$245,688	\$245,688	\$0	\$245,688	\$245,688	\$0	\$245,688	\$245,688	\$0	\$245,688	\$245,688
Total of Recurring Operational Costs	\$0	\$2,800,768	\$2,800,768	\$0	\$2,800,768	\$2,800,768	\$0	\$2,800,768	\$2,800,768	\$0	\$2,800,768	\$2,800,768	\$0	\$2,800,768	\$2,800,768
F. Additional Tangible Benefits:		\$0			\$13,428,437			\$13,428,437			\$13,428,437			\$13,428,437	
F-1. Efficiencies		\$0			\$13,428,437			\$13,428,437			\$13,428,437			\$13,428,437	
F-2.															
F-3.															
F-4.															
F-5.															
F-6.															
Total Net Tangible Benefits:		(\$2,800,768)			\$10,627,669			\$10,627,669			\$10,627,669			\$10,627,669	

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	80%
Placeholder	<input type="checkbox"/>	Confidence Level	

A	B		C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
1	Department of Corrections		Officer Station Network		CBAForm 2A Baseline Project Budget															
2					FY2023-24		FY2024-25			FY2025-26			FY2026-27			FY2027-28			TOTAL	
3					\$ -		\$ 29,193,000			\$ -			\$ -			\$ -			\$ 29,193,000	
4	Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL
5	Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
6	Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
7	Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
8	Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
9	Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
10	Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
11	Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
12	Hardware purchases not included in data center services.	Hardware	OCO	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
13	Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
14	Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
15	All first-time training costs associated with the project.	Training	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
16	Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
17	Other contracted services not included in other categories.	Other Services	Contracted Services	\$ -	\$ 12,866,800	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 12,866,800
18	Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	\$ -	\$ 16,326,200	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 16,326,200
19	Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
20	Other project expenses not included in other categories.	Other Expenses	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
21	Total			\$ -	0.00	\$ 29,193,000	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 29,193,000

CBAForm 2 - Project Cost Analysis

Agency	<u>Department of Corrections</u>	Project	<u>Officer Station Network</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27	FY 2027-28	
TOTAL PROJECT COSTS (*)	\$29,193,000	\$0	\$0	\$0	\$0	\$29,193,000
CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related Costs)</i>	\$29,193,000	\$29,193,000	\$29,193,000	\$29,193,000	\$29,193,000	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27	FY 2027-28	
General Revenue	\$29,193,000	\$0	\$0	\$0	\$0	\$29,193,000
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	\$29,193,000	\$0	\$0	\$0	\$0	\$29,193,000
CUMULATIVE INVESTMENT	\$29,193,000	\$29,193,000	\$29,193,000	\$29,193,000	\$29,193,000	

Characterization of Project Cost Estimate - CBAForm 2C		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	Confidence Level	
Order of Magnitude	Confidence Level	80%
Placeholder	Confidence Level	

CBAForm 3 - Project Investment Summary

Agency	<u>Department of Corrections</u>	Project	<u>Officer Station Network</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27	FY 2027-28	TOTAL FOR ALL YEARS
Project Cost	\$29,193,000	\$0	\$0	\$0	\$0	\$29,193,000
Net Tangible Benefits	(\$2,800,768)	\$10,627,669	\$10,627,669	\$10,627,669	\$10,627,669	\$39,709,908
Return on Investment	(\$31,993,768)	\$10,627,669	\$10,627,669	\$10,627,669	\$10,627,669	\$10,516,908
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	4	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2027-28	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$6,875,579	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	12.42%	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%

SCHEDULE IV-B FOR OFFENDER BASED INFORMATION SYSTEM (OBIS) MODERNIZATION

For Fiscal Year 2022-23



September 15, 2021

Florida Department of Corrections


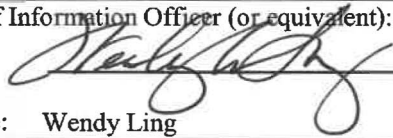

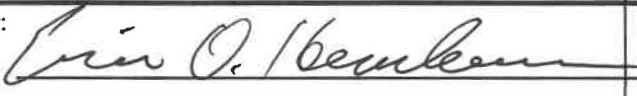

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Schedule IV-B for Offender Based Information System (OBIS) Modernization

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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):	
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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
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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.

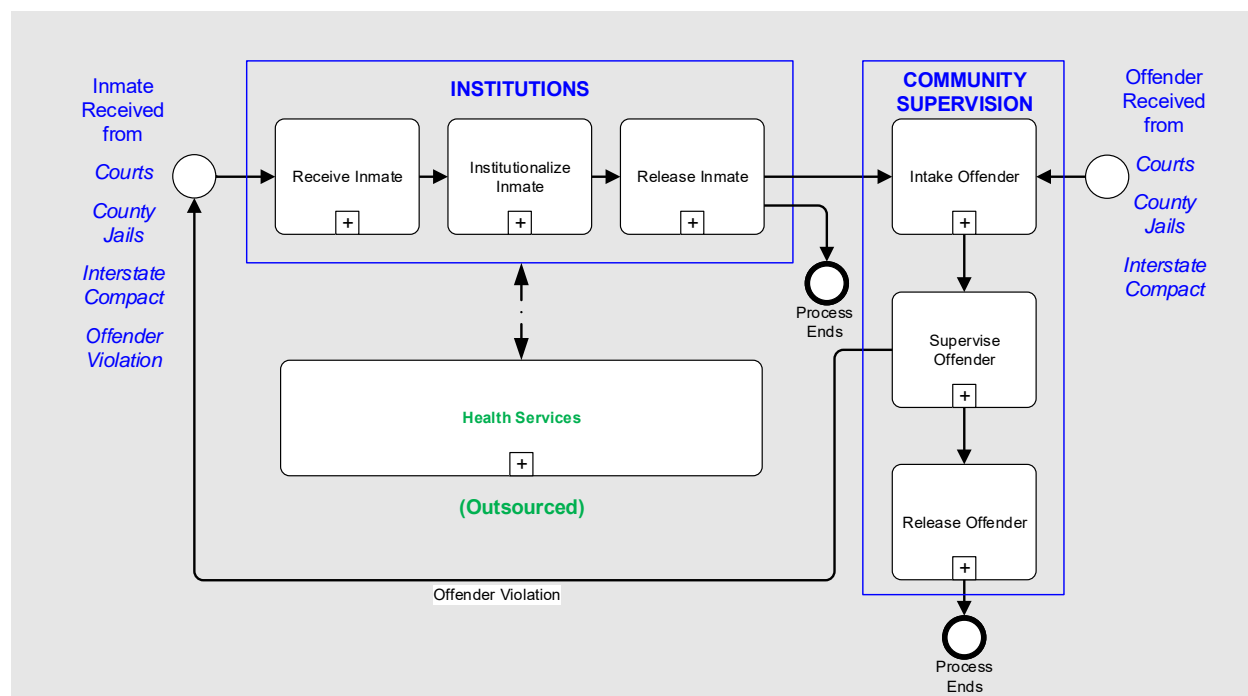


Figure 1: Overview of Florida Department of Corrections Core Functions

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 (DACCS) • 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.

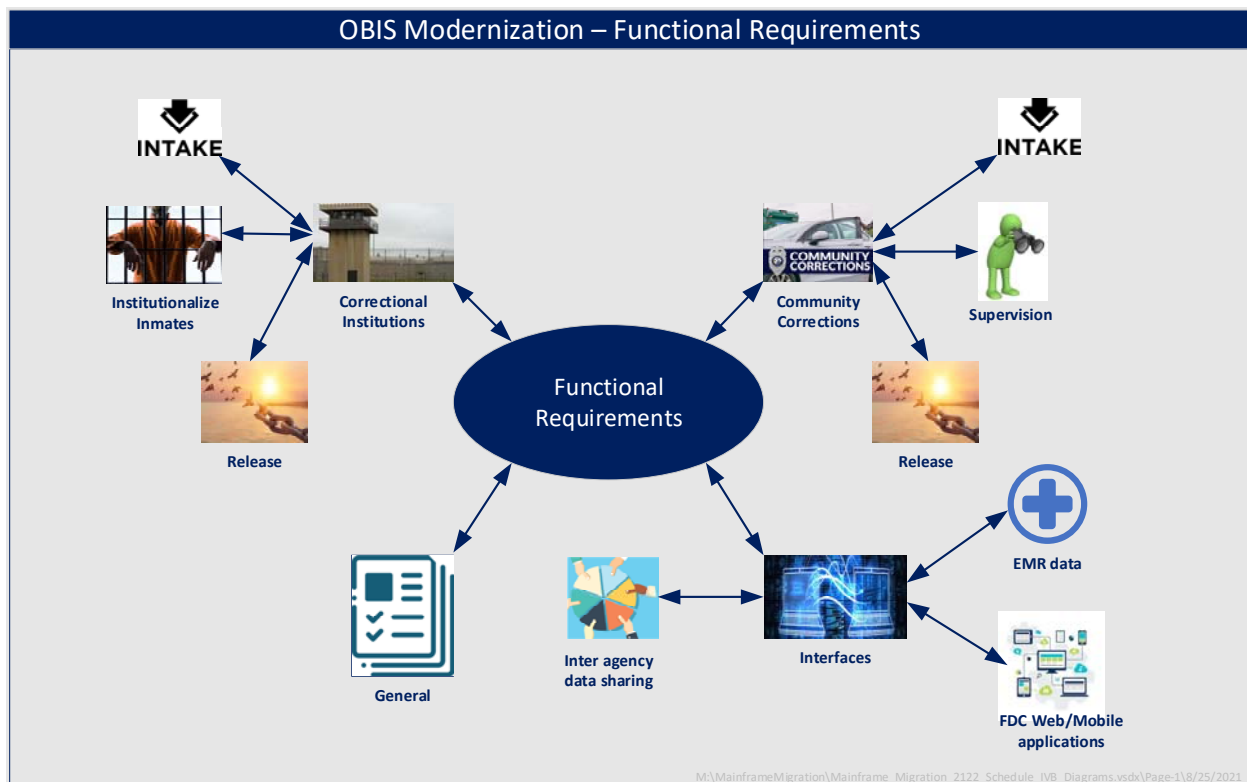


Figure 2: Functional Requirements for OBIS Modernization.

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

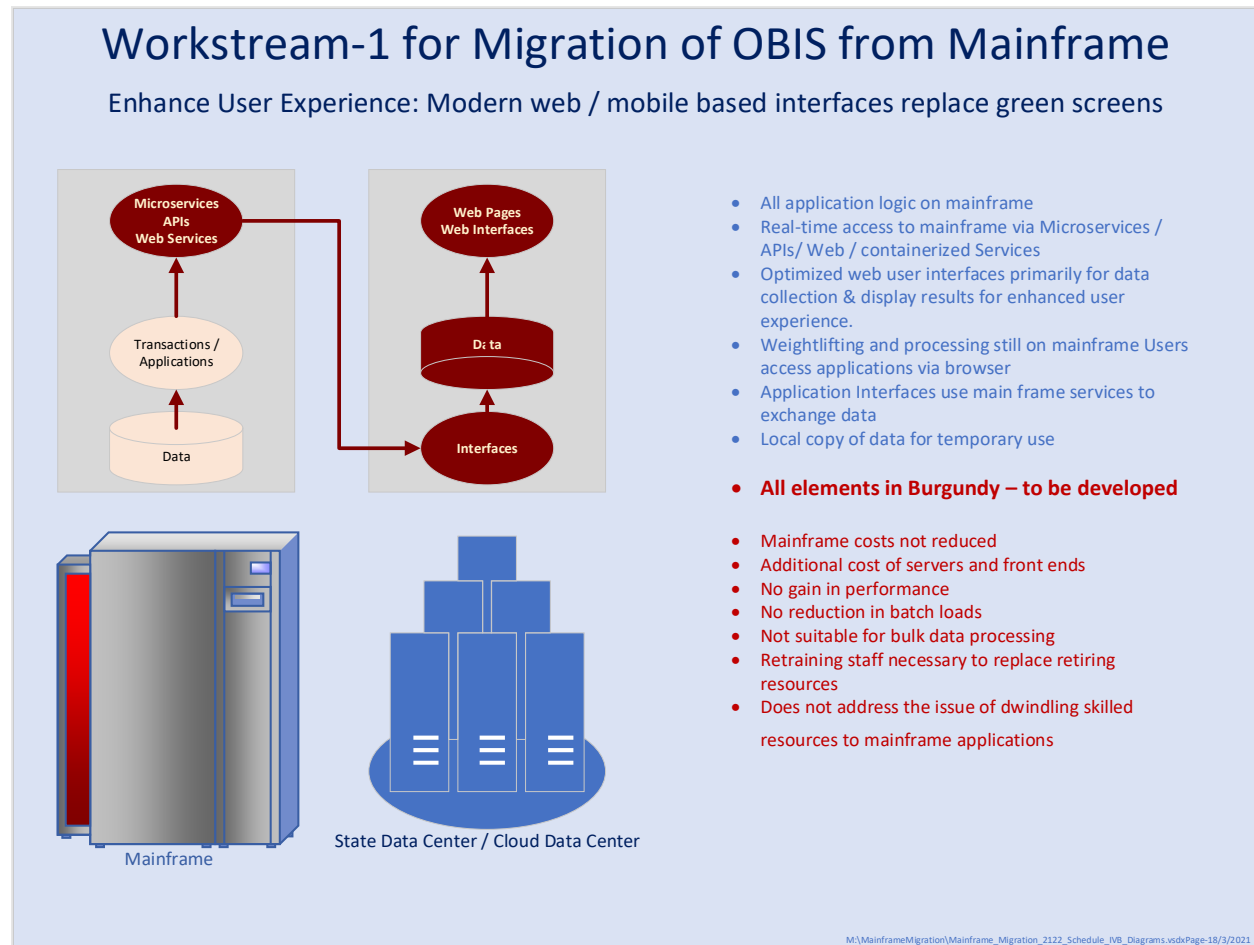


Figure 4: Workstream 1

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

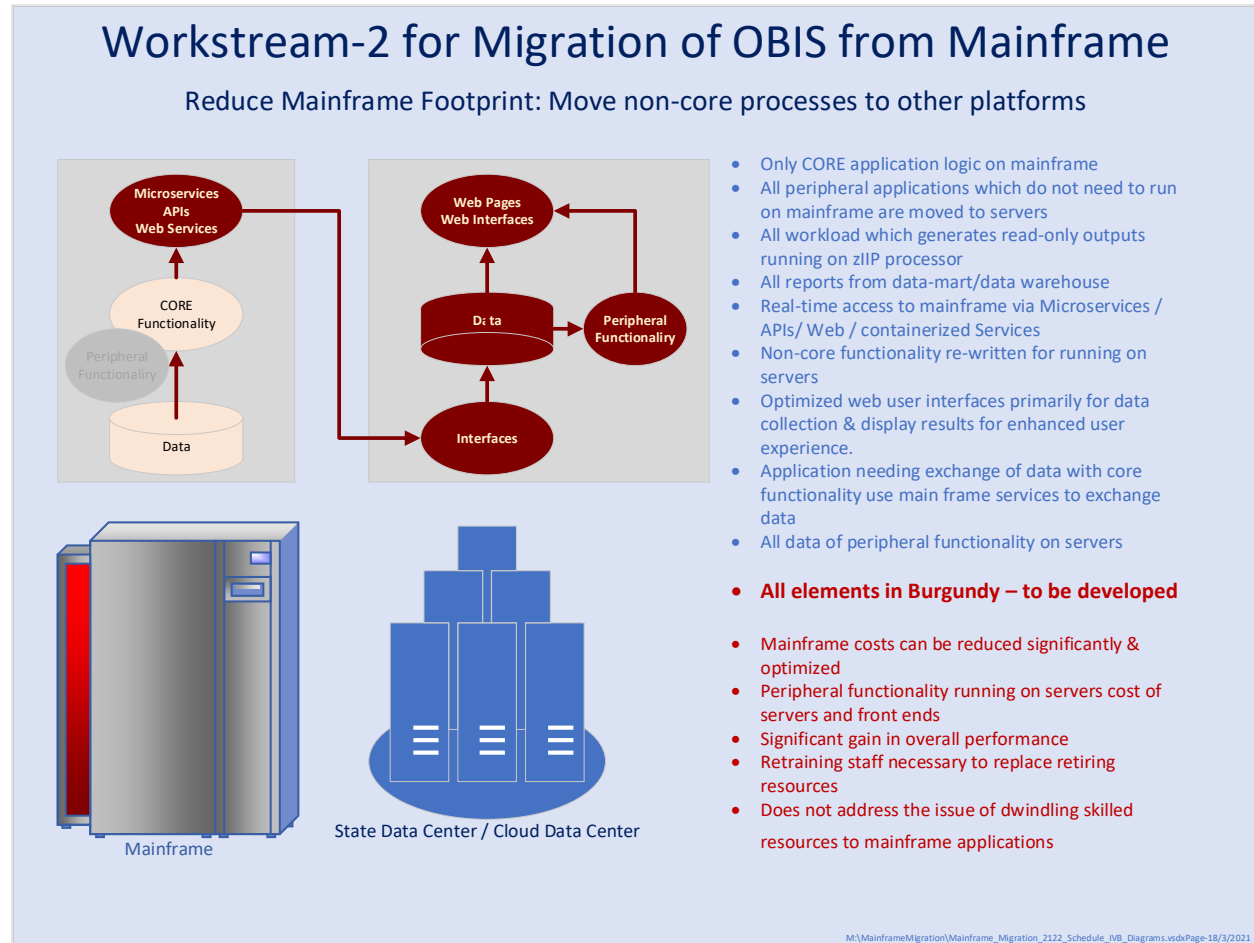


Figure 5: Workstream 2

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

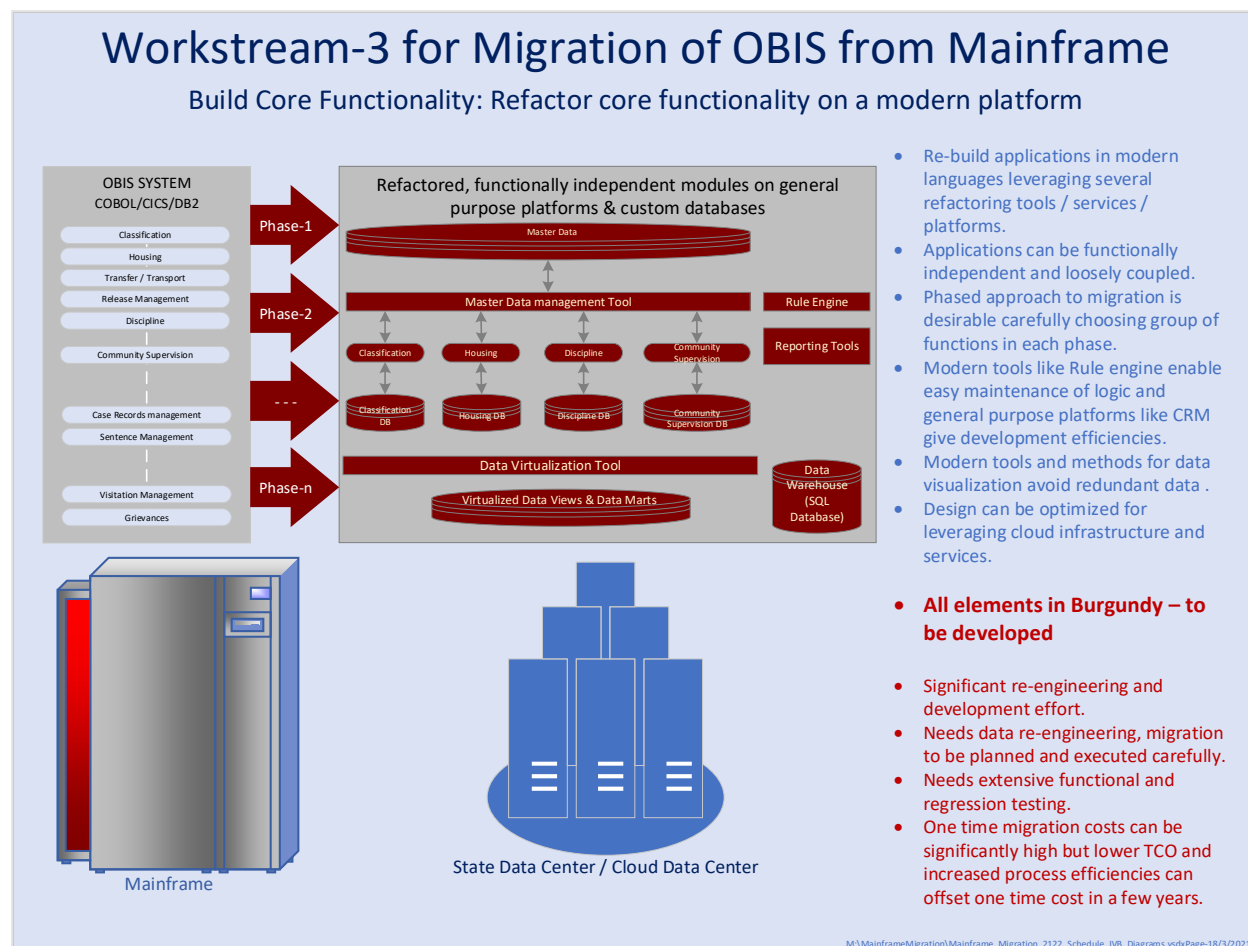


Figure 6: Workstream 3

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.

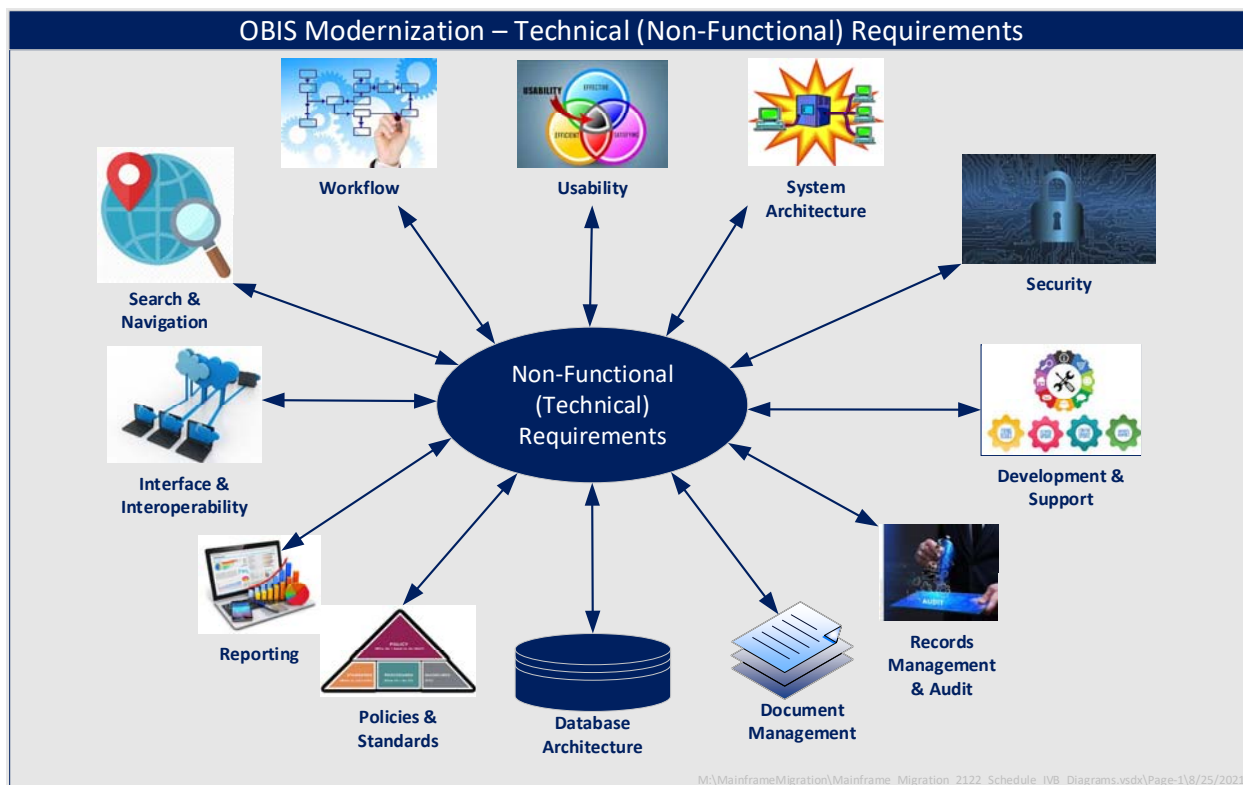


Figure 7: Summary of Technical Requirements for OBIS Modernization

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.

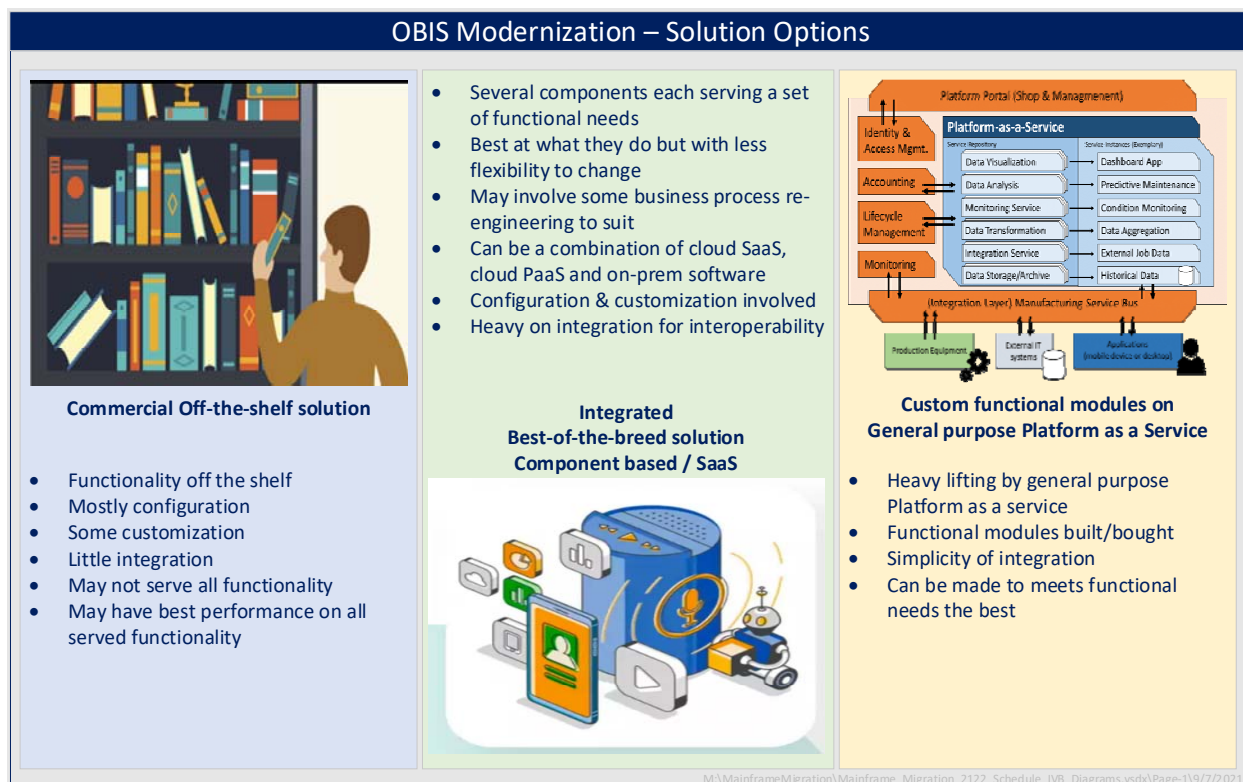


Figure 8: OBIS Modernization Solution Options

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 (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	\$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 Specify	\$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 State Data Center	\$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 Cloud Hosting	\$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. 1 - Mobile and Web-based System		\$0			\$2,048,582			\$4,089,808			\$7,050,505			\$9,091,731		
F-2. 2 - Modern Architecture		\$0			\$0			\$0			\$1,402,500			\$1,402,500		
F-3. 3 - Data Analytics		\$0			\$0			\$1,021,635			\$2,962,740			\$6,742,788		
F-4. 4 - Workload Management		\$0			\$931,490			\$11,140,720			\$20,315,619			\$35,153,792		
F-5. 5 - Interoperable System		\$0			\$0			\$0			\$0			\$0		
F-6. 6 - Retain Skilled Support Staff		\$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						
	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	

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.

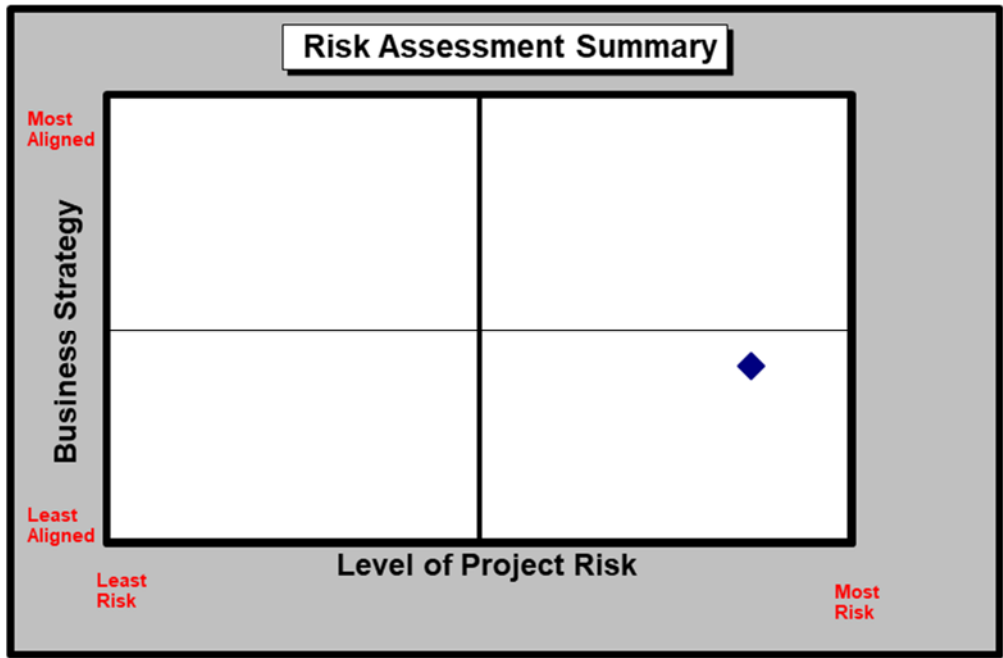


Figure 11: Project Risk Assessment Summary

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.

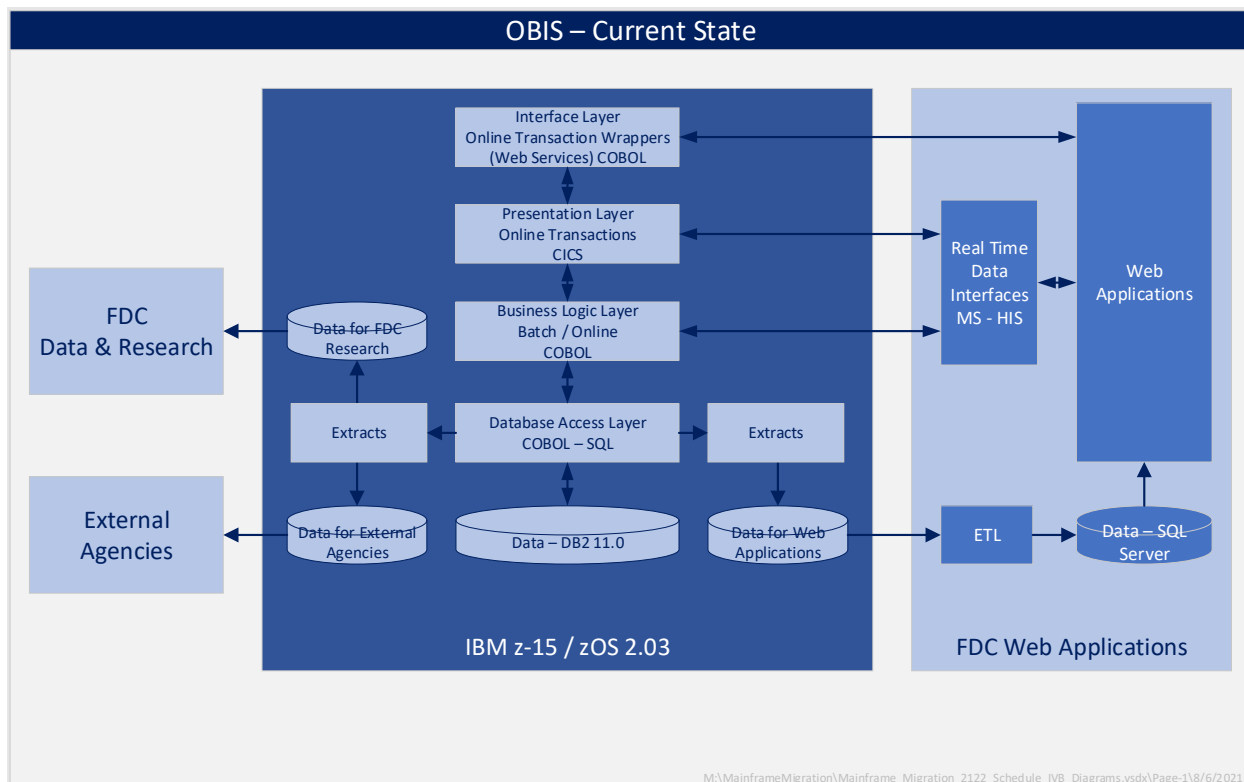


Figure 13: OBIS Current State

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.

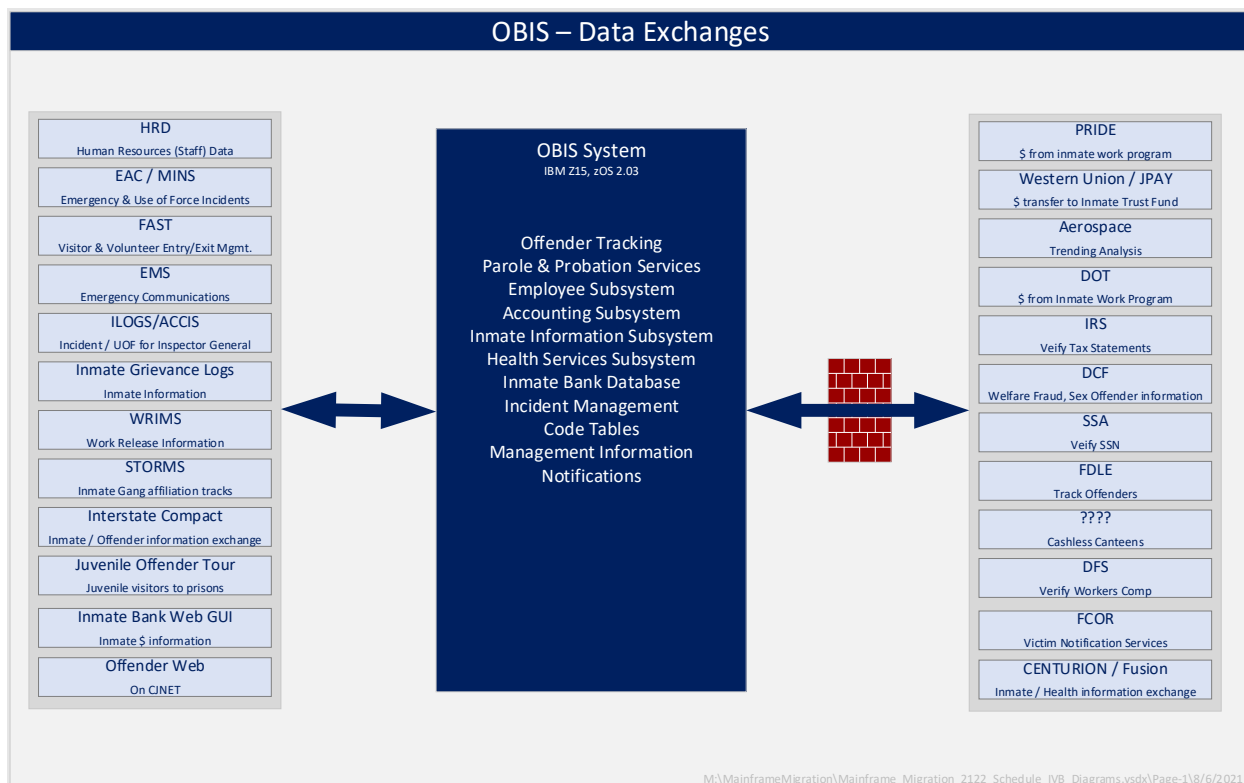


Figure 14: OBIS Current Data Exchanges

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)

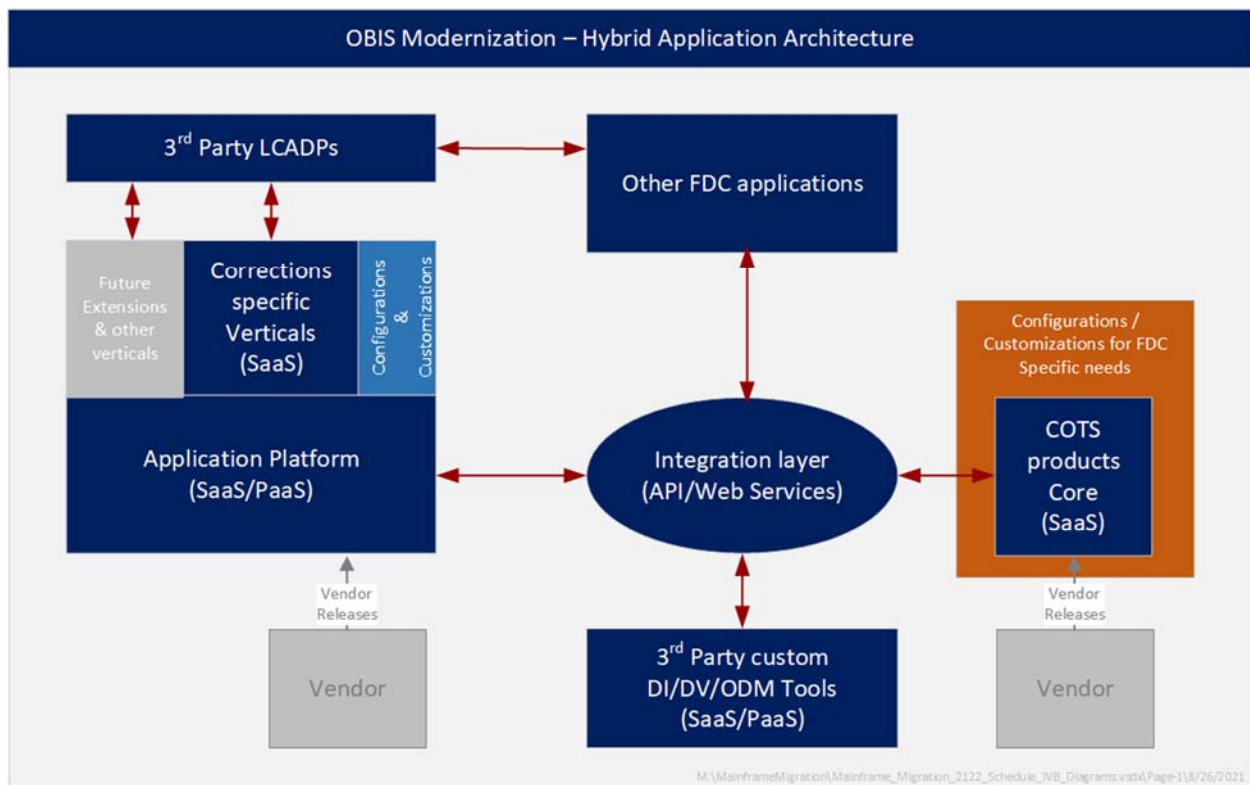


Figure 15: Proposed Application Architecture (Hybrid Approach)

2. Proposed Data Architecture (Hybrid Approach)

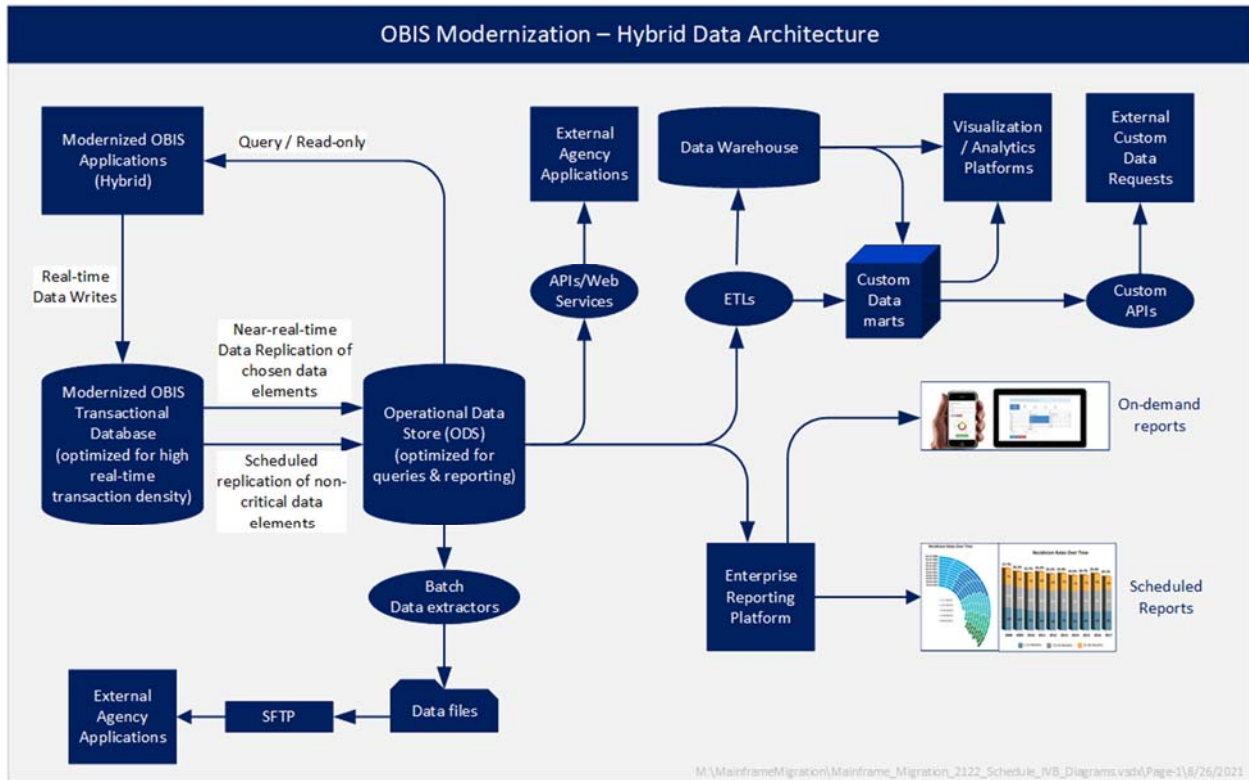


Figure 16: Proposed Data Architecture (Hybrid Approach)

3. Technical Solution Alternatives

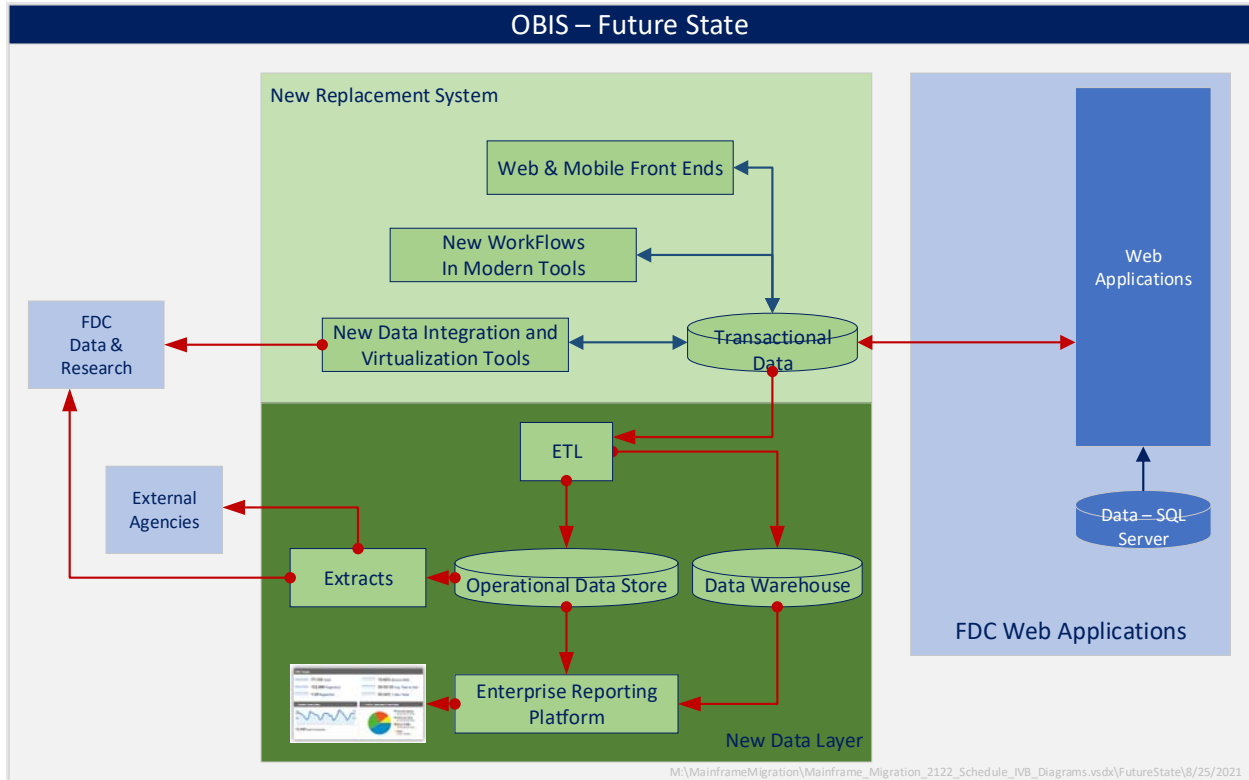


Figure 17: OBIS Modernization Future State

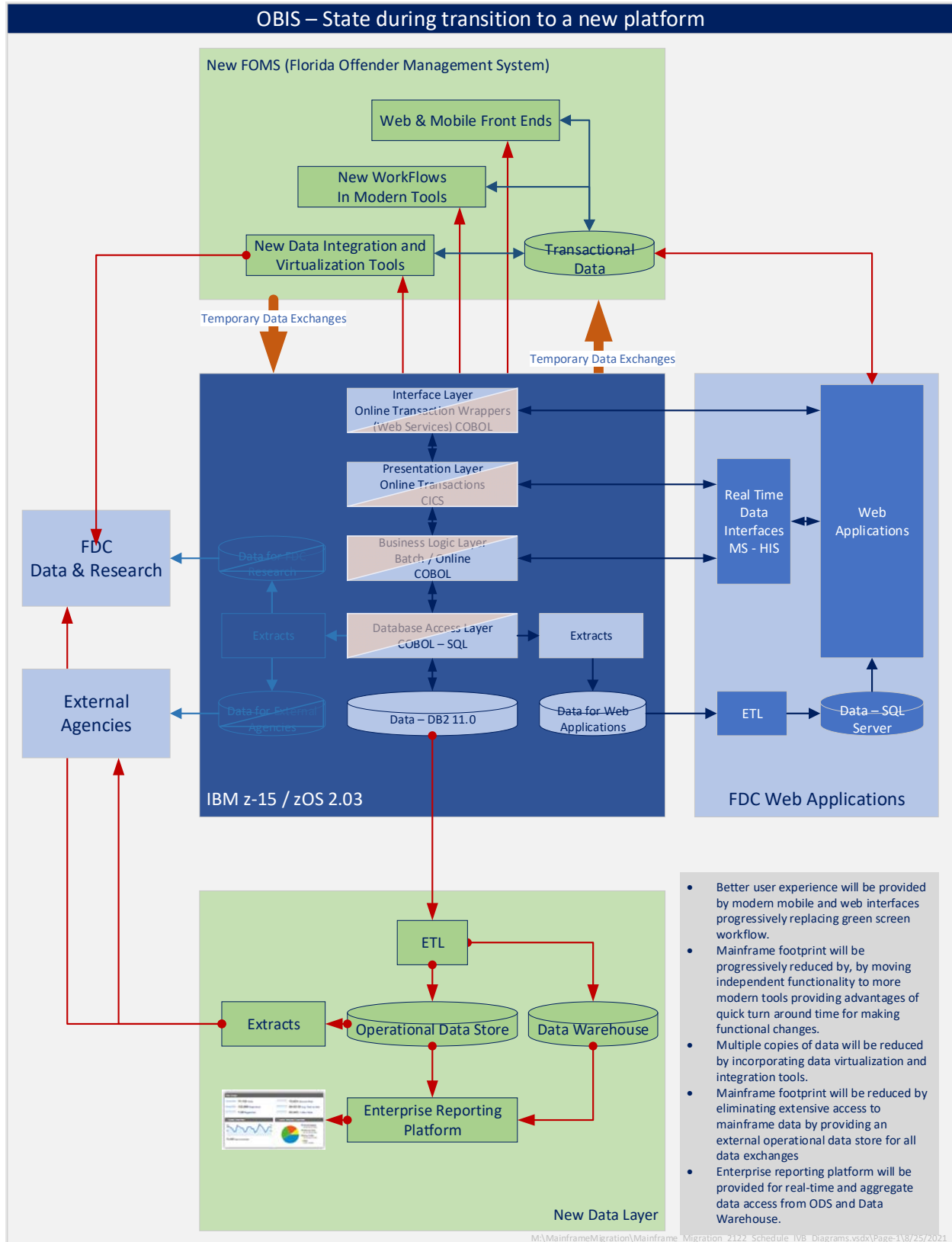


Figure 18: OBIS Modernization – State During Transition

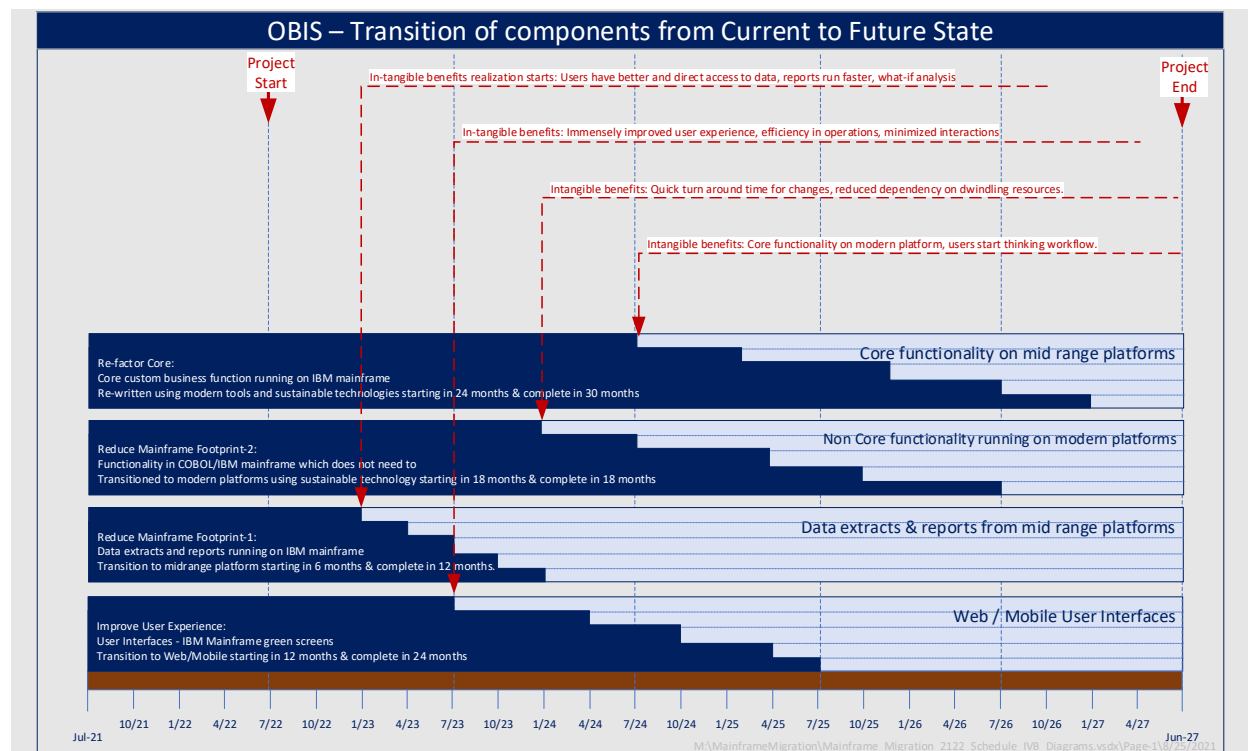


Figure 19: OBIS Modernization – Transition of Components from Current to Future State

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													
19													
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:	
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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.

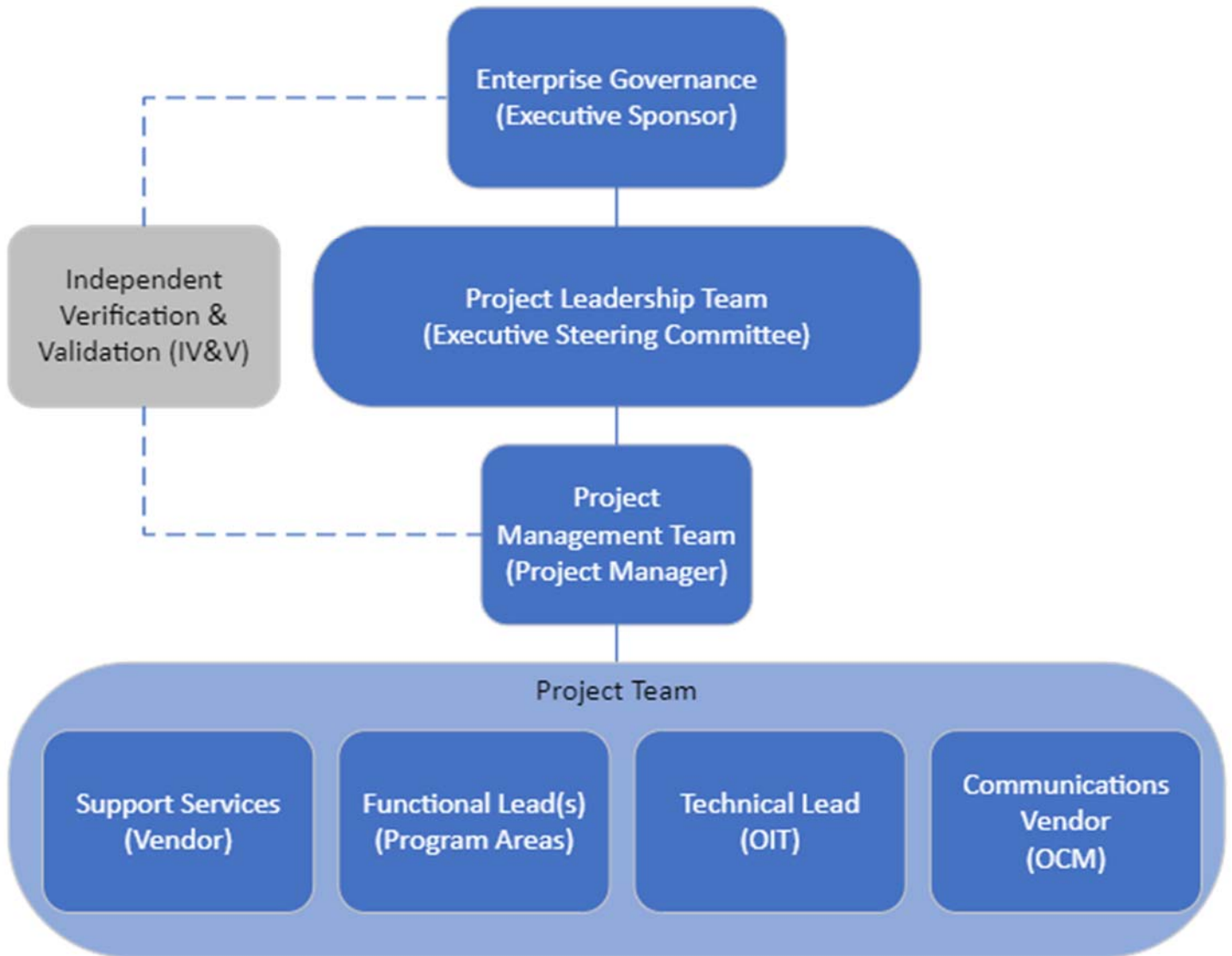
5.2 Project Manager

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: *Ricky Dixon* Date: 9/14/21
 Print Name: Ricky Dixon
 Title: Deputy Secretary
 Agency: Florida Department of Corrections
 Role: Project Sponsor

Signature: *Mark Tallent* Date: 9/13/21
 Print Name: Mark Tallent
 Title: Chief Financial Officer
 Agency: Florida Department of Corrections
 Role: _____

Signature: *Tim Fitzgerald* Date: 9/13/21
 Print Name: Tim Fitzgerald
 Title: Chief of Staff
 Agency: Florida Department of Corrections
 Role: _____

Signature: *Wendy Ling* 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:	
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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

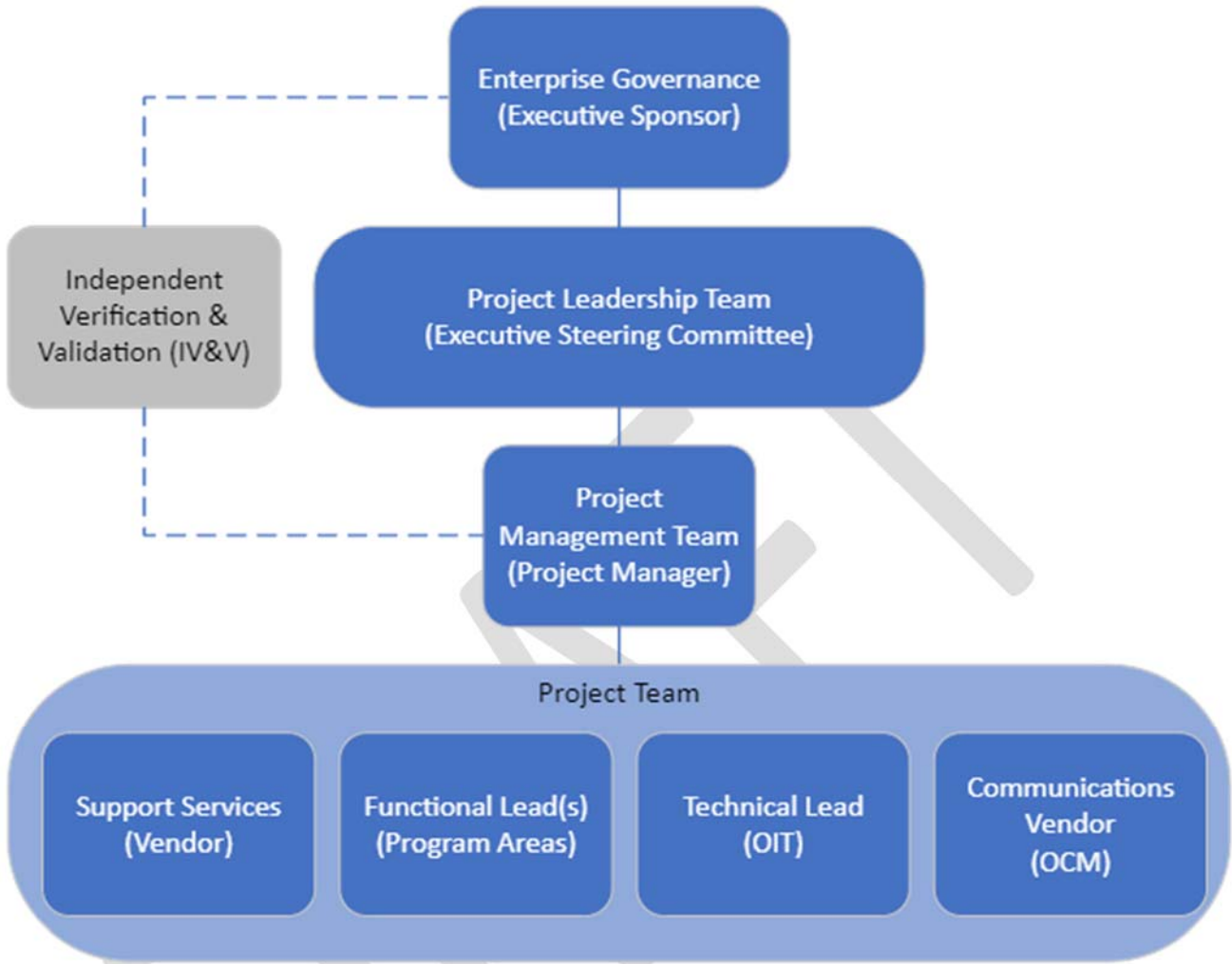
The OBIS Modernization Project leverages the agile methodology in recognition that the business rules and requirements for all projects will continue to be refined in an iterative manner leading up to development. With a multitude of stakeholder groups, the agile approach allows representatives to prioritize 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					
<u>Project Leadership Team</u> <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-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

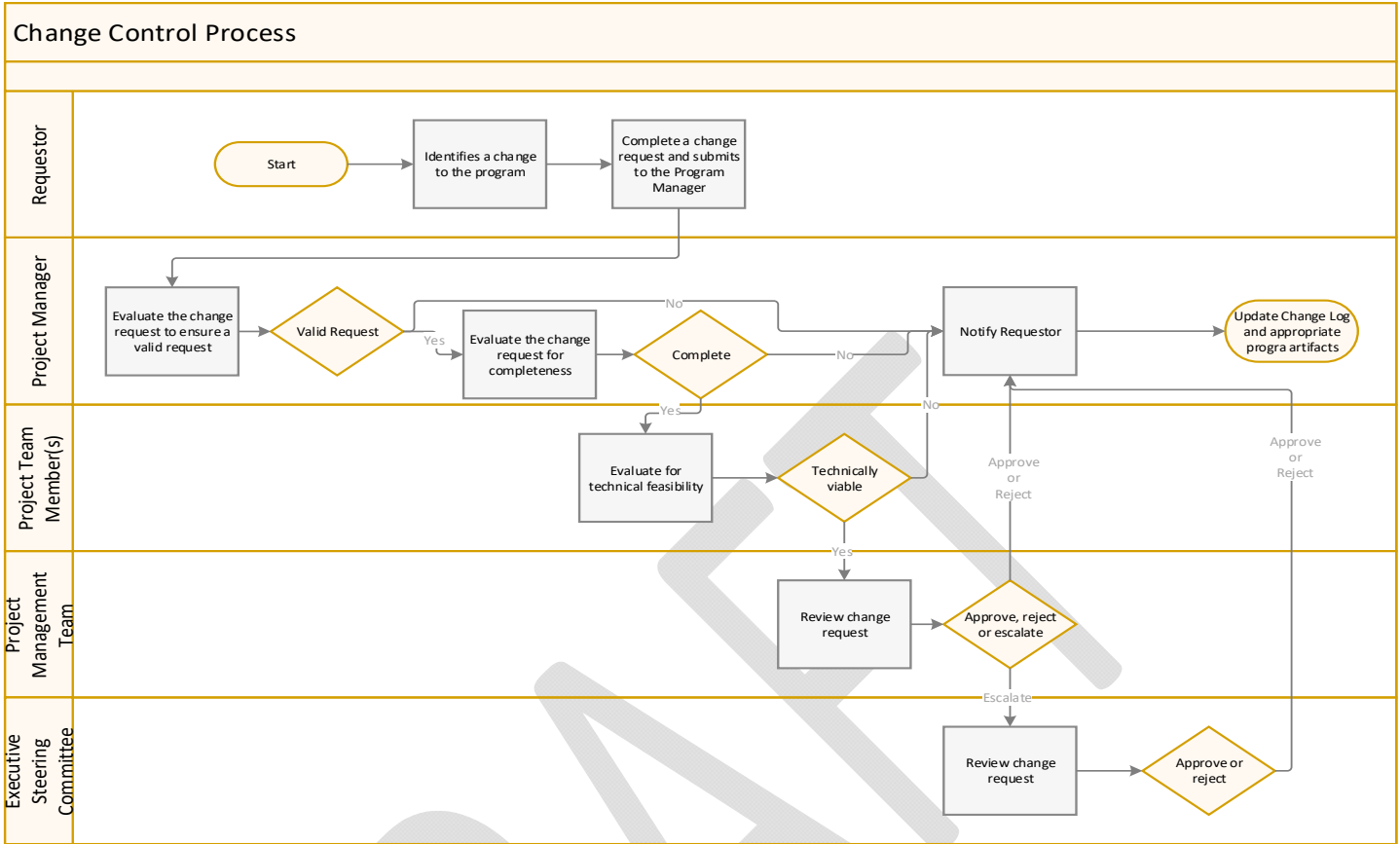
Changes should be expected during the project. These changes can result from the realization of risks, externally imposed requirements, estimation errors, leadership decisions, or adoption of new approaches to gain efficiency. Regardless the source, it is important that changes be managed to minimize 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.

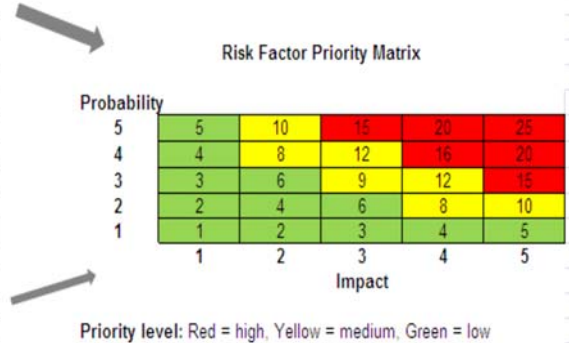
Risk Evaluation and Scoring

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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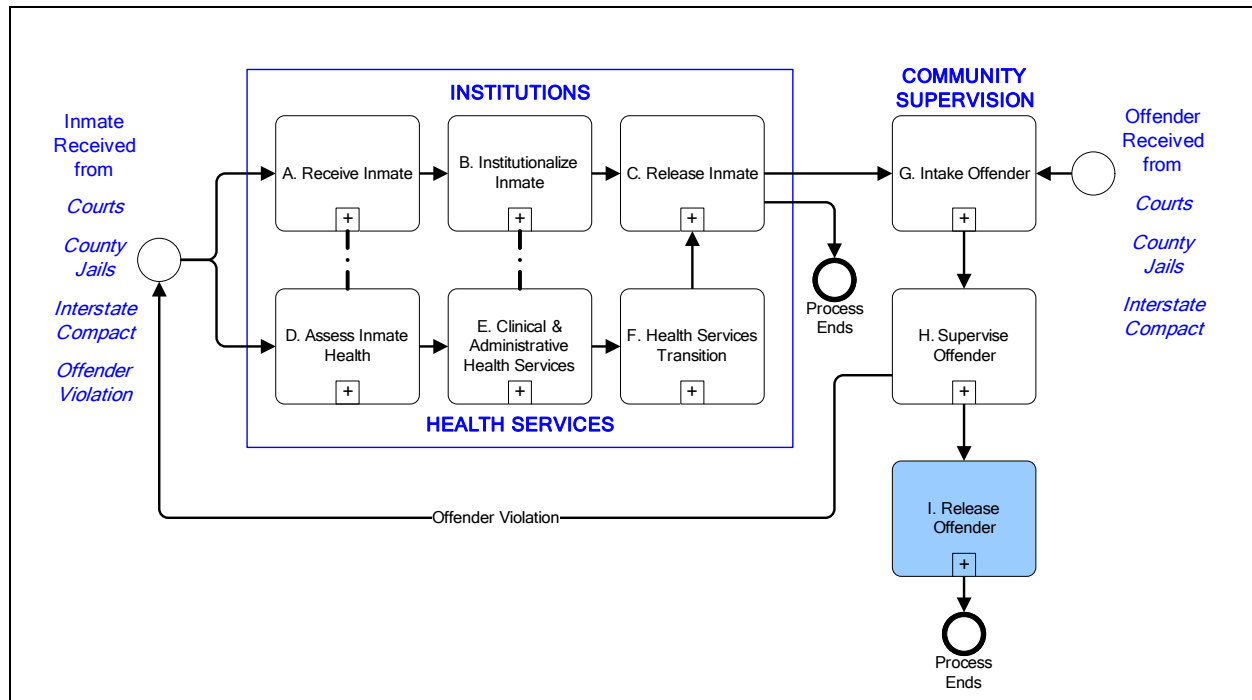
1 DC CORE BUSINESS PROCESSES

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

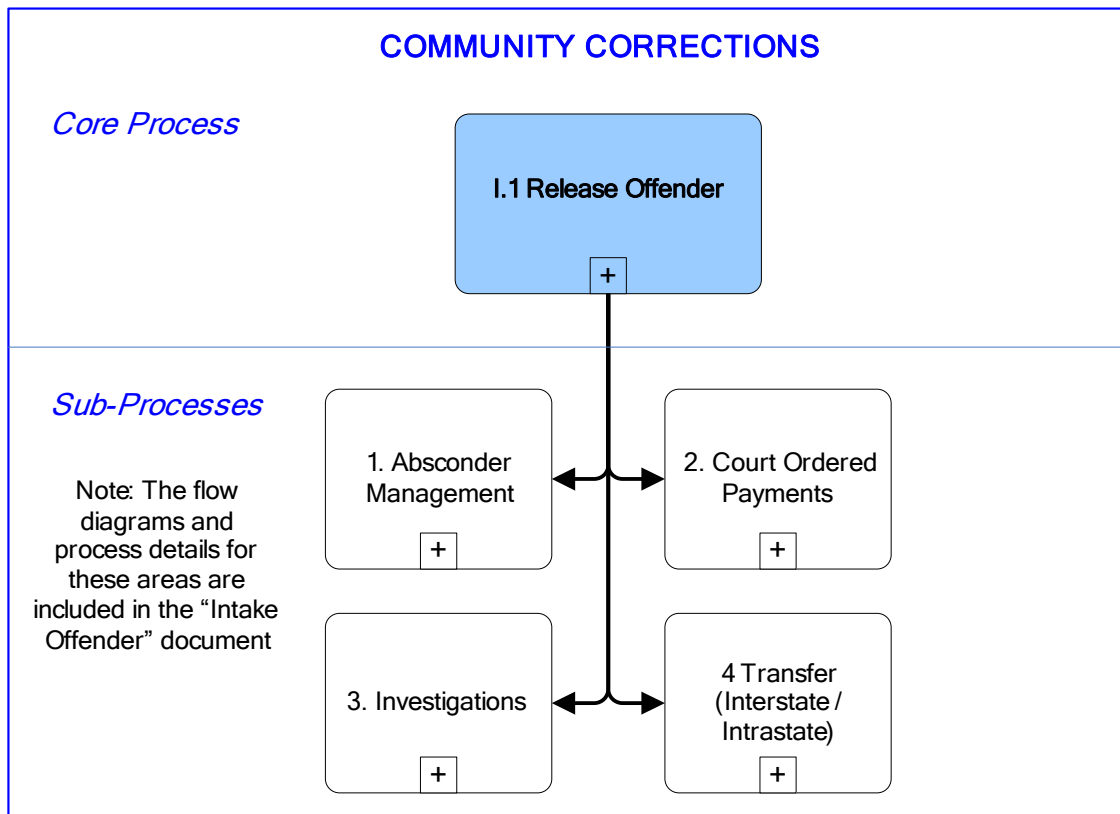
Community Corrections Business Process Analysis



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>	Field Office (Officer / Supervisor) Offender



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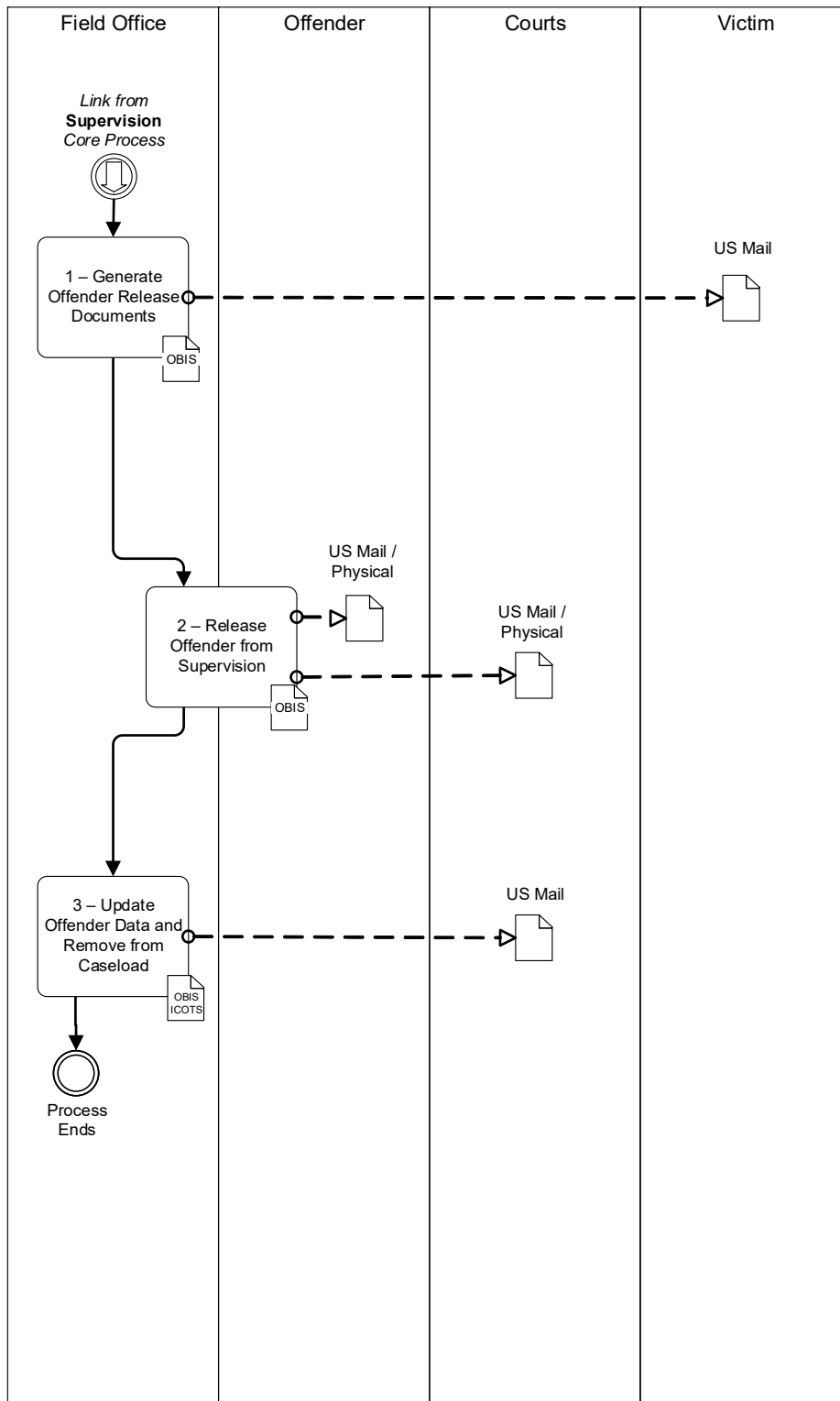
Core Process I – Release Offender Activities			
Index Number	Activity Label	Activity Description	Actors
3.	Update Offender Data and Remove from Caseload	<p>The Field Officer prepares a transaction register entry in order to record the removal (loss) of the offender from the supervision caseload. For 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	<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 (copy)	Procedure 302.325
2.	Release Offender from Supervision	<p>Notice of Responsibilities as Required by Statute for Offenders Being Discharged from the Care, Custody and/or Control Without Supervision (DC3-203B)</p>	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
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
04/07/2008	North Highland	2.0	Revised based on 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

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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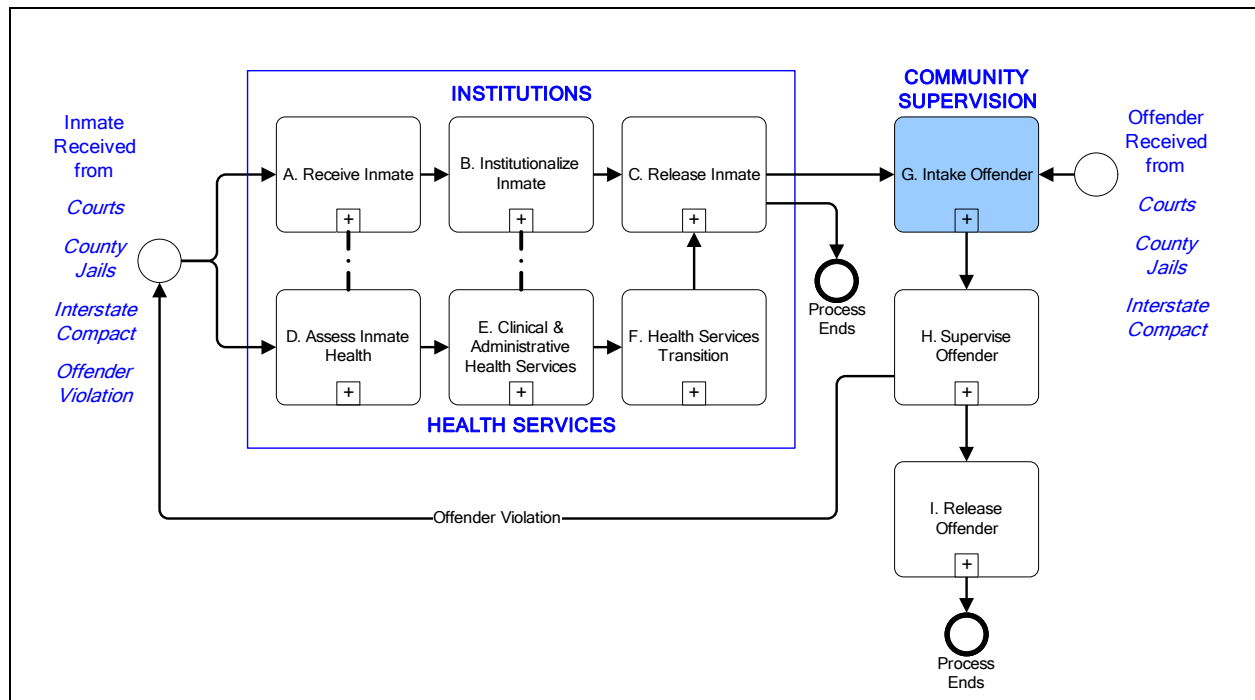
1 DC CORE BUSINESS PROCESSES

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 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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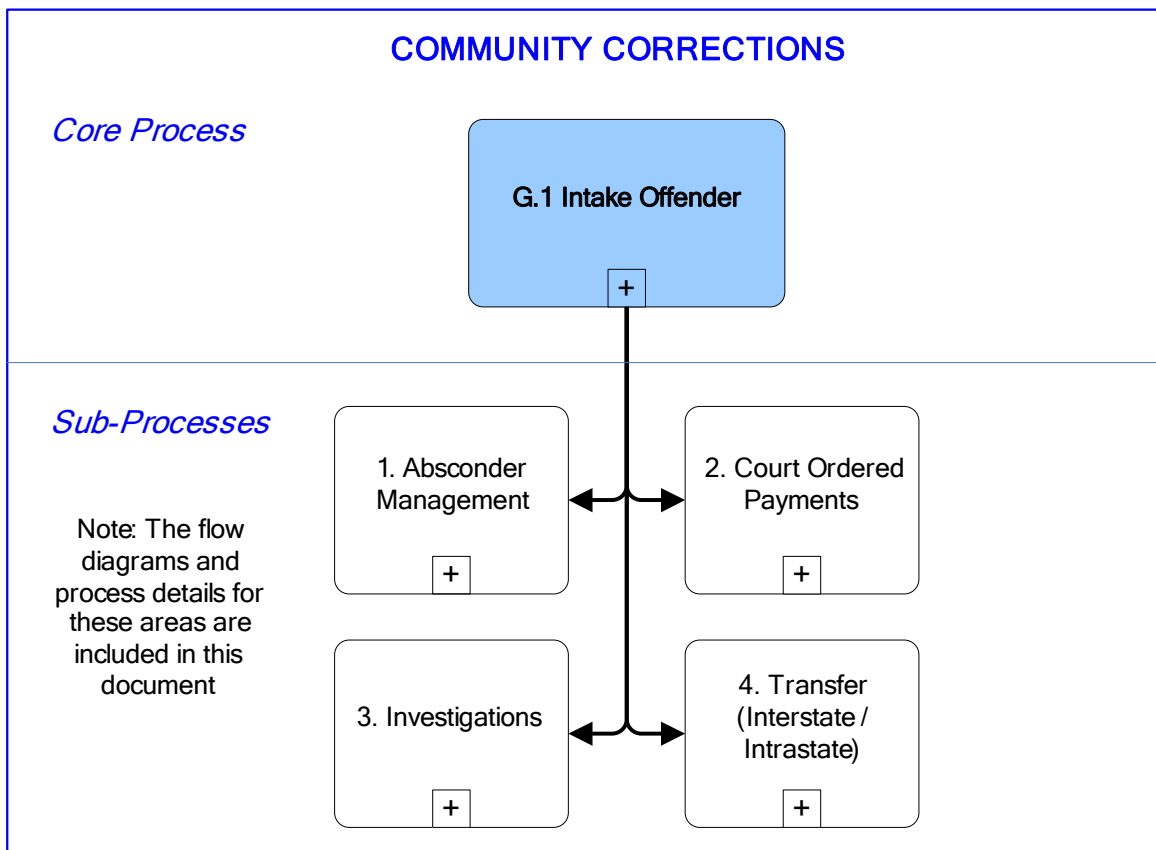
Community Corrections Business Process Analysis



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%



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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>

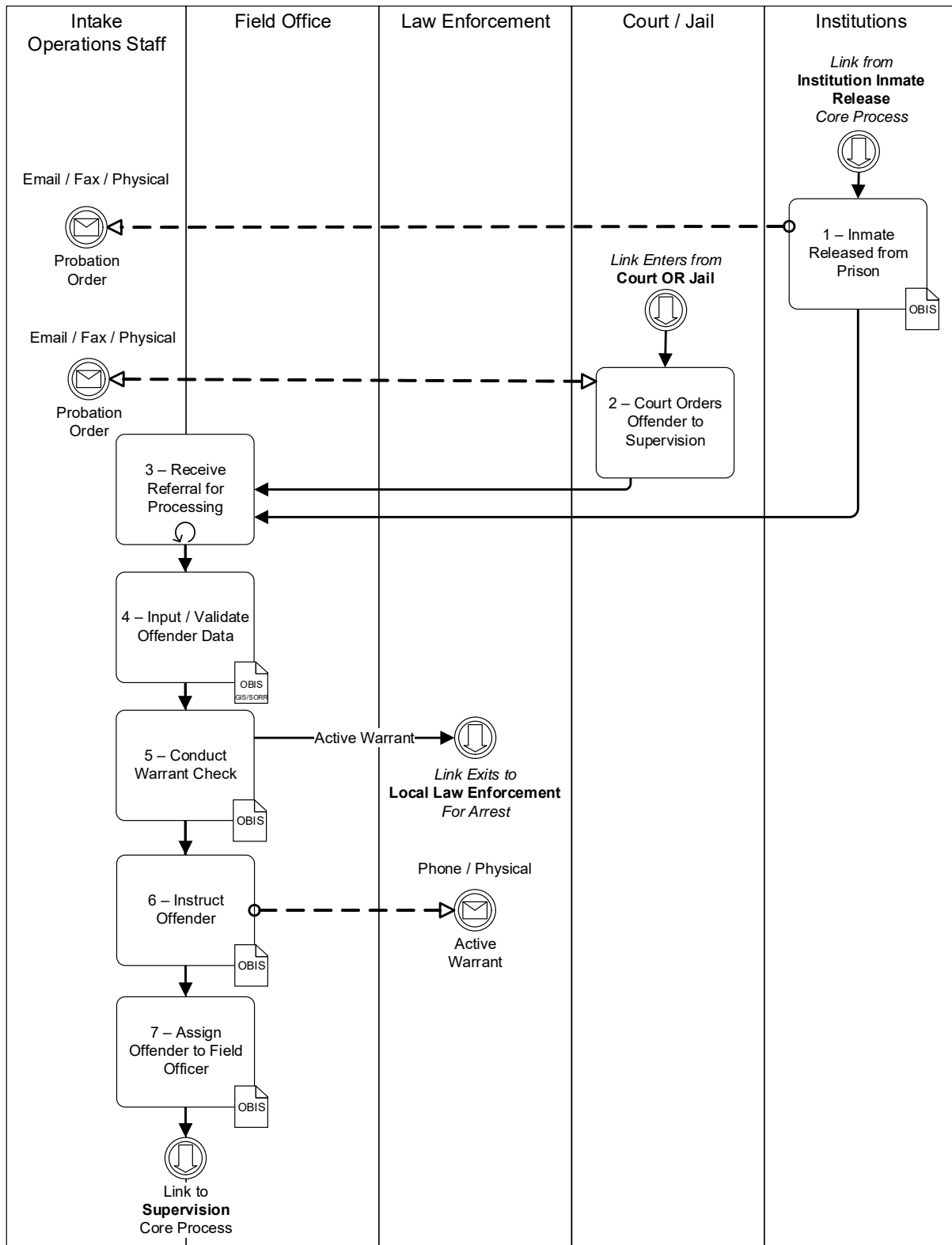


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Figure 2.2-1 Intake Offender Core Process As-Is Workflow





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

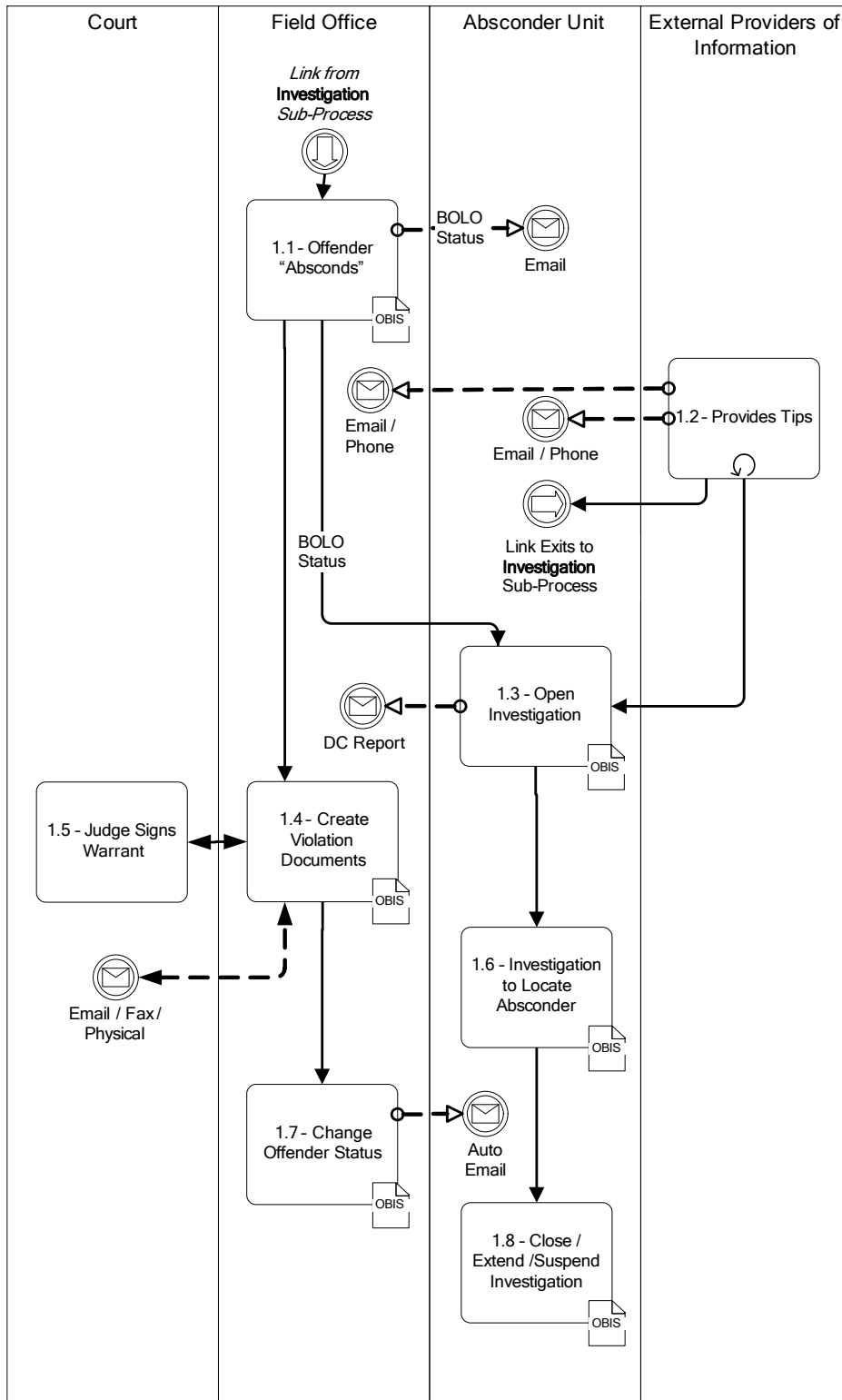


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Figure 3.2-1 Absconder Management Sub-Process As-Is Workflow





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>	

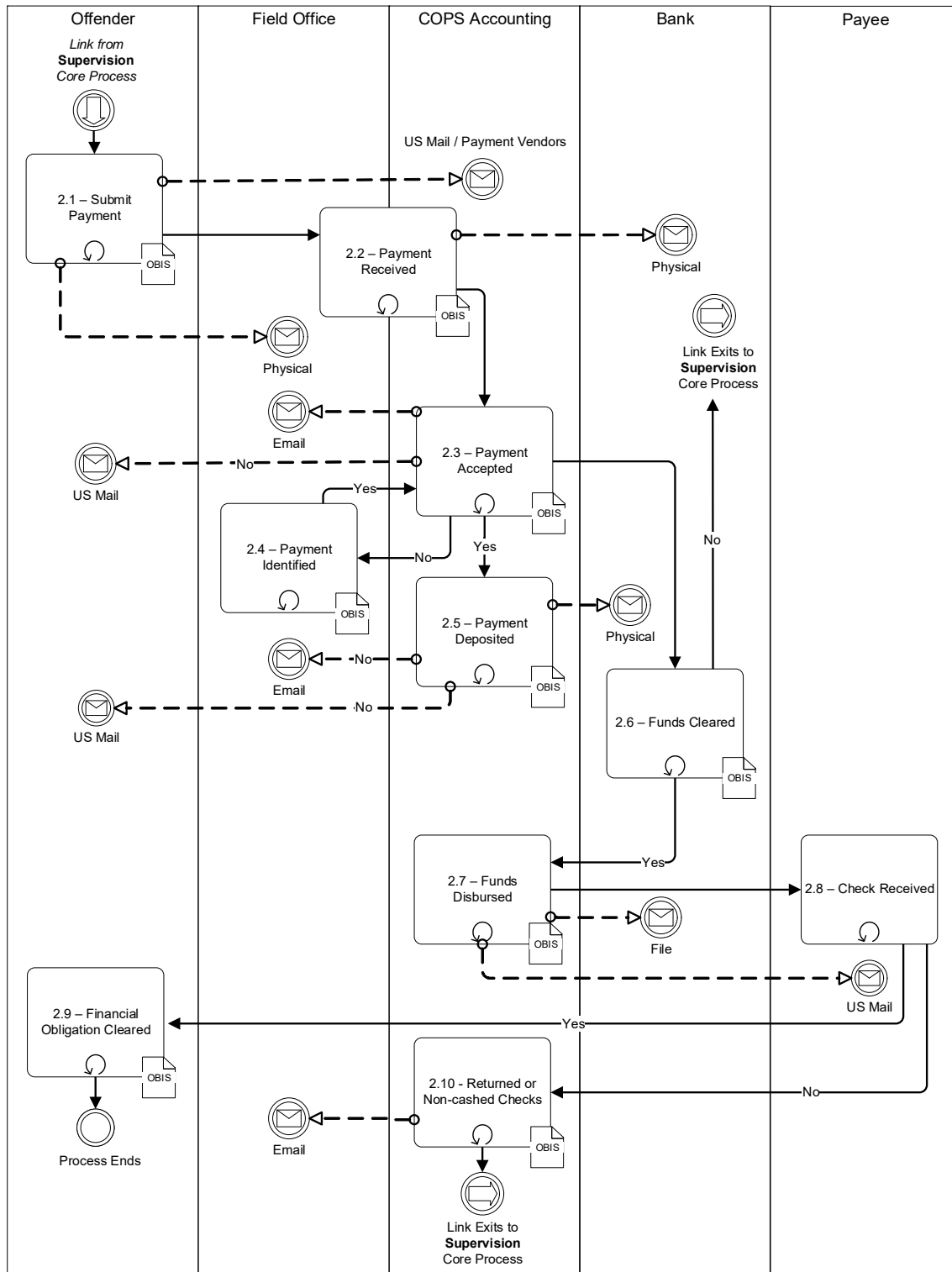


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Figure 4.2-1 Court Ordered Payments Sub-Process As-Is Workflow





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>

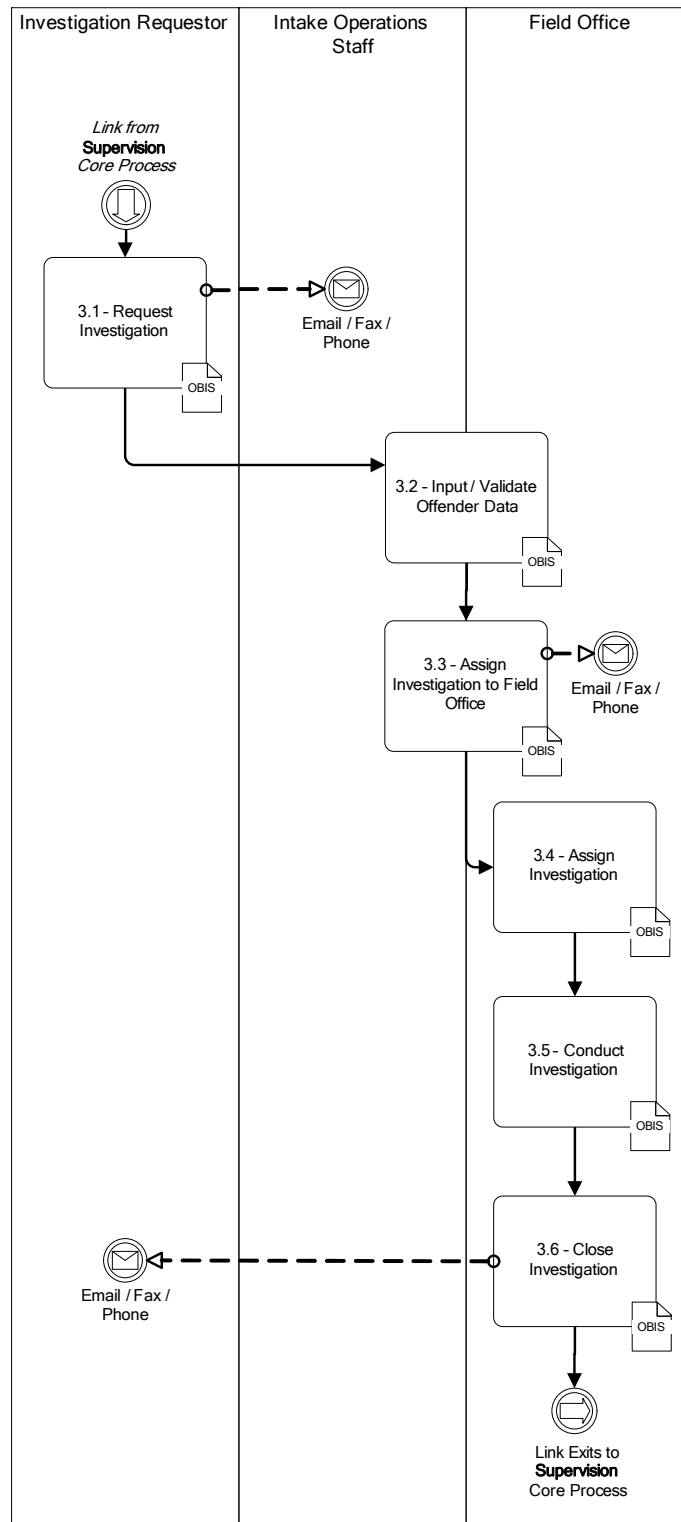


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Figure 5.2-1 Investigation Sub-Process As-Is Workflow





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="padding-left: 20px;">(Field Officer / Supervisor)</p> <p>“Sending” Field Office</p> <p style="padding-left: 20px;">(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>

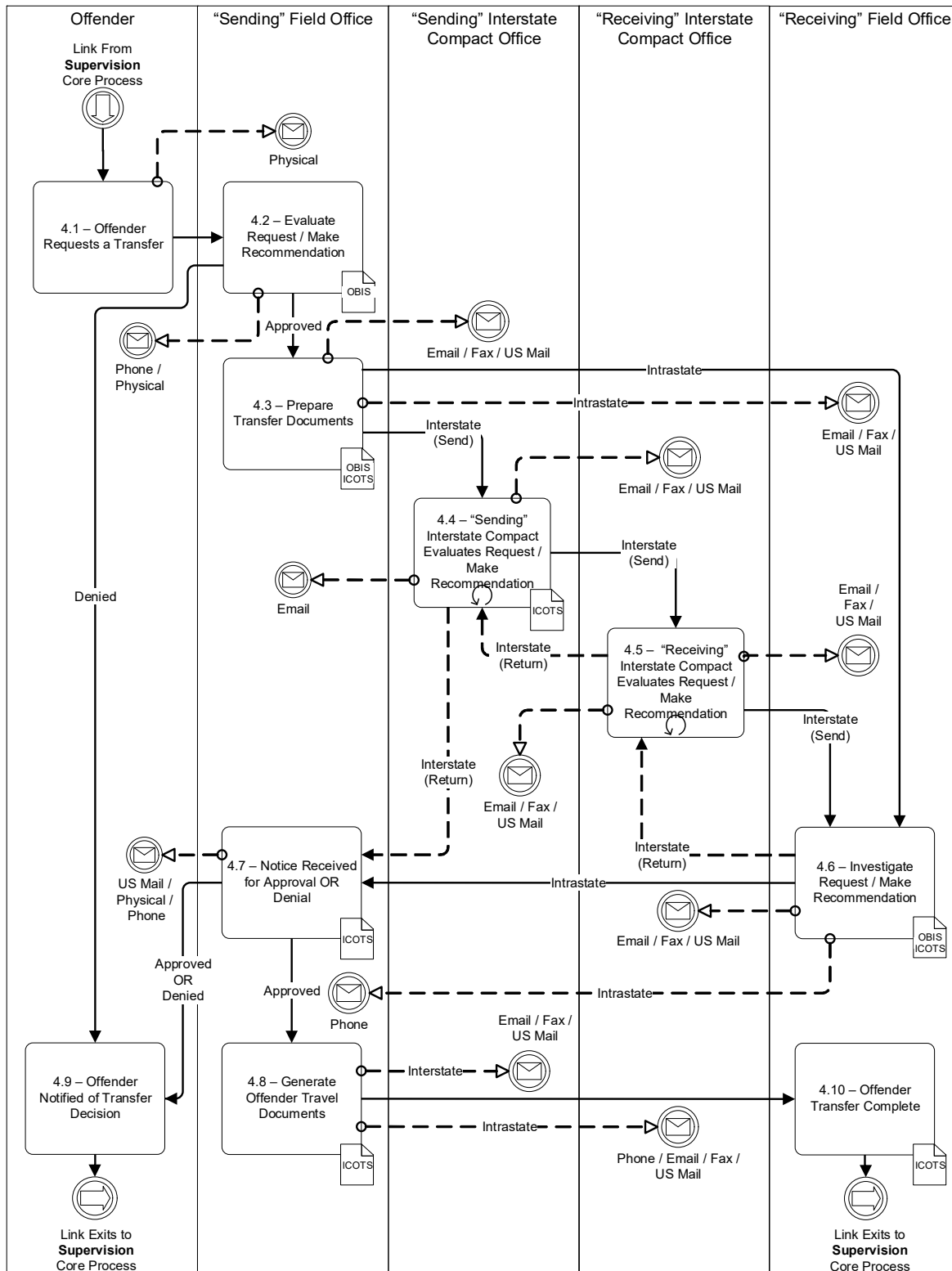


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Figure 6.2-1 Transfer Sub-Process As-Is Workflow





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	Offenders have four ways to pay through the vendor JPAY. Some Field Offices are taking payments directly and errors can occur in deposits to the banks, etc.



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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 or Source
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>	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.



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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
Vendor:	The North Highland Company
Version:	4.0
Creation Date:	01/18/2008
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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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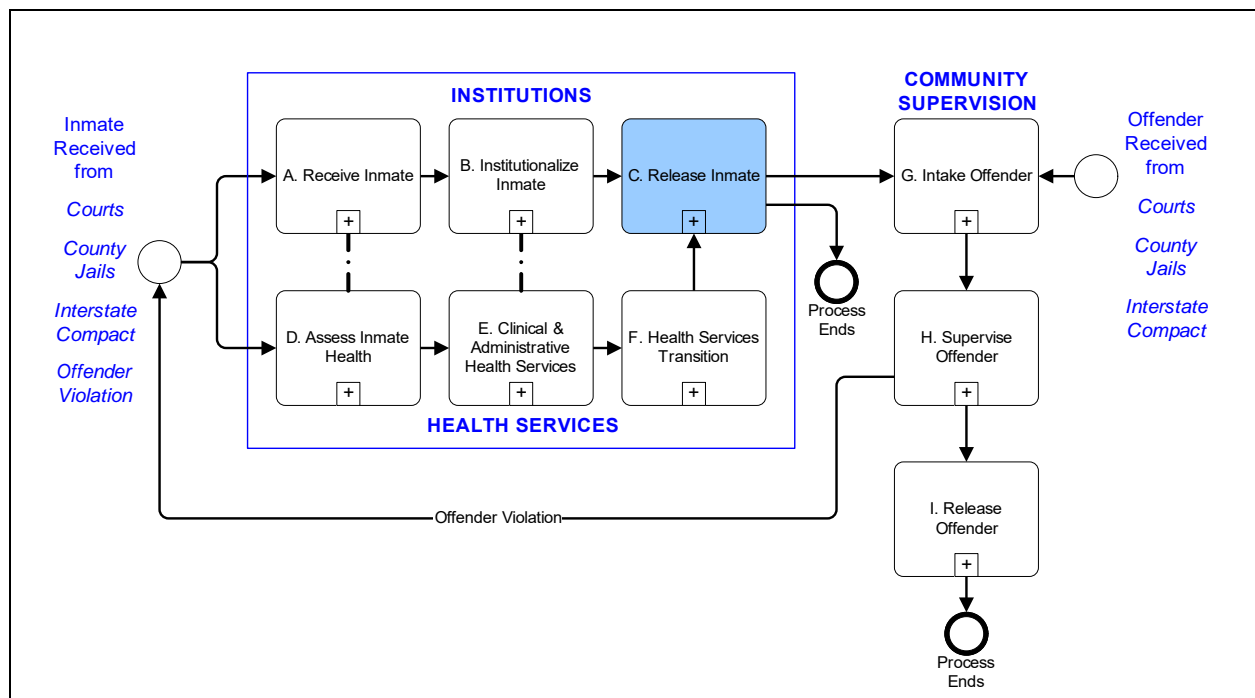
1 DC CORE BUSINESS PROCESSES

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.Floridaus</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>	Release Officer Inmate
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>	Release Officer Inmate
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>	Release Officer State Attorney



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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

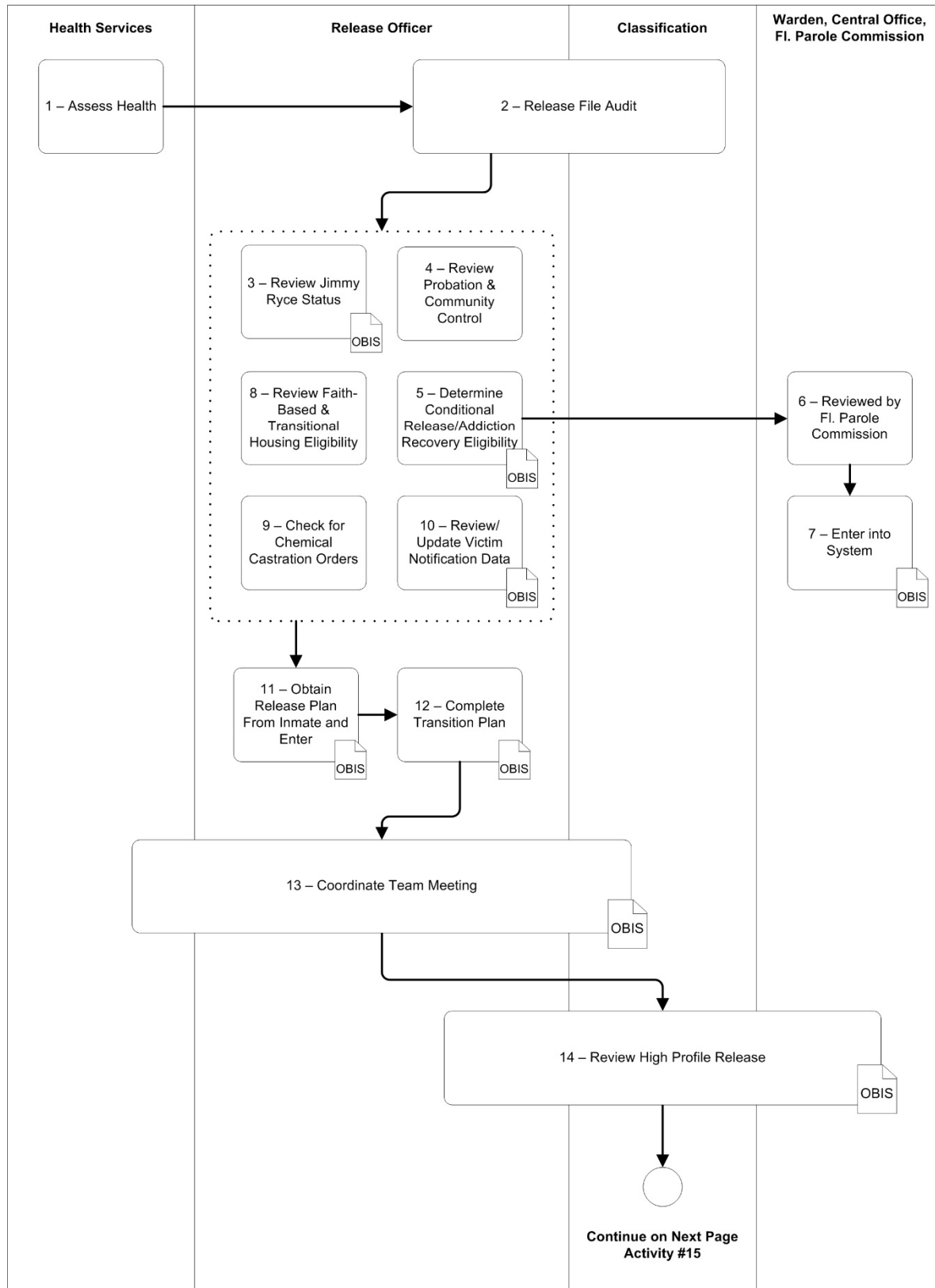


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Figure 2.2-1 Release Inmate As-Is Workflow



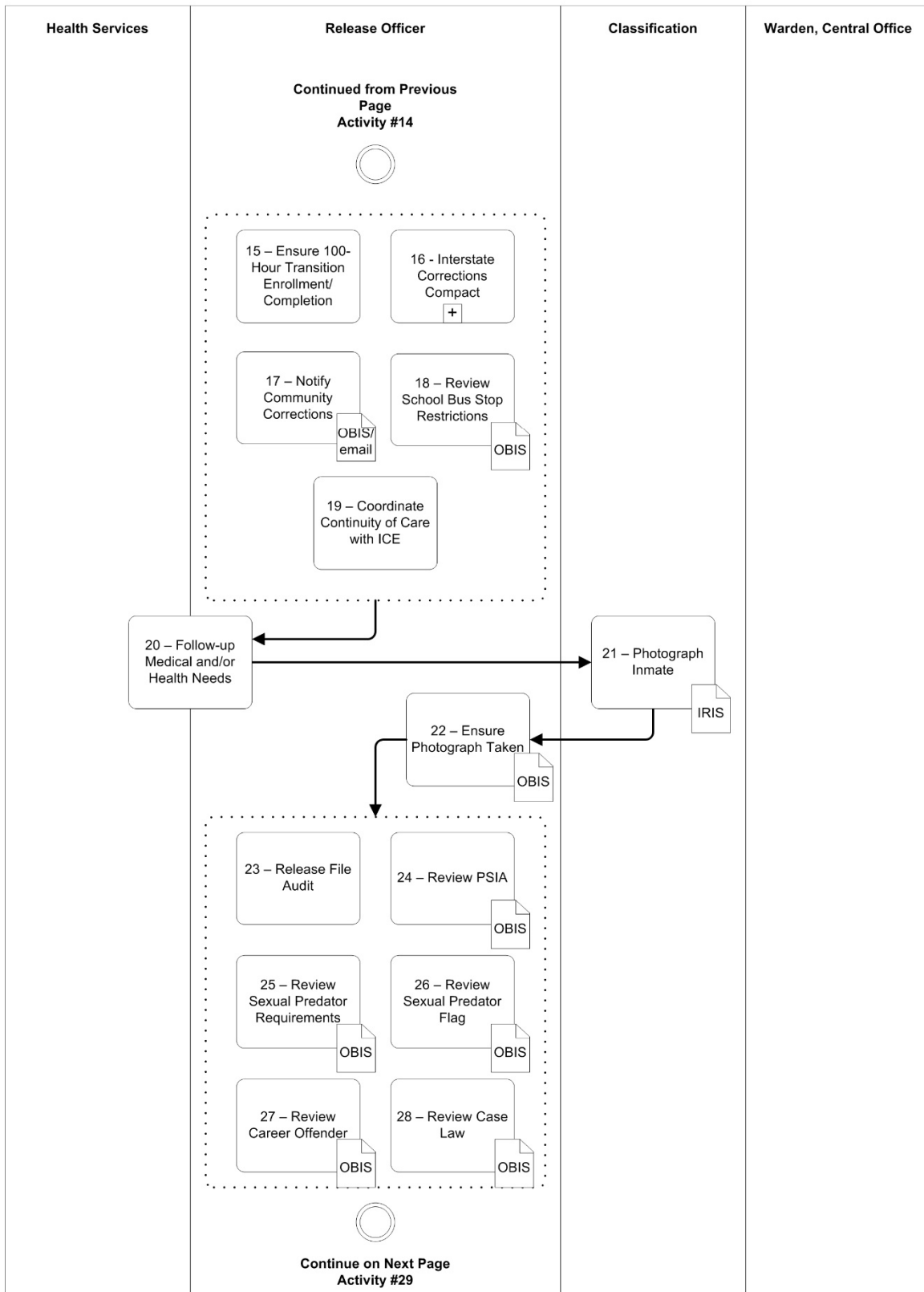


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Figure 2.2-2 Release Inmate As-Is Workflow



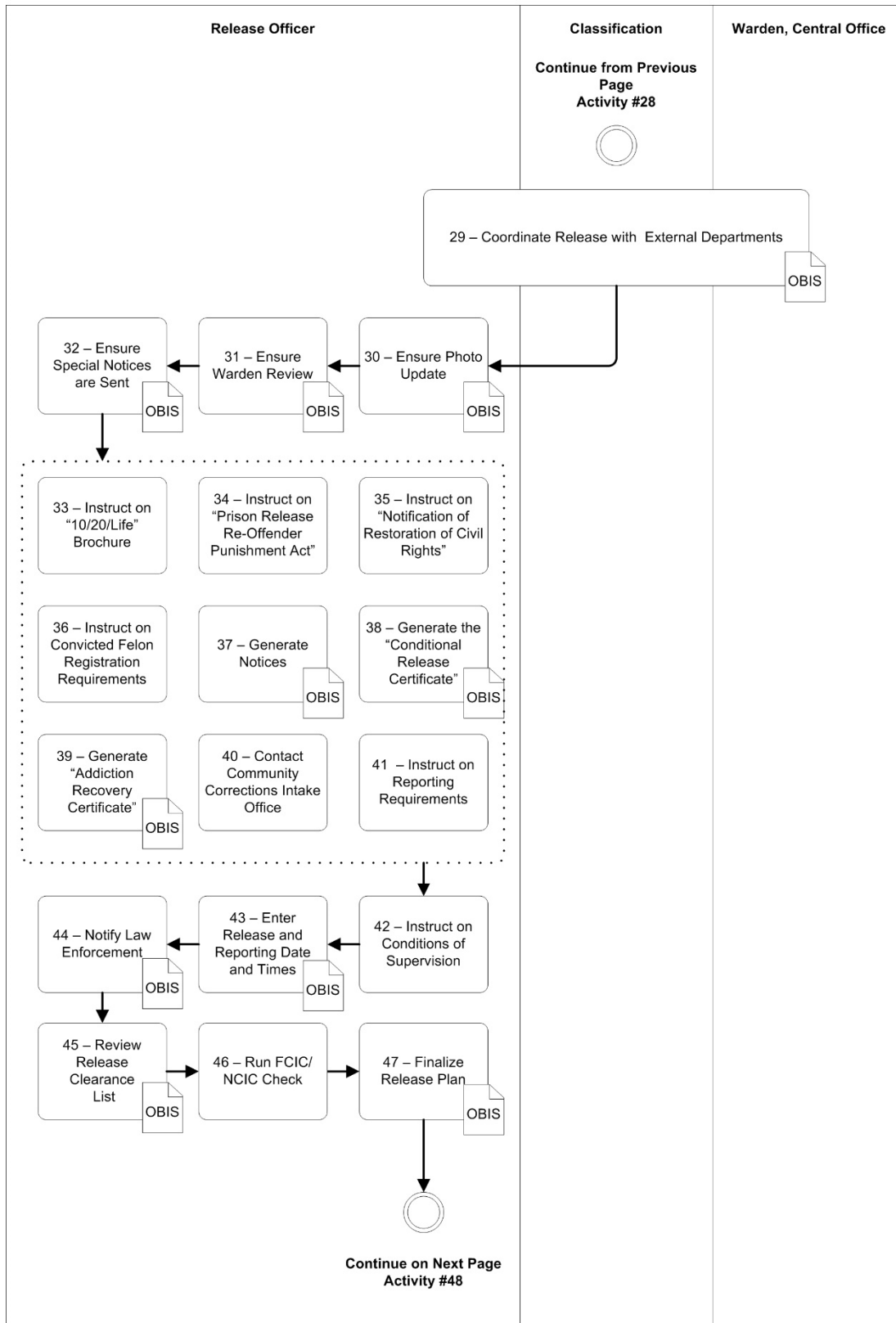


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Figure 2.2-3 Release Inmate As-Is Workflow



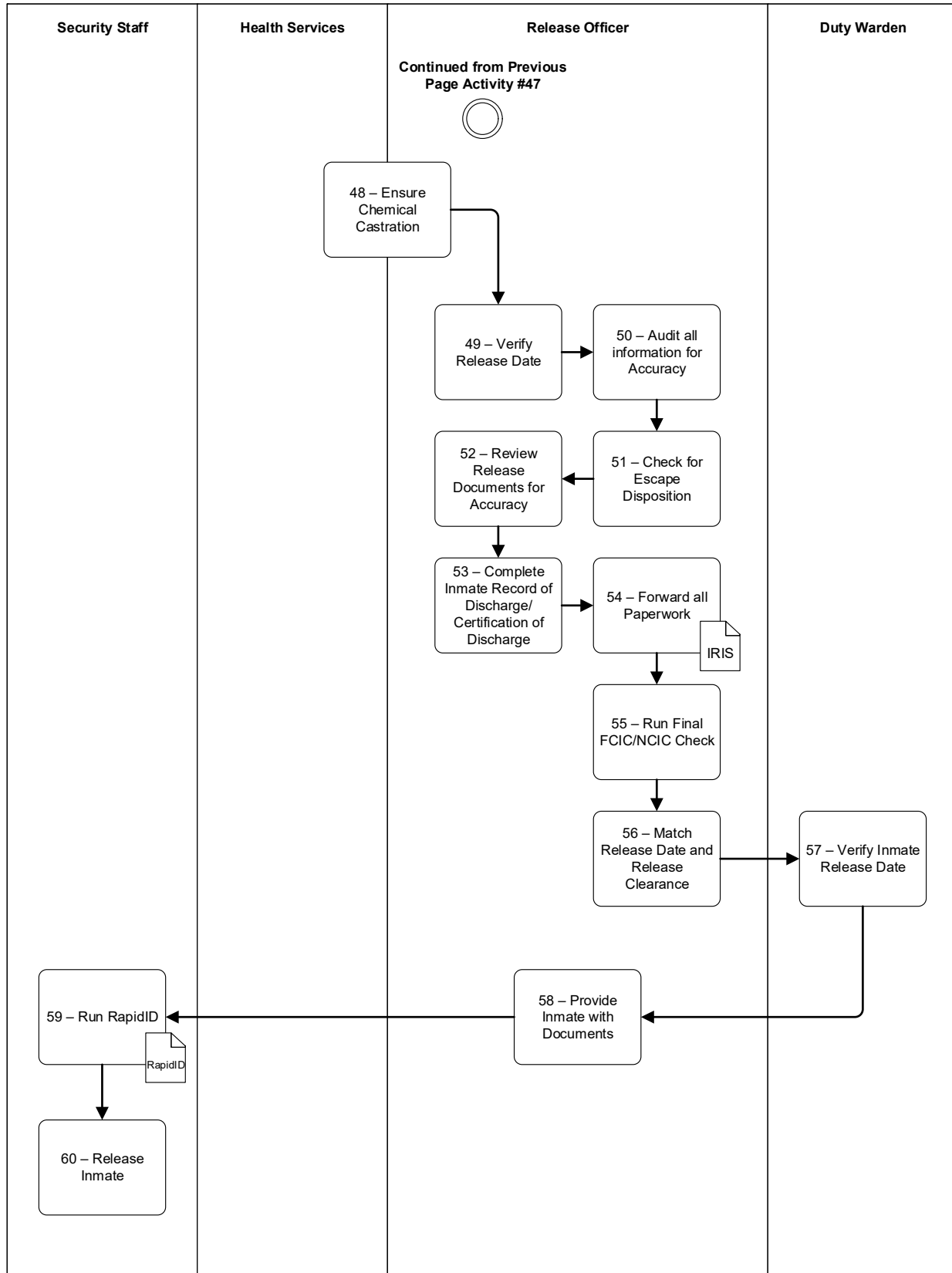


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Figure 2.2-4 Release Inmate As-Is Workflow





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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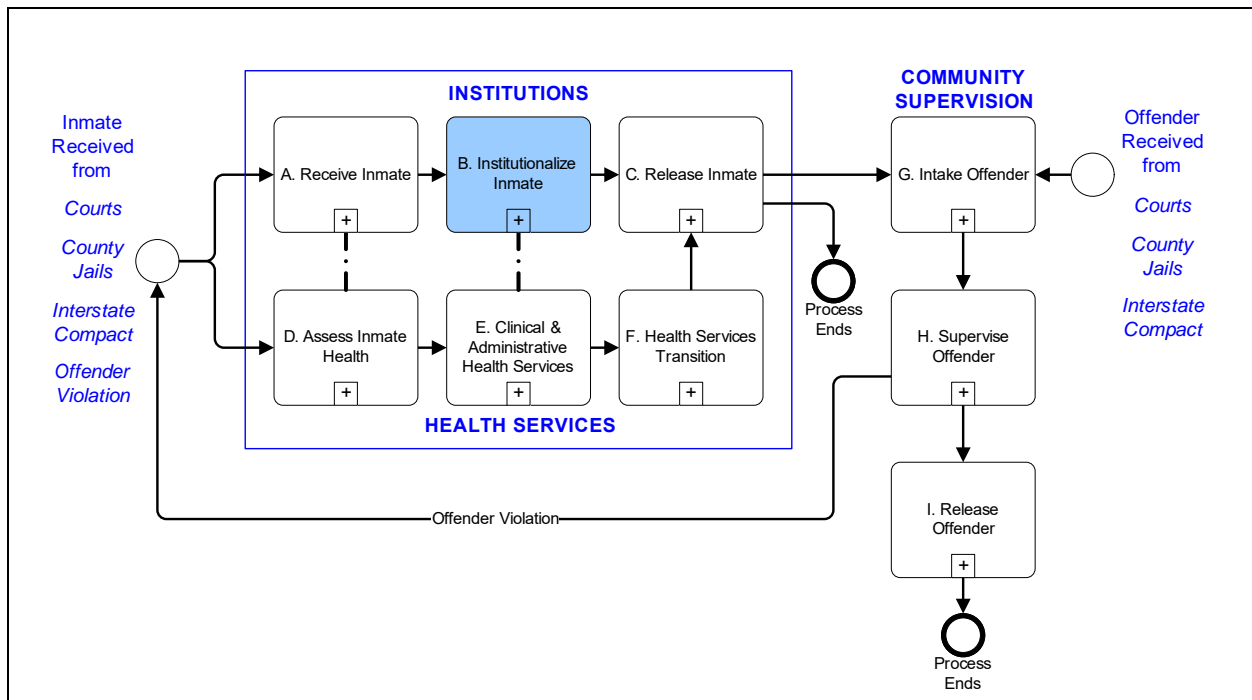
1 DC CORE BUSINESS PROCESSES

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

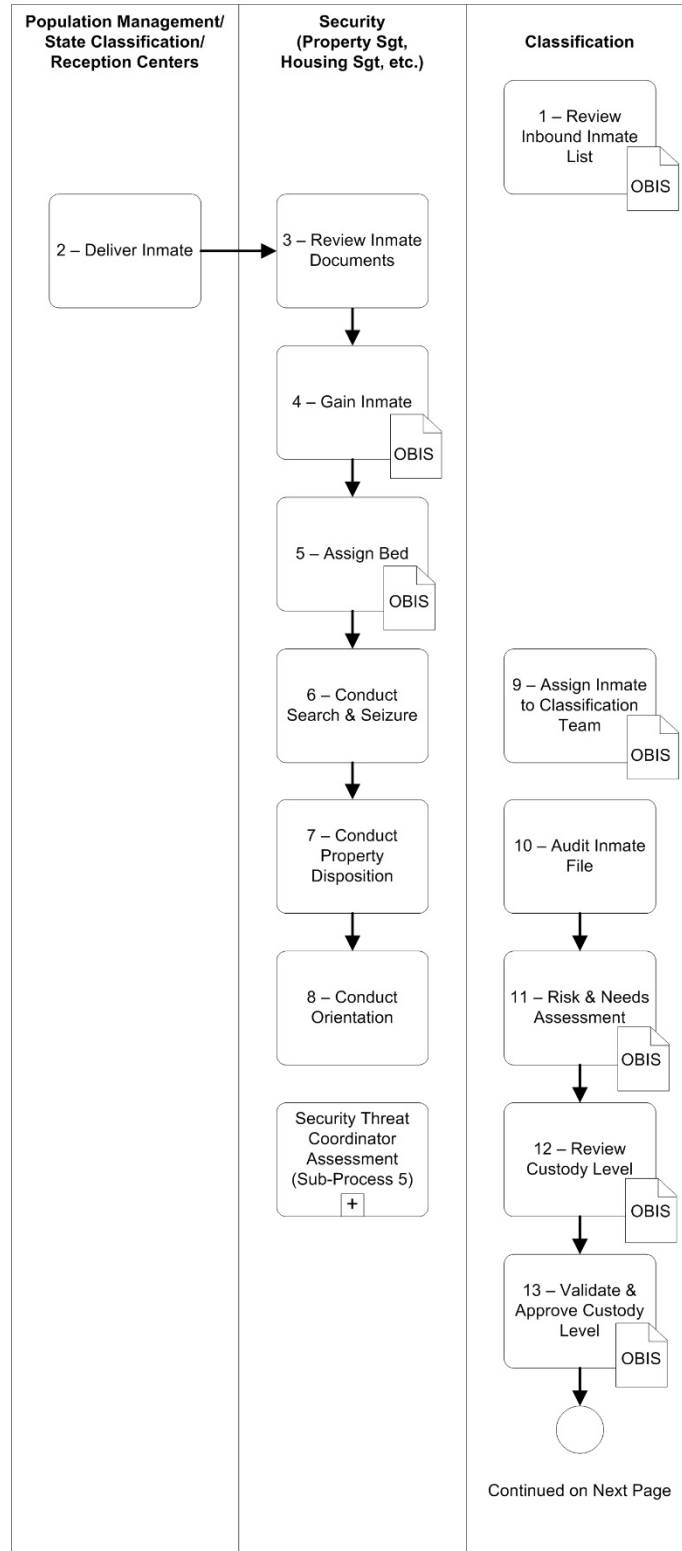


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Figure 2.2-1 Assess Institution As-Is Workflow



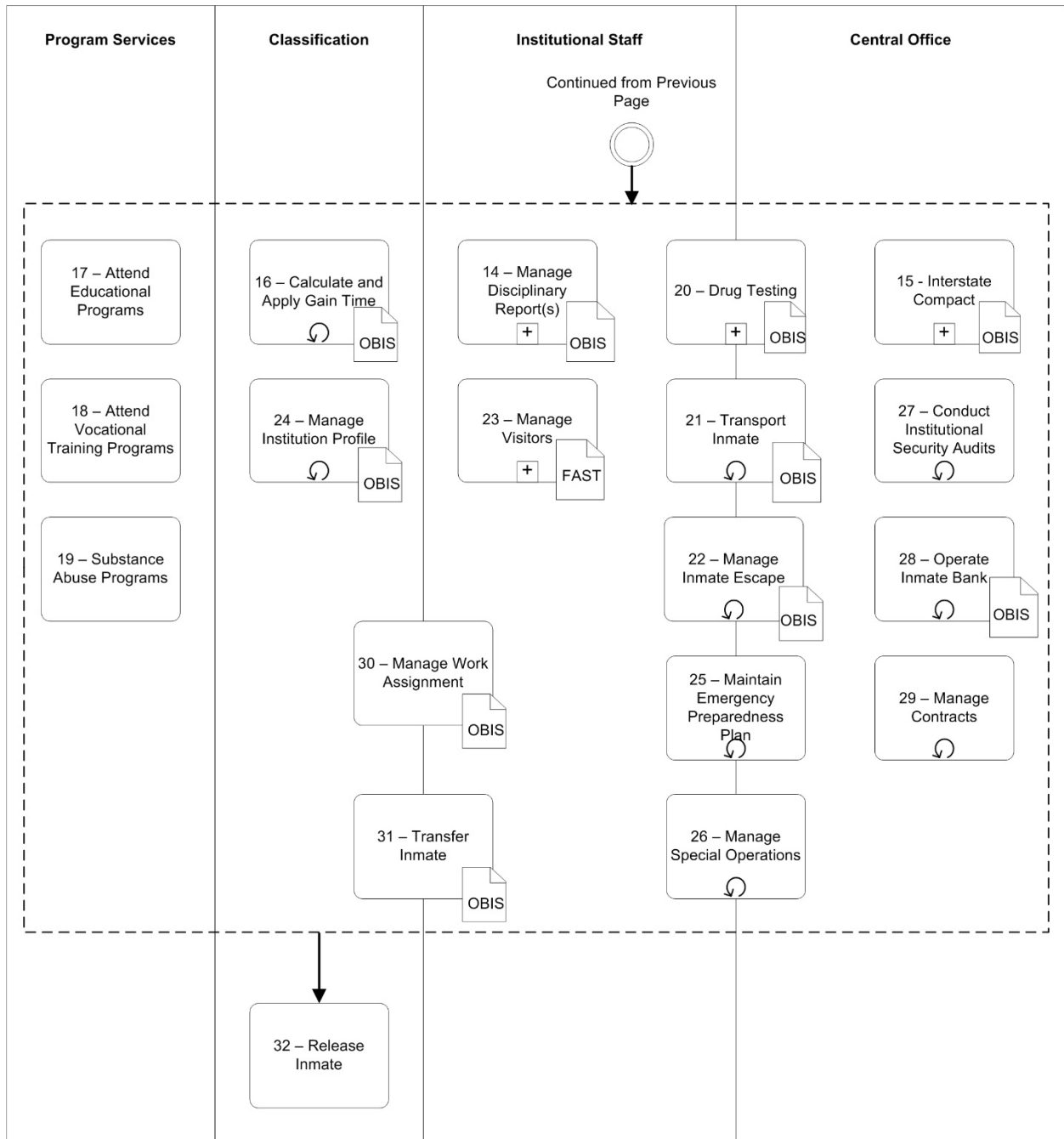


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Figure 2.2-2 Assess Institution As-Is Workflow





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.

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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



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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	<p>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)</p>	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

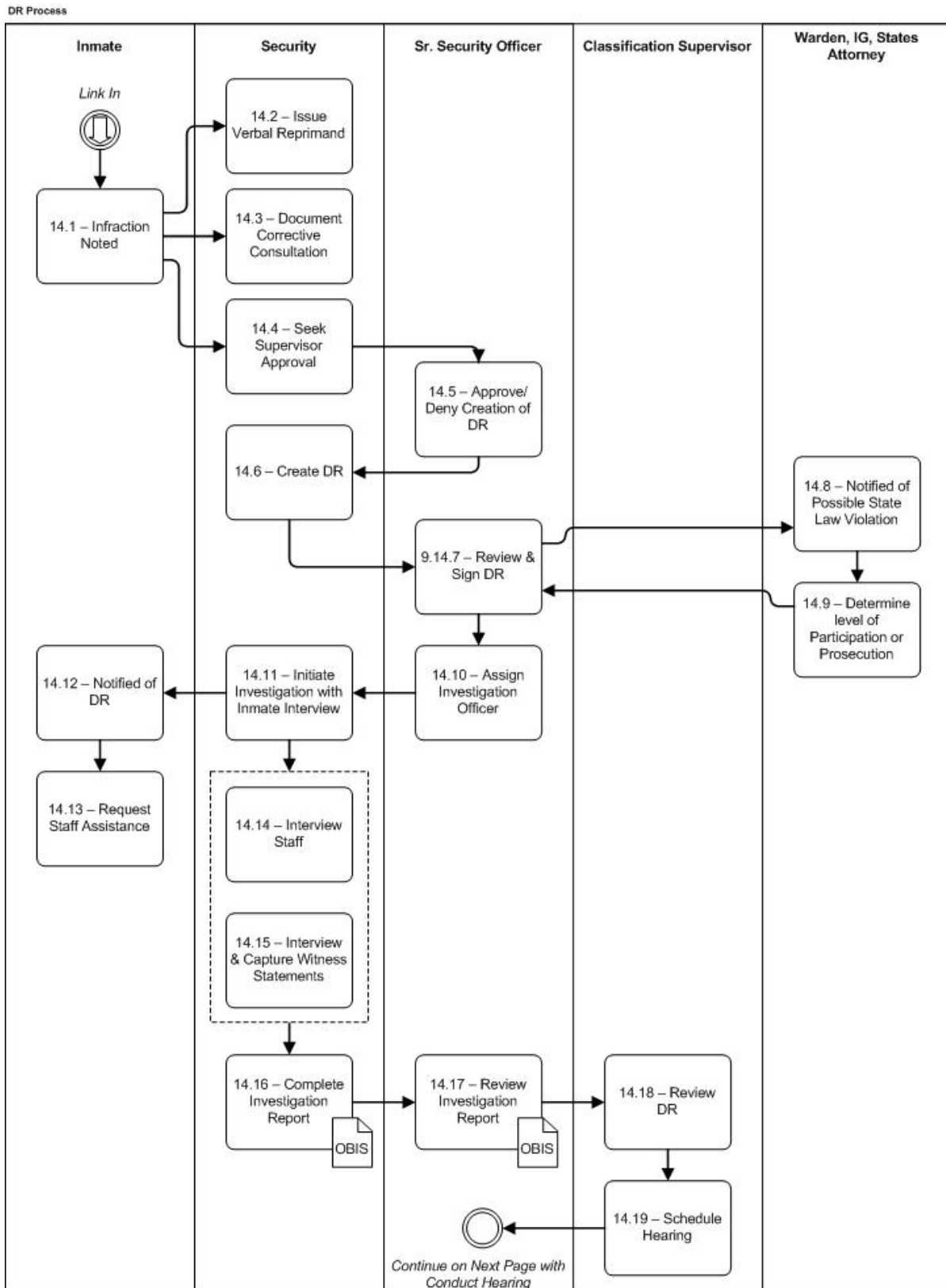


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Figure 2.3-1 Disciplinary Management Sub-Process Workflow



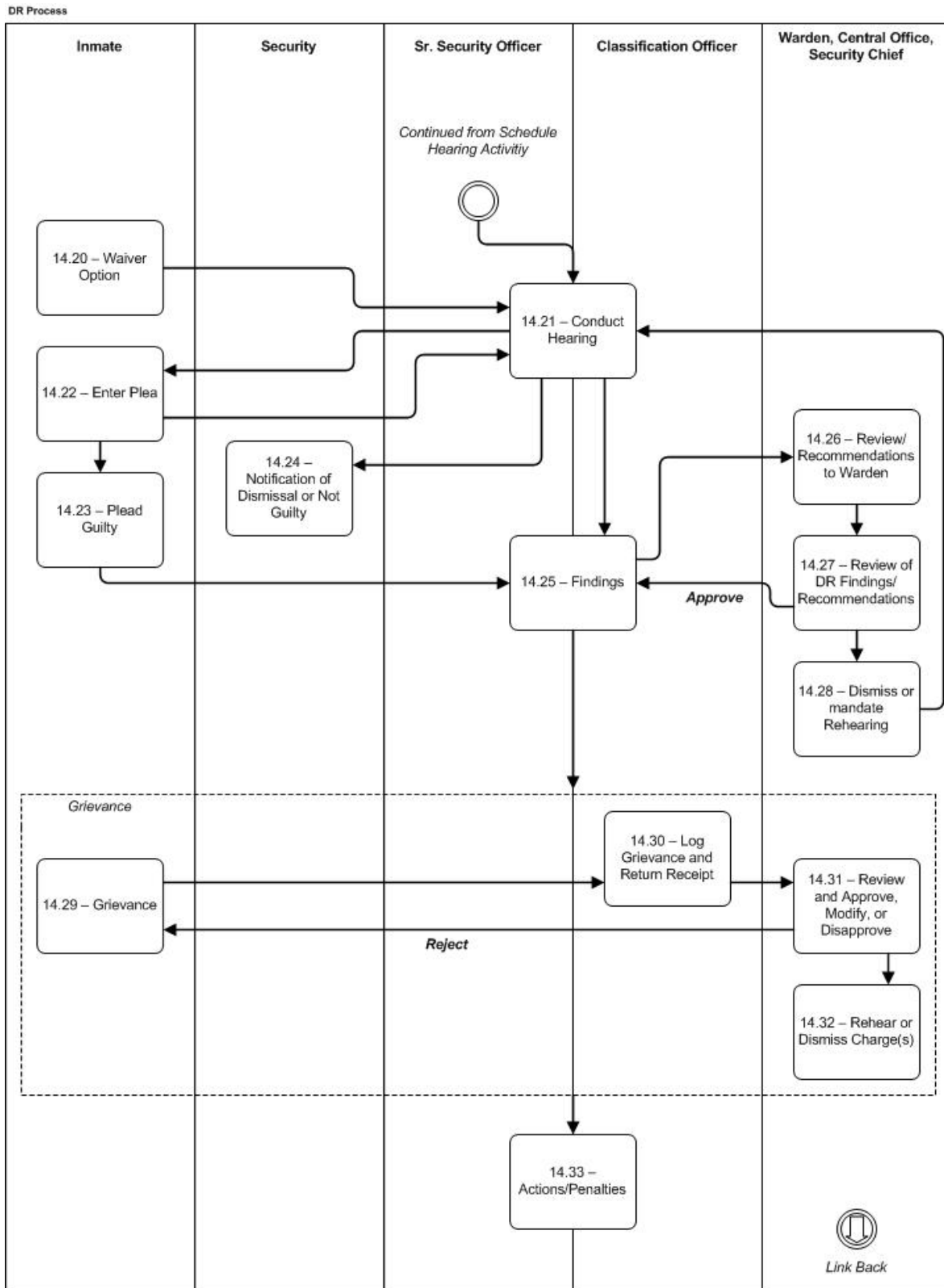


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Figure 2.3-2 Disciplinary Management Sub-Process Workflow





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



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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



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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

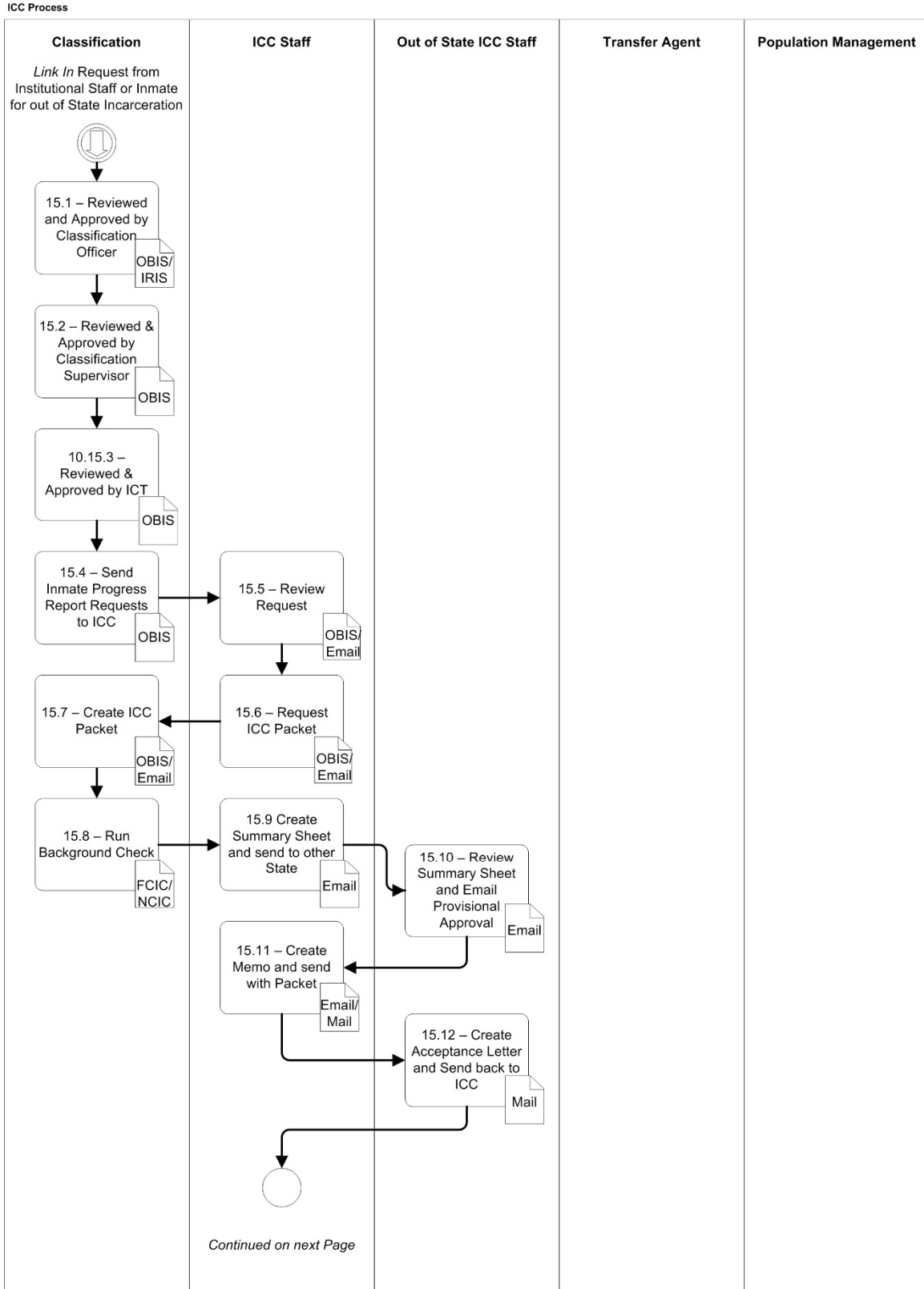


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Figure 2.4-1 Interstate Corrections Compact Sub-Process Workflow



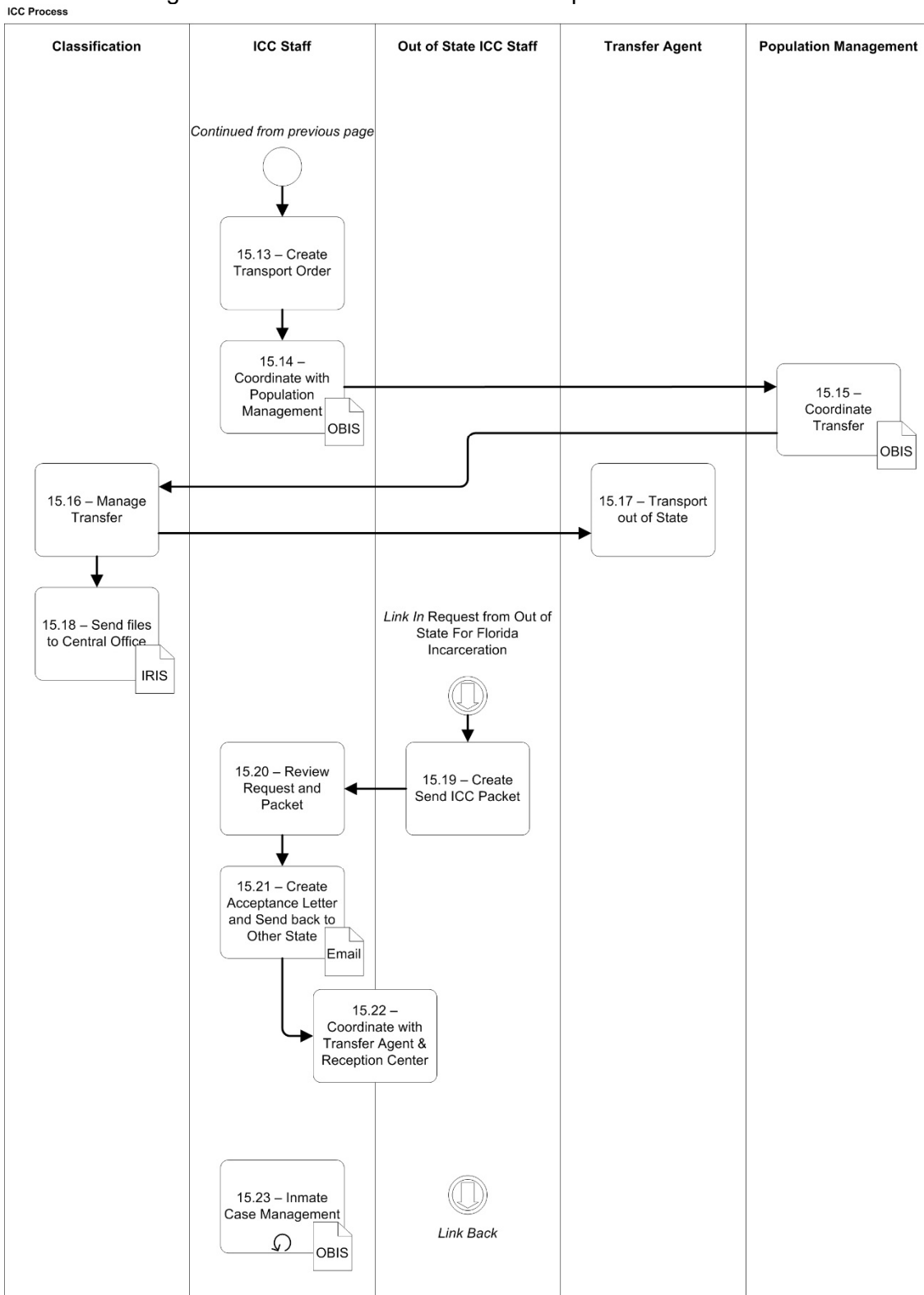


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Figure 2.4-2 Interstate Corrections Compact Sub-Process Workflow





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

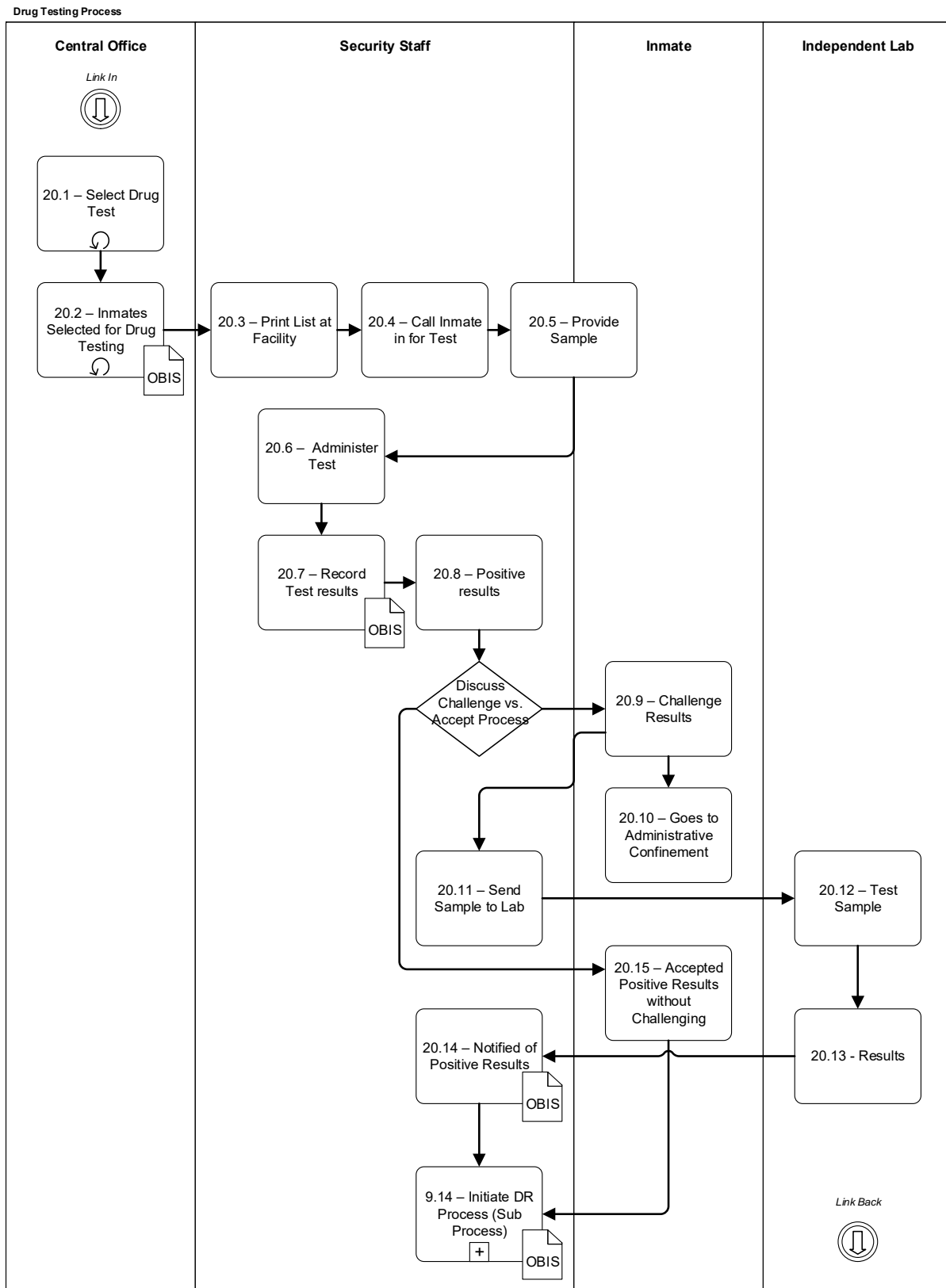


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Figure 2.5-1 Drug Testing Sub-Process Workflow





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

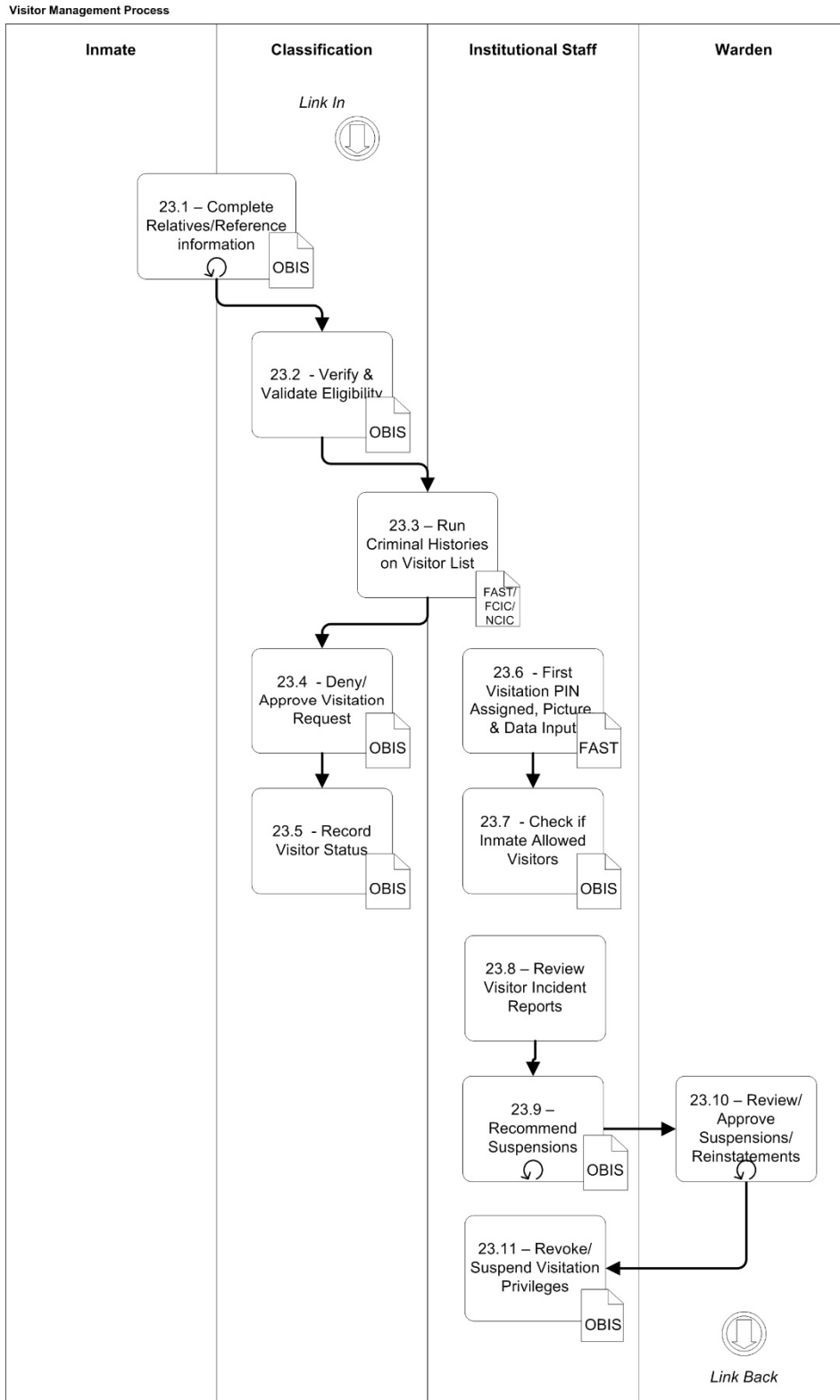


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Figure 2.6-1 Visitor Management Sub-Process Workflow





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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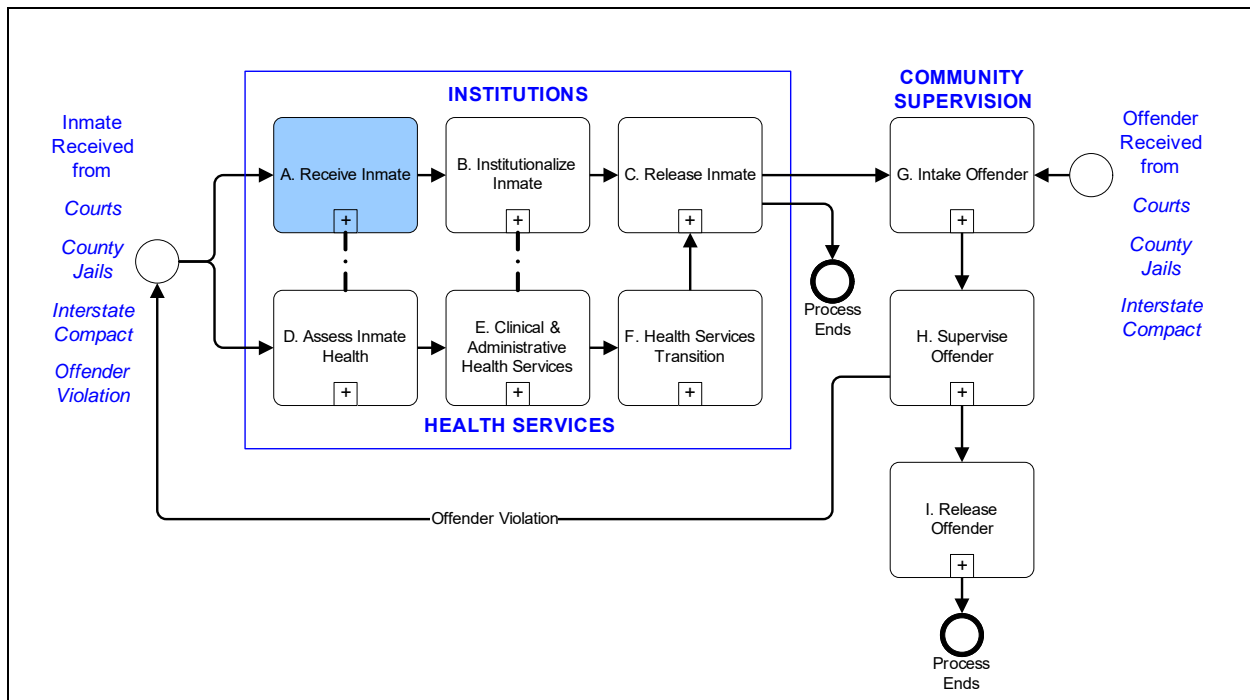
1 DC CORE BUSINESS PROCESSES

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>	Reception Center T&R Officer
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>	Reception Center T&R Officer
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>	Reception Center T&R Officer



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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	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.	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



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



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



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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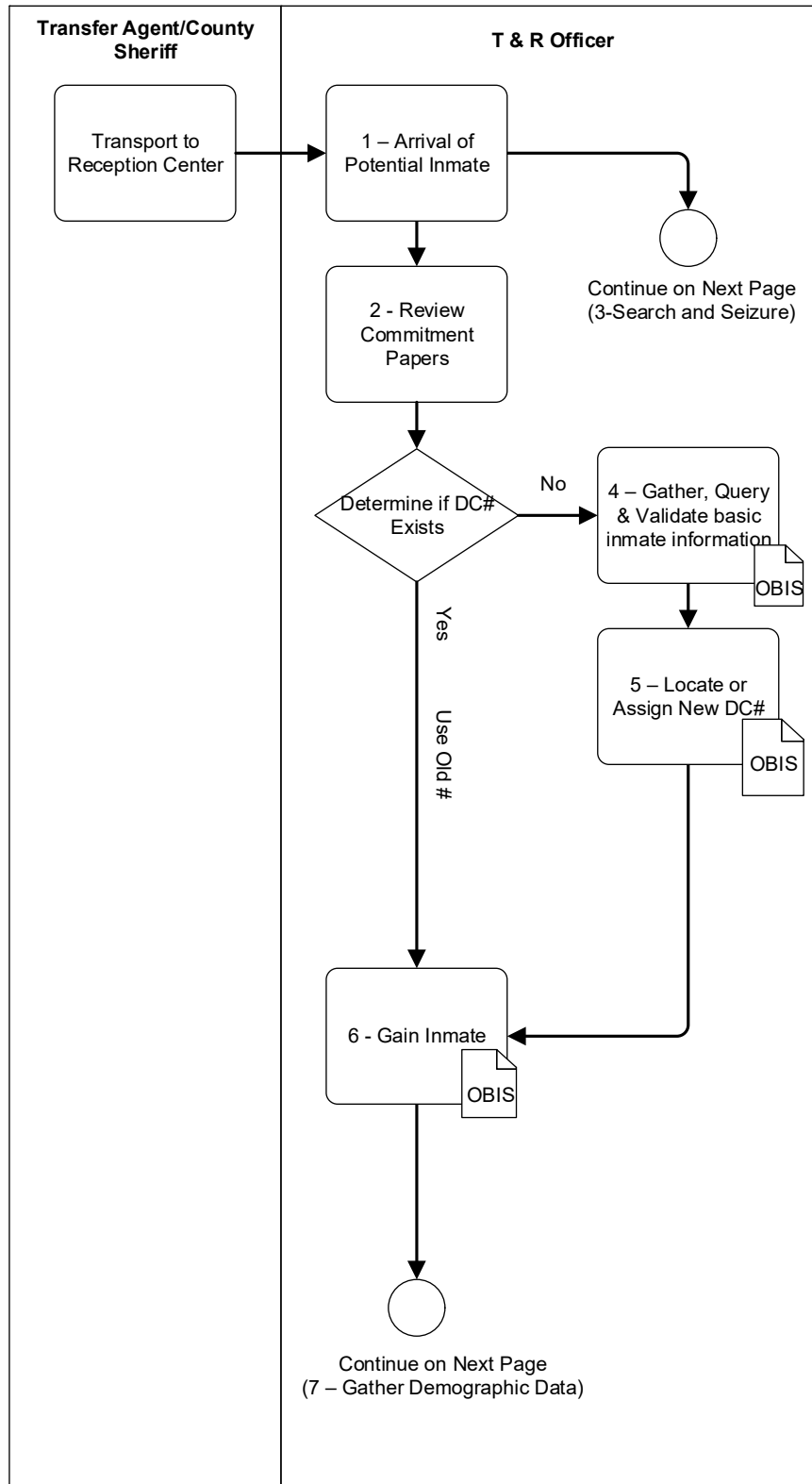
Core Process A – Inmate Reception Activities			
Index Number	Activity Label	Activity Description	Actors
40.	Send Inmate Documents to Central Office	The inmate's commitment papers (2 copies), a fingerprint card, and the Sentence Structure Coding Sheet are sent to Central Office for auditing	Reception 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



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Figure 2.2-1 Receive Inmate As-Is Workflow



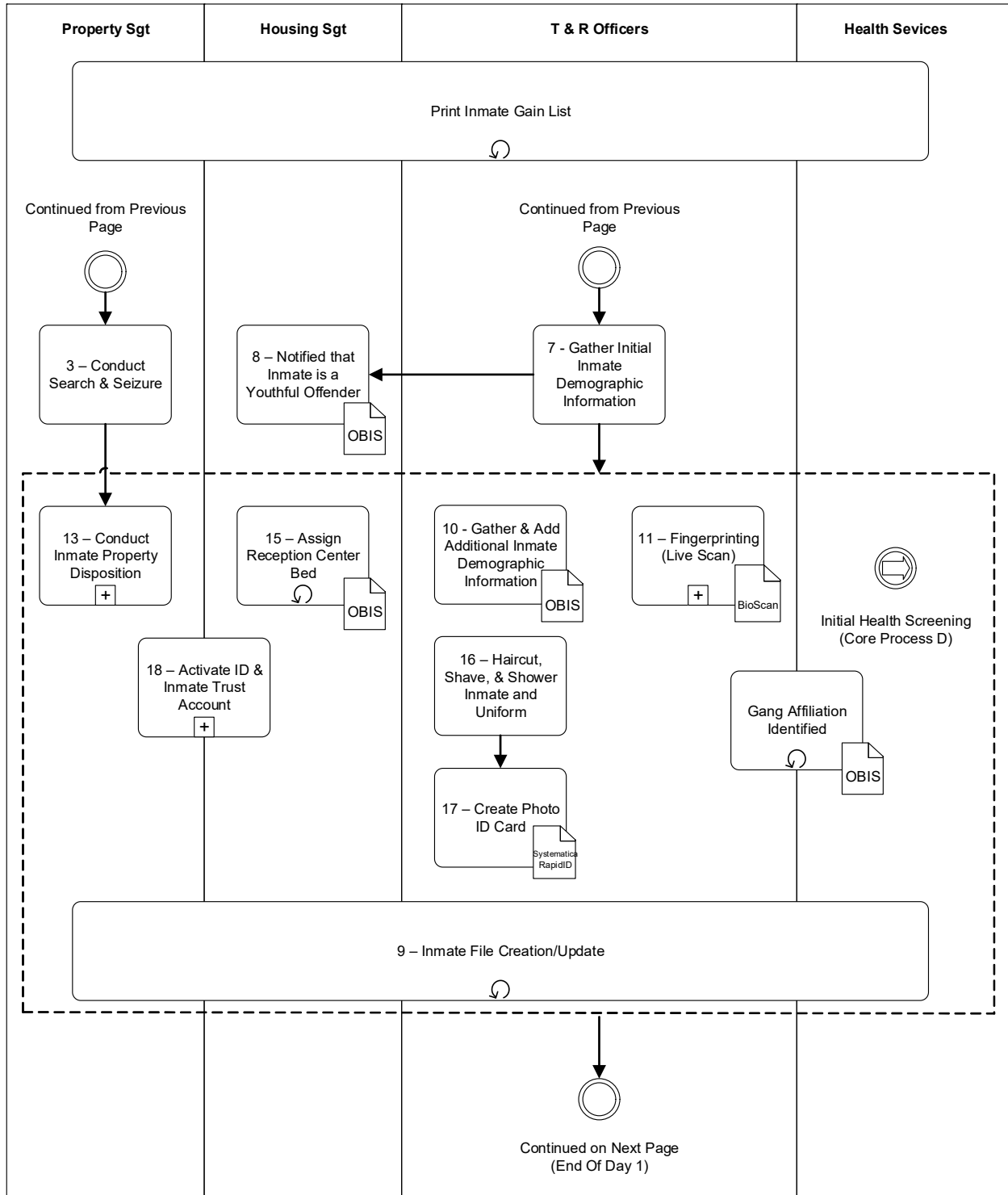


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Figure 2.2-2 Receive Inmate As-Is Workflow



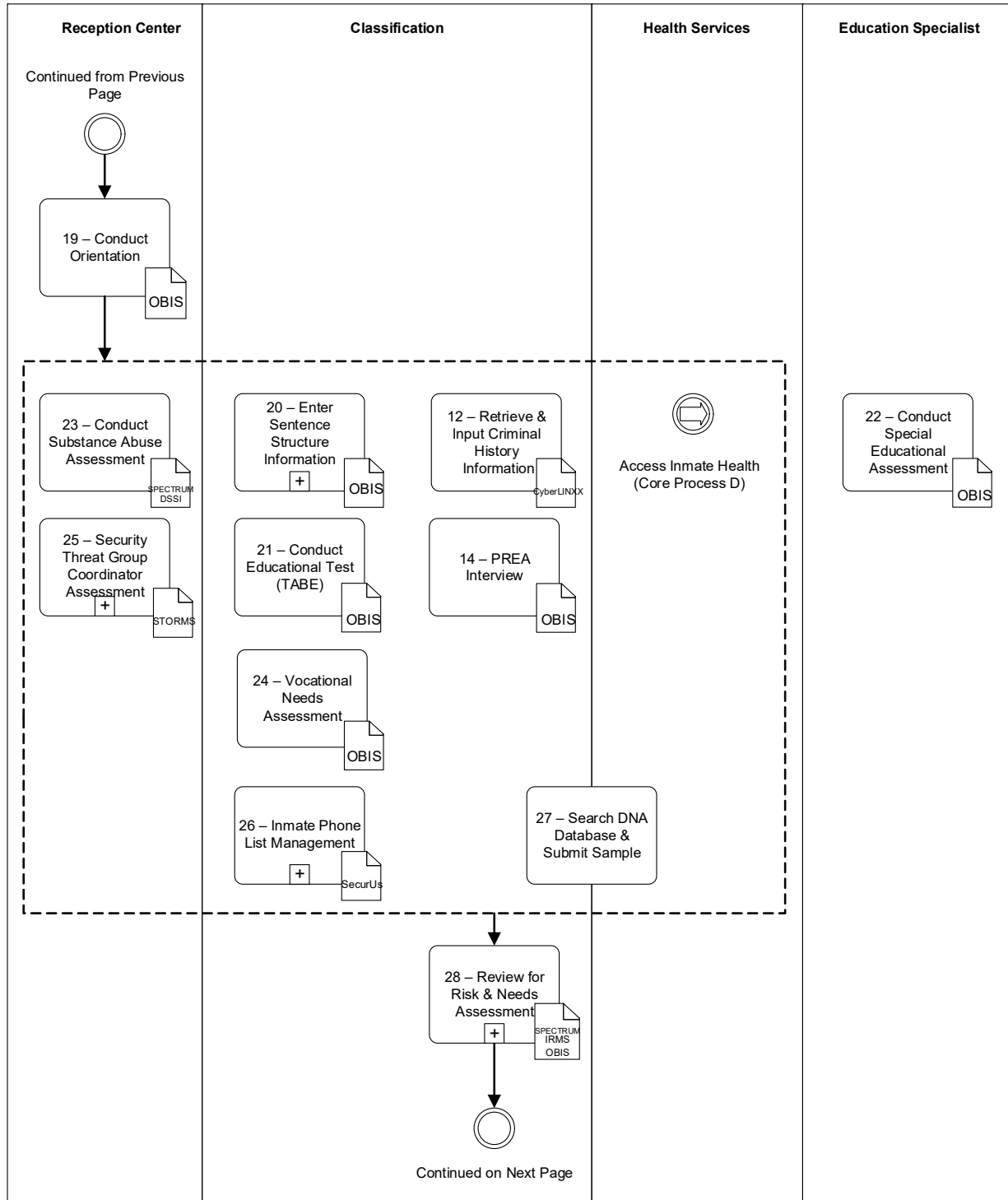


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Figure 2.2-3 Receive Inmate As-Is Workflow



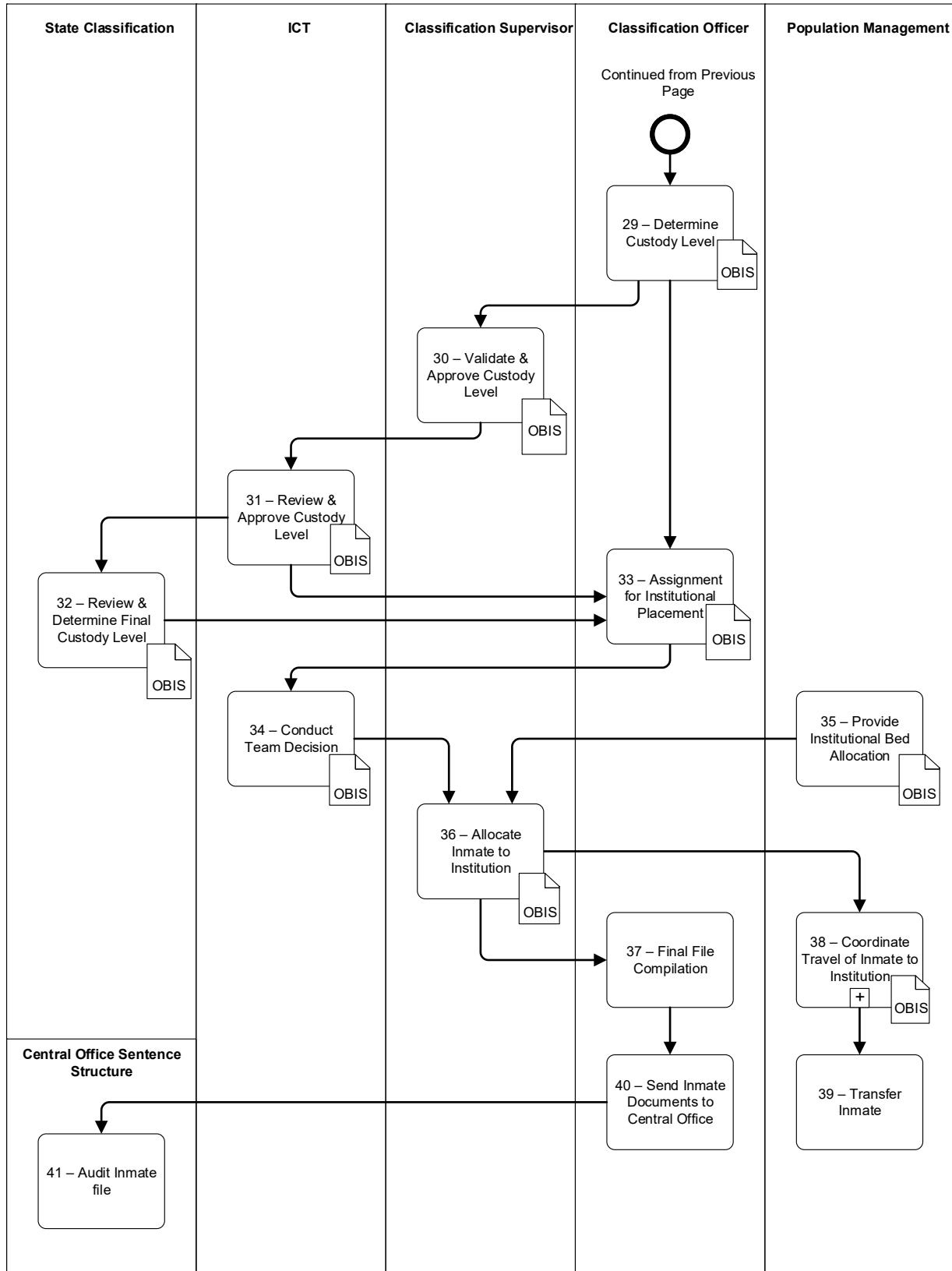


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Figure 2.2-4 Receive Inmate As-Is Workflow





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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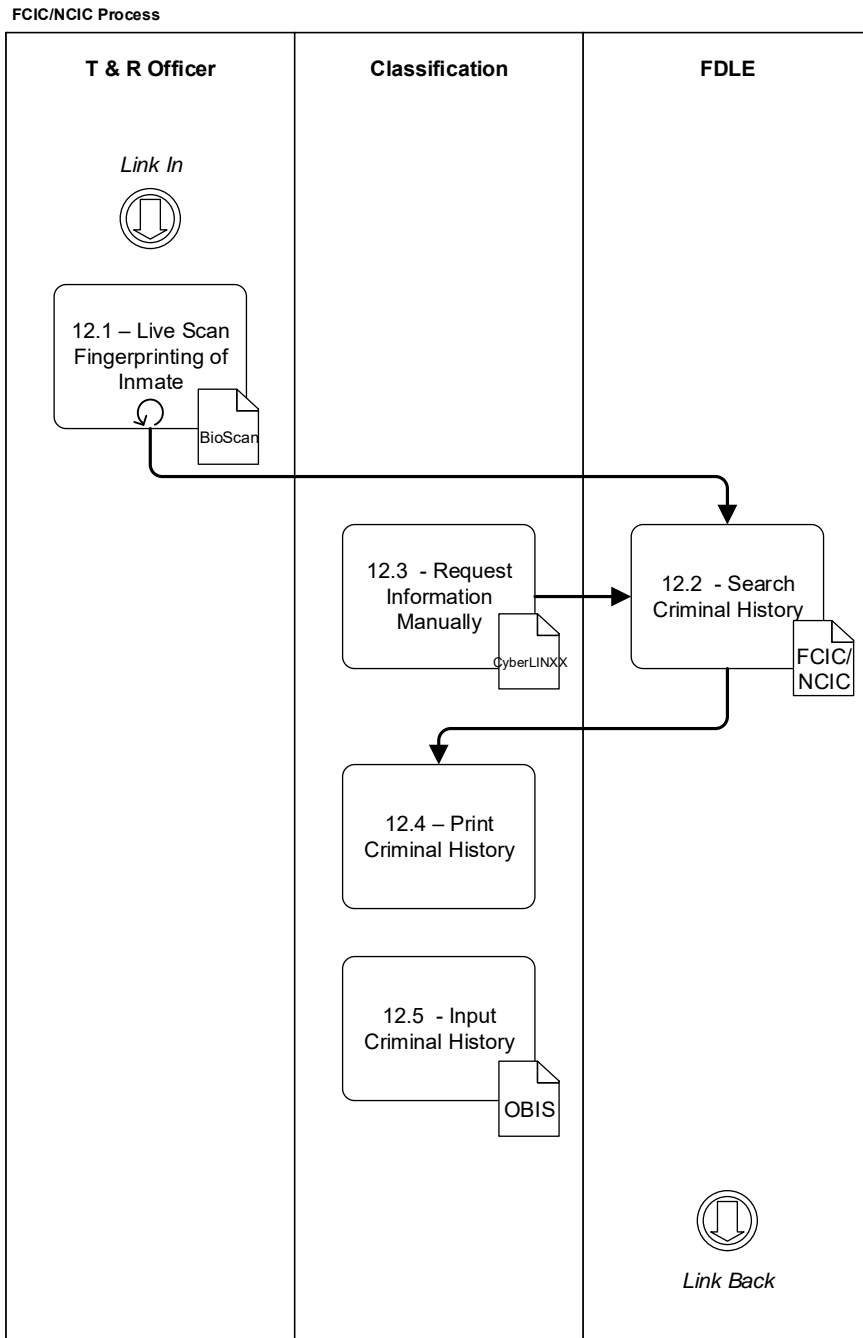
Sub-Process 1 – FCIC/NCIC Activities			
Index Number	Activity Label	Activity Description	Actors
12.5	Input Criminal History	<p>The criminal history printouts are placed in the inmate's file and used in subsequent processing to manually enter/update applicable data elements in OBIS.</p> <p>Note: Some 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



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

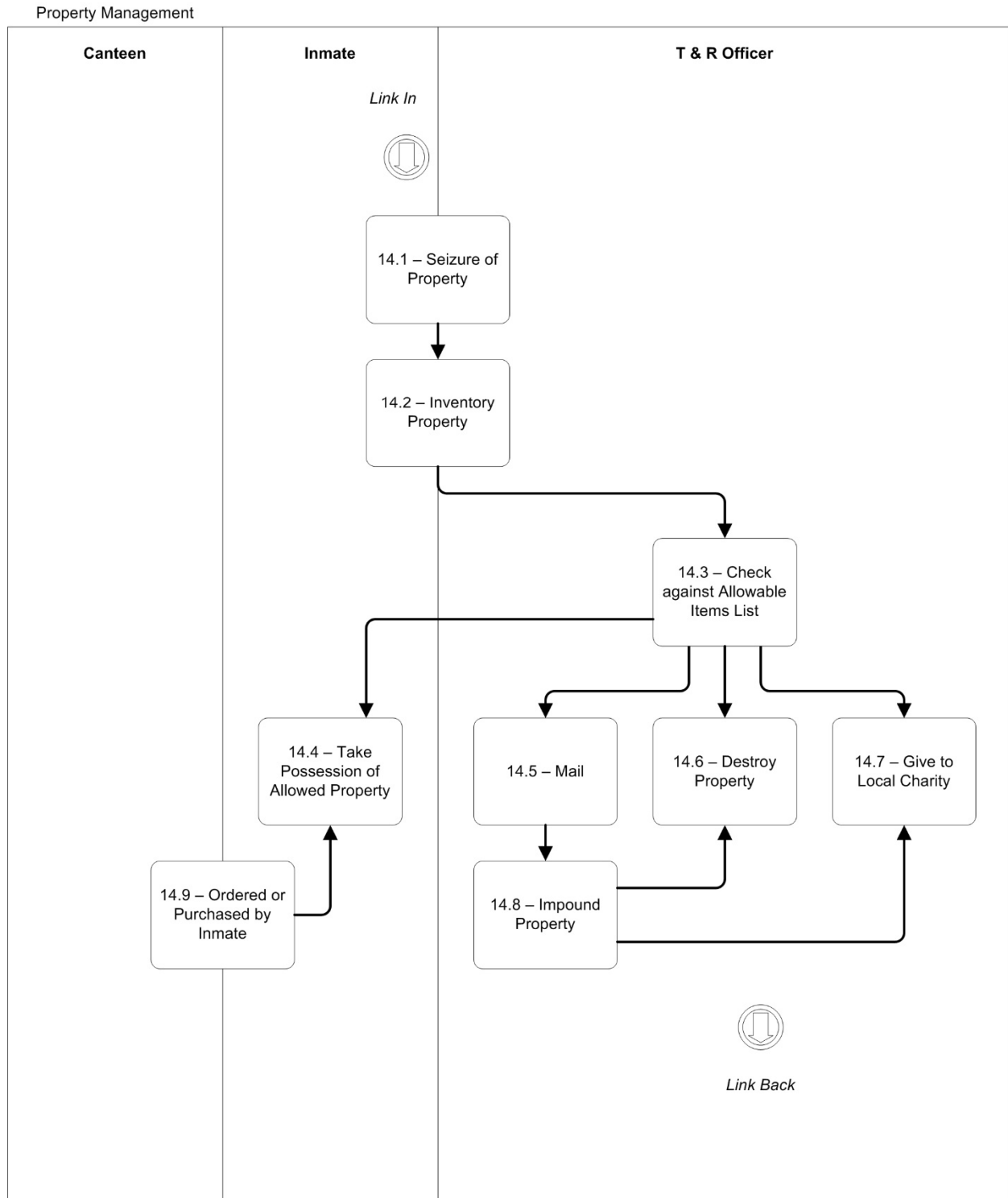


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Figure 2.4-1 Property Management Sub-Process Workflow





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>



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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



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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.	

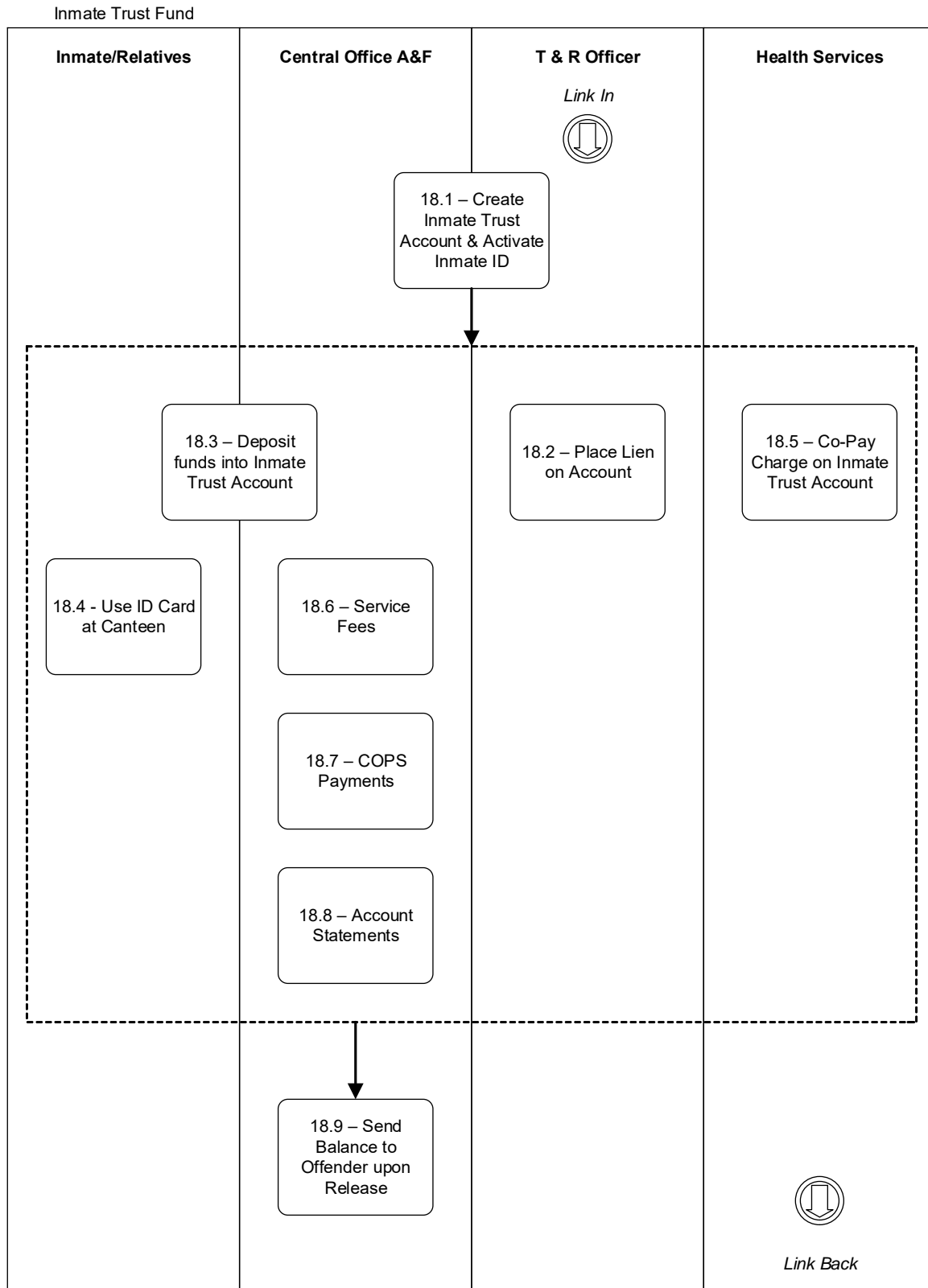


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Table 2.5-2 Inmate Trust Fund Sub-Process Workflow





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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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



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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

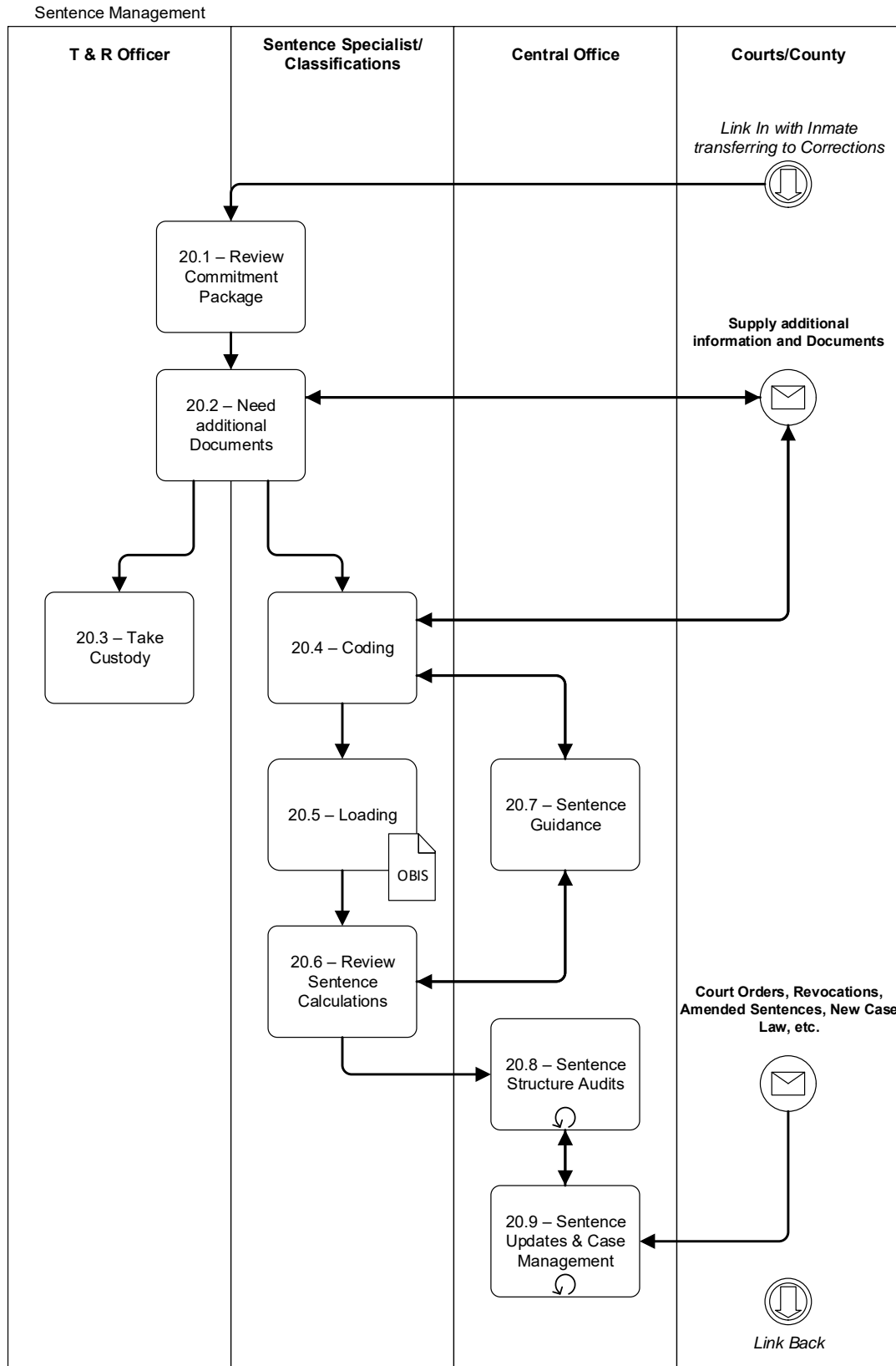


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Figure 2.6-1 Sentence Management Sub-Process Workflow





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.

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 2.7-1 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: “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.” 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). 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).	Security Threat Intelligence Unit

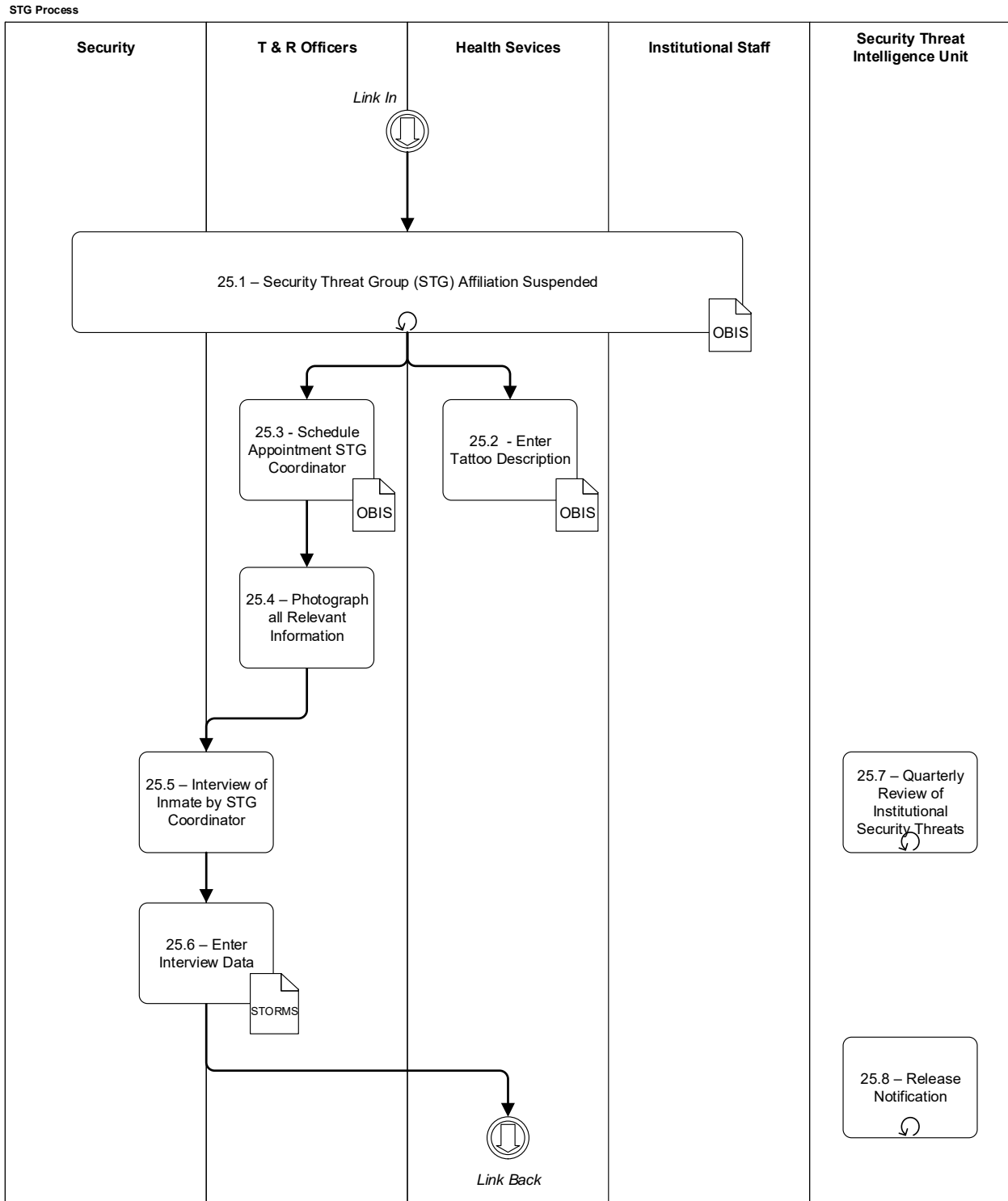


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Figure 2.7-1 Security Threat Group (STG) Sub-Process Workflow





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



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

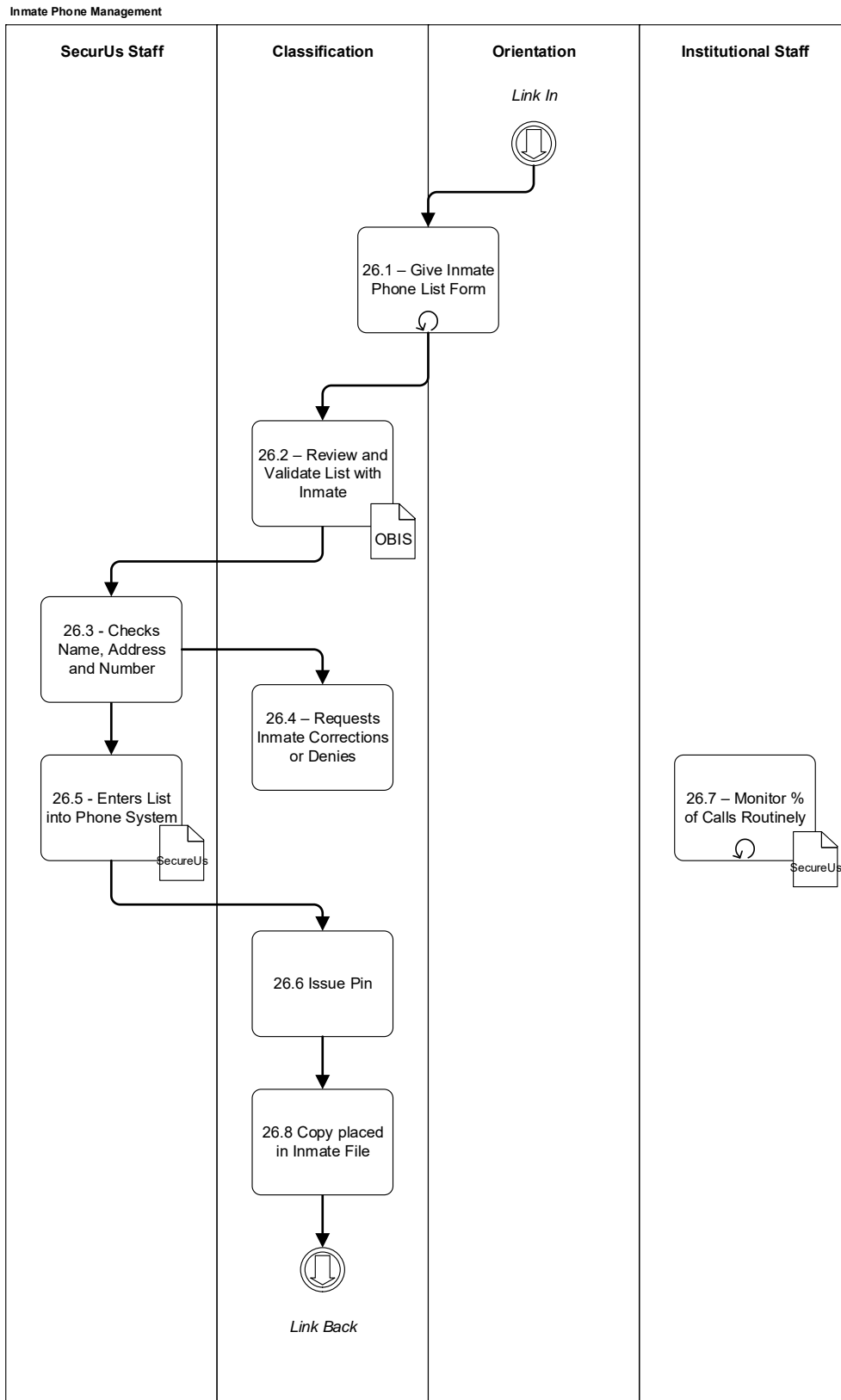


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Figure 2.8-1 Inmate Phone Management Sub-Process Workflow





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

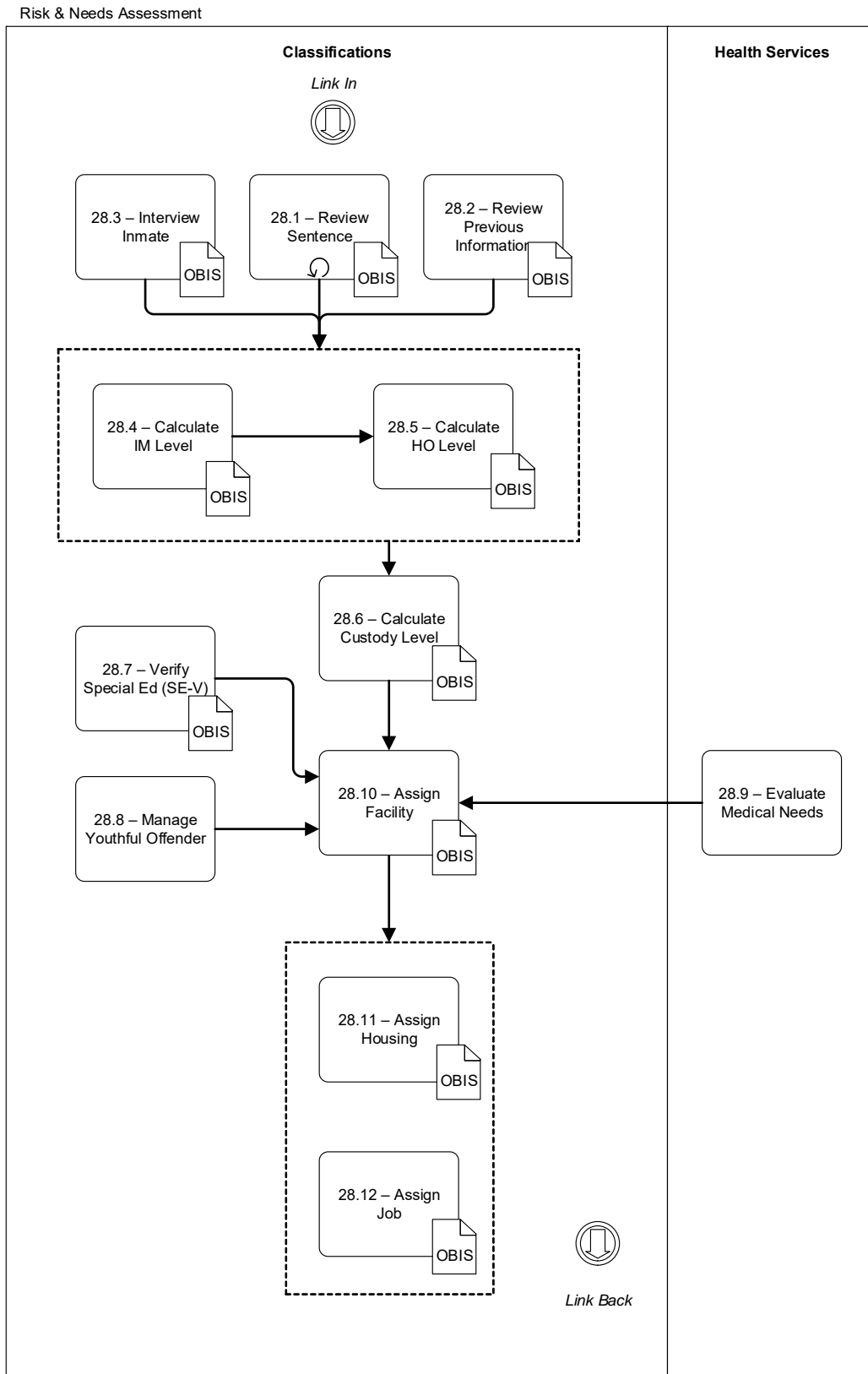


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Figure 2.9-1 Risk & Needs Sub-Process Workflow





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



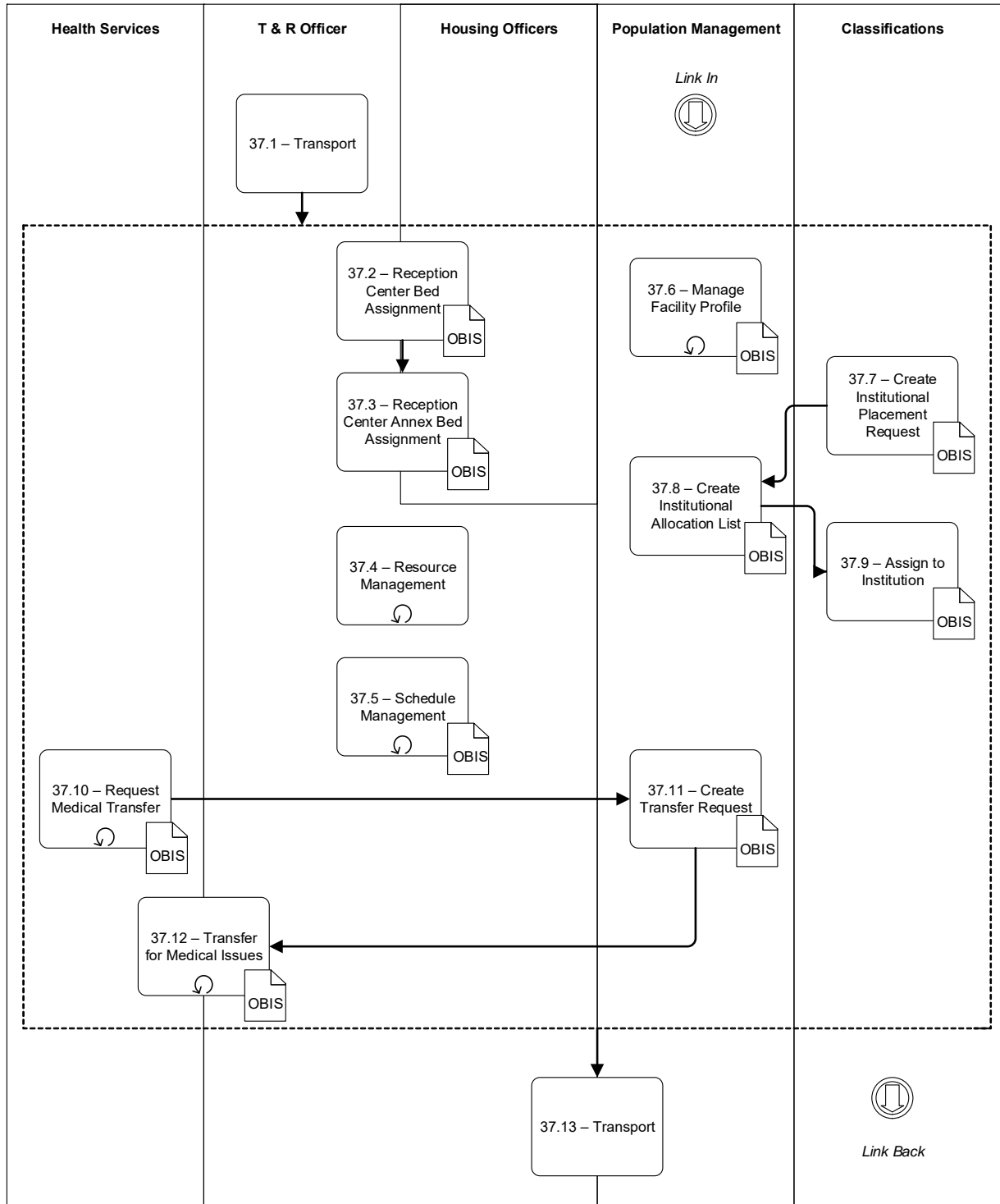
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Figure 2.10-1 Transportation Management Sub-Process Workflow

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

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Vendor:	The North Highland Company
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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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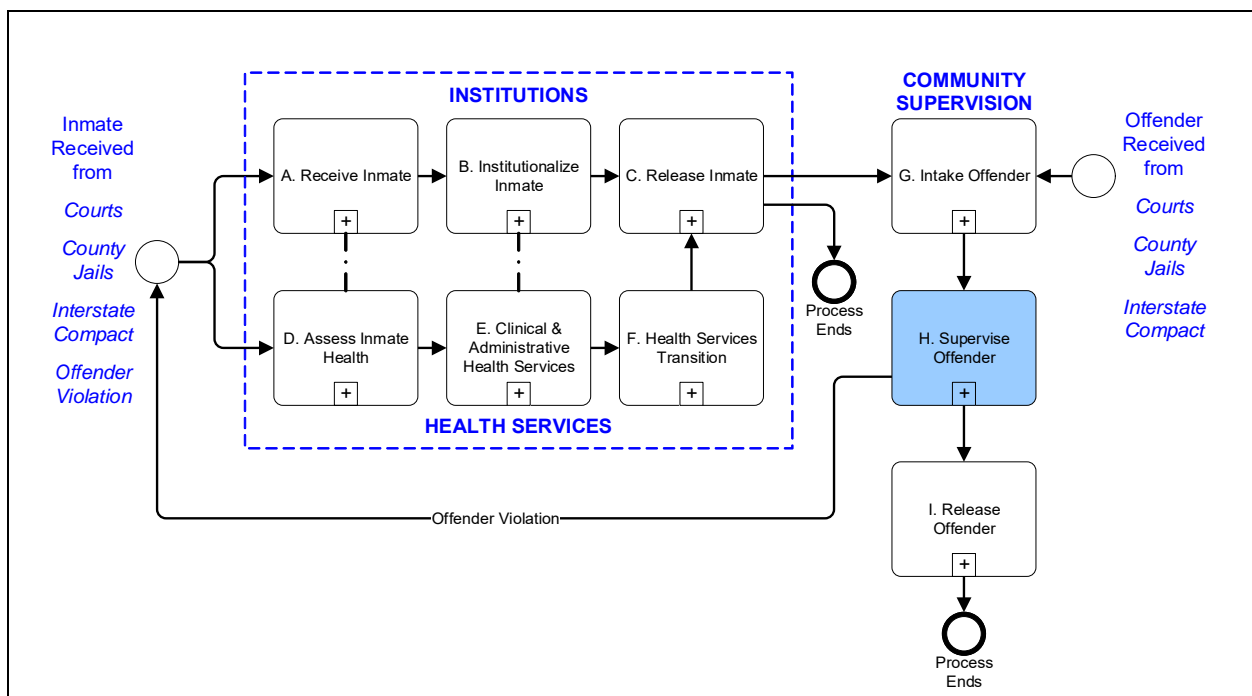
1 DC CORE BUSINESS PROCESSES

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





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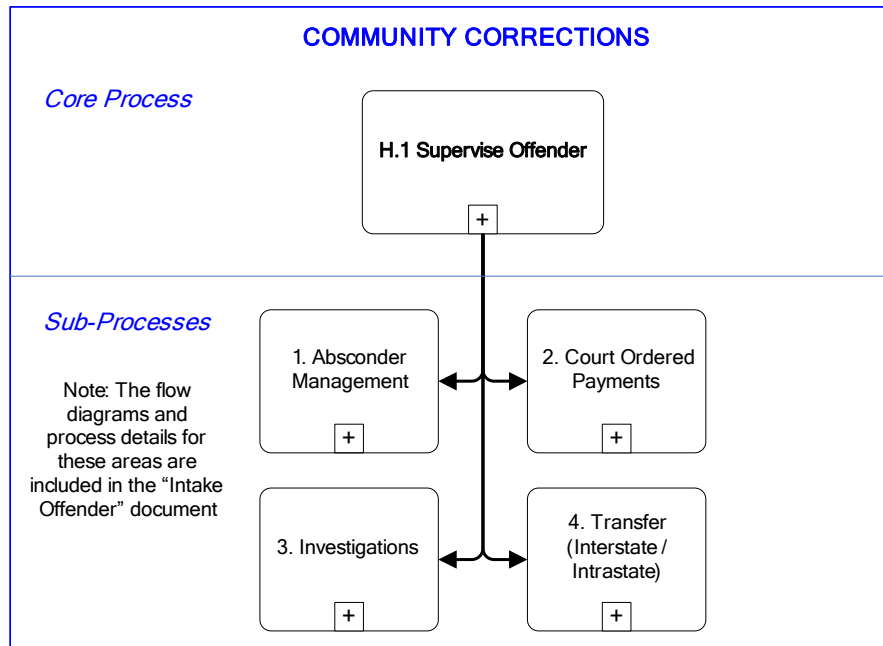
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For clarity and convenience, the Community Corrections Supervise Offender process has been divided into four numbered sub-processes. Since these sub-processes; Absconder Management, Court Order Payments, Investigations and Transfer could occur in any 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>

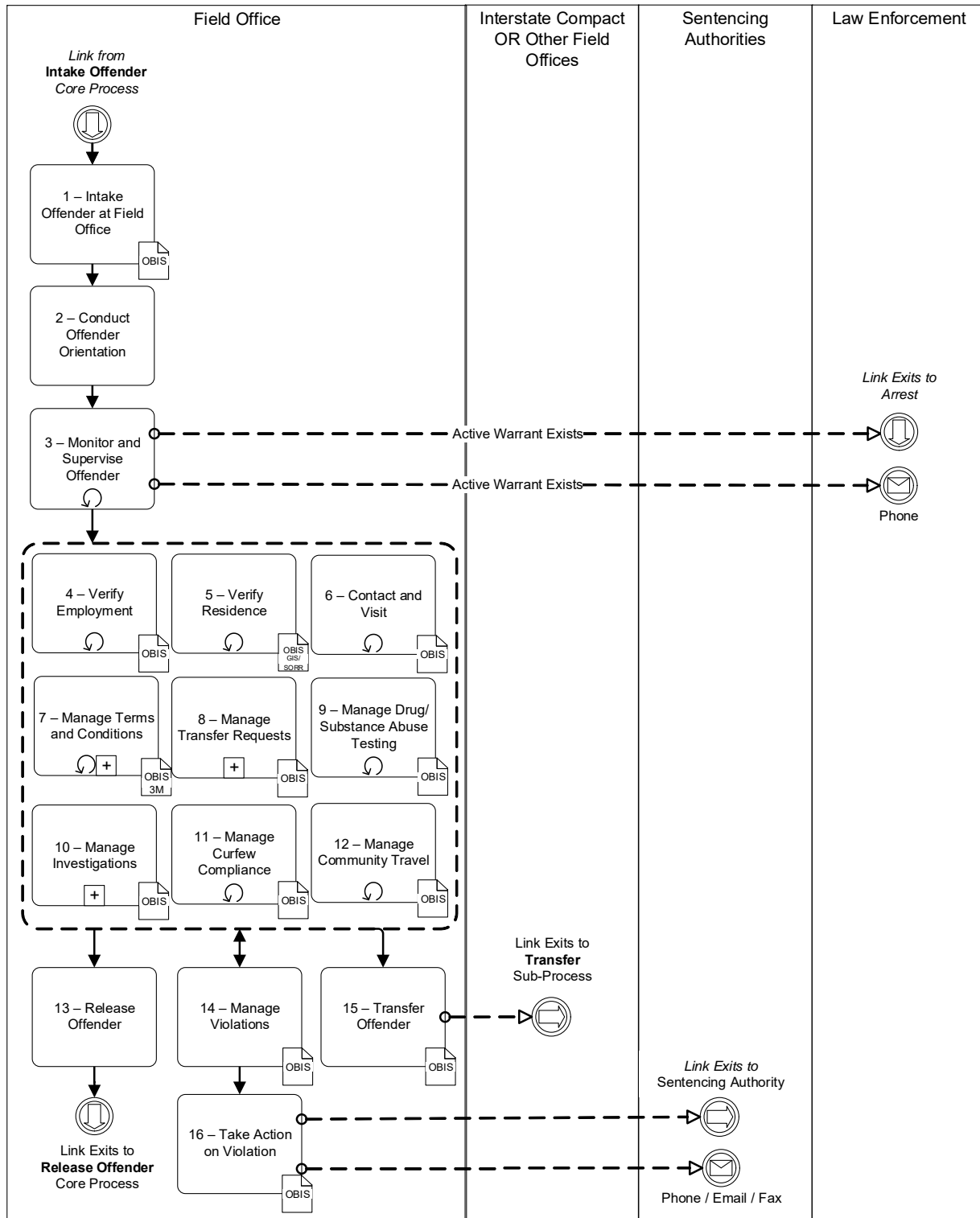


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Figure 2.2-1 Supervise Offender As Is Workflow





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 Accurint to verify offender address information.	The system shall provide a mechanism to query Accurint 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>
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<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>
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<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

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SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 70 Department of Corrections **Budget Period 2023 - 2024**
Budget Entity: 70032000 Correctional Facilities Maintenance and Repair

(1)	(2)	(3)	(4)
SECTION I	ACTUAL	ESTIMATED	REQUEST
	FY 2021 - 2022	FY 2022 - 2023	FY 2023 - 2024
Interest on Debt	(A) \$15,959,313	\$15,835,275	\$14,036,025
Principal	(B) \$34,160,000	\$35,085,000	\$36,885,000
Repayment of Loans	(C)		
Fiscal Agent or Other Fees	(D) \$7,806	\$12,556	\$12,556
Other Debt Service	(E)		
Total Debt Service	(F) \$50,127,120	\$50,932,831	\$50,933,581

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)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2023	JUNE 30, 2024
5.000%	8/1/2025	\$11,725,000	\$4,730,000	\$3,635,000
(6)		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2021 - 2022	FY 2022 - 2023	FY 2023 - 2024
Interest on Debt		(G) \$258,963	\$209,125	\$153,000
Principal		(H) \$945,000	\$1,095,000	\$1,150,000
Fiscal Agent or Other Fees		(I) \$673	\$673	\$673
Other		(J) -	-	-
Total Debt Service		(K) \$1,204,636	\$1,304,798	\$1,303,673

ISSUE: South Bay Correctional Facility - Series 2015A

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2023	JUNE 30, 2024
5.000%	8/1/2025	\$15,730,000	\$5,565,000	\$4,275,000
		ACTUAL	ESTIMATED	REQUEST
		FY 2021 - 2022	FY 2022 - 2023	FY 2023 - 2024
Interest on Debt		(G) \$304,634	\$246,000	\$179,875
Principal		(H) \$1,110,000	\$1,290,000	\$1,355,000
Fiscal Agent or Other Fees		(I) \$673	\$673	\$673
Other		(J) -	-	-
Total Debt Service		(K) \$1,415,306	\$1,536,673	\$1,535,548

ISSUE: Bay Correctional Facility - Series 2015A

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2023	JUNE 30, 2024
5.000%	8/1/2025	\$6,800,500	\$2,977,000	\$2,288,000
		ACTUAL	ESTIMATED	REQUEST
		FY 2021 - 2022	FY 2022 - 2023	FY 2023 - 2024
Interest on Debt		(G) \$163,031	\$131,625	\$96,238
Principal		(H) \$596,500	\$689,000	\$726,500
Fiscal Agent or Other Fees		(I) \$673	\$673	\$673
Other		(J)		
Total Debt Service		(K) \$760,204	\$821,298	\$823,410

ISSUE: Gadsden Correctional Facility - Series 2015A

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2023	JUNE 30, 2024
5.000%	8/1/2025	\$10,880,800	\$4,763,200	\$3,660,800
		ACTUAL	ESTIMATED	REQUEST
		FY 2021 - 2022	FY 2022 - 2023	FY 2023 - 2024
Interest on Debt		(G) \$260,850	\$210,600	\$153,980
Principal		(H) \$954,400	\$1,102,400	\$1,162,400
Fiscal Agent or Other Fees		(I) \$673	\$673	\$673
Other		(J)		
Total Debt Service		(K) \$1,215,922	\$1,313,673	\$1,317,053

ISSUE: Moore Haven Correctional Facility - Series 2015A

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2023	JUNE 30, 2024
5.000%	8/1/2025	\$8,840,650	\$3,870,100	\$2,974,400
		ACTUAL	ESTIMATED	REQUEST
		FY 2021 - 2022	FY 2022 - 2023	FY 2023 - 2024
Interest on Debt		(G) \$211,940	\$171,113	\$125,109
Principal		(H) \$775,450	\$895,700	\$944,450
Fiscal Agent or Other Fees		(I) \$673	\$673	\$673
Other		(J)		
Total Debt Service		(K) \$988,063	\$1,067,485	\$1,070,231

ISSUE: Graceville Correctional Facility - Series 2015A

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2023	JUNE 30, 2024
5.000%	8/1/2025	\$41,483,050	\$18,159,700	\$13,956,800
		ACTUAL	ESTIMATED	REQUEST
		FY 2021 - 2022	FY 2022 - 2023	FY 2023 - 2024
Interest on Debt		(G) \$994,490	\$802,913	\$587,049
Principal		(H) \$3,638,650	\$4,202,900	\$4,431,650
Fiscal Agent or Other Fees		(I) \$673	\$673	\$673
Other		(J)		
Total Debt Service		(K) \$4,633,812	\$5,006,485	\$5,019,371

ISSUE: Graceville Correctional Facility - Series 2018A (Formely 2008A)

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2023	JUNE 30, 2024
5.000%	11/1/2027	\$11,265,000	\$8,055,000	\$6,875,000
		ACTUAL	ESTIMATED	REQUEST
		FY 2021 - 2022	FY 2022 - 2023	FY 2023 - 2024
Interest on Debt		(G) \$430,875	\$373,250	\$312,625
Principal		(H) \$1,125,000	\$1,180,000	\$1,245,000
Fiscal Agent or Other Fees		(I) \$1,257	\$1,257	\$1,257
Other		(J)		
Total Debt Service		(K) \$1,557,132	\$1,554,507	\$1,558,882

ISSUE: Blackwater Correctional Facility - Series 2018A (Formely 2009A)

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2023	JUNE 30, 2024
5.000%	11/1/2028	\$67,265,000	\$50,485,000	\$44,310,000
		ACTUAL	ESTIMATED	REQUEST
		FY 2021 - 2022	FY 2022 - 2023	FY 2023 - 2024
Interest on Debt		(G) \$2,671,125	\$2,369,875	\$2,053,125
Principal		(H) \$5,875,000	\$6,175,000	\$6,495,000
Fiscal Agent or Other Fees		(I) \$1,257	\$1,257	\$1,257
Other		(J)		
Total Debt Service		(K) \$8,547,382	\$8,546,132	\$8,549,382

ISSUE: Various Facilities - U.S. Bank Series 2018A (Formely 2009B & 2009C)

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2023	JUNE 30, 2024
5.000%	11/1/2029	\$173,415,000	\$134,805,000	\$120,645,000
		ACTUAL	ESTIMATED	REQUEST
		FY 2021 - 2022	FY 2022 - 2023	FY 2023 - 2024
Interest on Debt		(G) \$7,077,625	\$6,386,250	\$5,660,750
Principal		(H) \$13,495,000	\$14,160,000	\$14,860,000
Fiscal Agent or Other Fees		(I) \$1,257	\$1,257	\$1,257
Other		(J)		
Total Debt Service		(K) \$20,573,882	\$20,547,507	\$20,522,007

ISSUE: Lake Mental Health - Series 2021A

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2023	JUNE 30, 2024
5.000%	11/1/2040	\$134,145,000	\$128,500,000	\$124,205,000
		ACTUAL	ESTIMATED	REQUEST
		FY 2021 - 2022	FY 2022 - 2023	FY 2023 - 2024
Interest on Debt		(G) \$3,585,780	\$4,934,525	\$4,714,275
Principal		(H) \$5,645,000	\$4,295,000	\$4,515,000
Fiscal Agent or Other Fees		(I)	\$4,750	\$4,750
Other		(J)		
Total Debt Service		(K) \$9,230,780	\$9,234,275	\$9,234,025

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2023 - 2024

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
A21018	8/13/2021	Office of Institutions	<p>Finding 1: The institution did not remit excess funds to the Central Office EBTF Team.</p> <p>Recommendation: The Warden ensure Taylor CI remits excess funds as required by Department procedure.</p> <p>Recommendation: Central Office EBTF Team consider a reduction of the authorized amount or suspension of revenue generation activities as allowed by Department procedure.</p>	<p>Management agreed with and responded to our finding. They are taking or have taken appropriate action to rectify the audit issue.</p>	<p>Inspector General's Office/Bureau of Internal Audit</p>
A21019	9/14/2021	Office of Institutions	<p>Finding 1: Cash was not always collected in a timely manner from the Main Unit Canteen.</p> <p>Recommendation: The Warden ensure the bookkeeper collects cash from the staff canteens at a minimum of every other day, excluding weekends and holidays.</p> <p>Finding 2: Required monthly documentation was not always emailed to the Finance and Accounting EBTF Team at Central Office by the 15th day of the month for the preceding month's activities.</p> <p>Recommendation: The Warden ensure the bookkeeper e-mails all required monthly documentation to the Finance and Accounting EBTF Team no later than the 15th day of the month for the preceding month's activities.</p>	<p>Management agreed with and responded to our finding. They are taking or have taken appropriate action to rectify the audit issue.</p>	<p>Inspector General's Office/Bureau of Internal Audit</p>

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2023 - 2024

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
A21020	9/16/2021	Office of Institutions	Audit staff found cash proceeds were collected and deposited as required, and bank reconciliations were performed. Audit staff determined that internal controls over cash receipts were 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
A21021	9/22/2021	Office of Institutions	Audit staff found cash proceeds were collected and deposited as required, and bank reconciliations were performed. Audit staff determined that internal controls over cash receipts were 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
A21022	10/19/2021	Office of Institutions	Finding 1: The reviewer did not initial all deposit tickets. Recommendation: The reviewer initial each validated deposit slip to ensure the daily amount recorded for sales is correct and was deposited in the bank.	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
A21016	12/14/2021	Office of Administration	Finding 1: Quantities of produce harvested did not agree with documentation of produce delivered.	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

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2023 - 2024

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
			<p>Recommendation: The Farm & Edible Crop Program Management require the Regional Farm Manager to perform reconciliations of harvested produce to Produce Delivery Tickets to resolve any differences thereby ensuring accountability of crops produced is maintained.</p> <p>Finding 2: DC2-410 Produce Delivery Tickets were not always signed by the receiving institutions.</p> <p>Recommendation: The Farm & Edible Crop Program Management take steps to ensure that the receiving institutions sign the DC2-410 Produce Delivery Tickets to document the accepting and accounting of crops delivered.</p> <p>Finding 3: Annual Statewide Farm and Edible Crop Program Growth Plan did not include all required data.</p> <p>Recommendation: The Farm & Edible Crop Program Management take steps to ensure that all Regional Farm Managers include all required data as outlined in DC Procedure.</p> <p>Finding 4: Annual Statewide Farm and Edible Crop Program Equipment Inventory and Maintenance Plans were not properly documented.</p> <p>Recommendation: The Farm & Edible Crop Program Management take steps to ensure that all Regional Farm Managers create annual plans for the maintenance of all equipment assigned to their regions.</p>		

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2023 - 2024

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
A21005	2/17/2022	Office of Administration	<p>Finding 1: Department form DC2-574, Transmittal and Receipt for Records Storage, did not always contain complete information.</p> <p>Recommendation: the Office of Administration develop controls to ensure that each DC2-574 form is completed as required by Department procedure.</p>	<p>Management agreed with and responded to our finding. They are taking or have taken appropriate action to rectify the audit issue.</p>	<p>Inspector General's Office/Bureau of Internal Audit</p>
A22006	5/25/2022	Procurement	<p>Finding 1: The Bureau of Procurement did not always comply with Section 215.985(14)(a), Florida Statutes.</p> <p>Recommendation: The Bureau of Procurement comply with Section 215.985(14)(a), Florida Statutes by taking steps to ensure correction of the deficiencies noted above and ensure all required information is entered into FACTS.</p> <p>Recommendation: The Bureau of Procurement ensure unredacted confidential or exempt information in FACTS is not accessible for public view.</p> <p>Finding 2: The Bureau of Procurement did not always comply with Chapter 287, Florida Statutes and Department Procedure 205.002.</p> <p>Recommendation: The Bureau of Procurement comply with Chapter 287, Florida Statutes and Department Procedure 205.002.</p> <p>Finding 3: Department Procedure 205.001 has language that conflicts with Chapter 287.057, Florida Statutes.</p>	<p>Management agreed with and responded to our finding. They are taking or have taken appropriate action to rectify the audit issue.</p>	<p>Inspector General's Office/Bureau of Internal Audit</p>

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2023 - 2024

Department: Office of Inspector General

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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
			<p>Recommendation: The Bureau of Procurement amend the procedure to be in compliance with state law.</p>		
A22005	6/23/2022	Office of Information Technology	This audit contained four (4) findings. The Management agreed with and Inspector results of this audit are deemed confidential responded to our finding. They are General's based on the provisions of Section 282.318, taking or have taken appropriate Office/Bureau of Florida Statutes.	action to rectify the audit issues.	Internal Audit
A22010	6/30/2022	Office of Inspector General	<p>Finding 1: : Current practices of processing or Managing evidence or contraband by the responded to our finding. They are General's evidence custodians are not always in taking or have taken appropriate Office/Bureau of compliance with the applicable Department action to rectify the audit issues. Internal Audit procedure.</p> <p>Recommendation: The Office of Inspector General, Bureau of Investigations, ensure evidence and contraband items are documented, labeled, and packaged in accordance with FDC Procedure 108.017.</p>		

Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Department Administration
Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Patricia Carpenter

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	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 56 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 14 through 27)? Do they clearly describe the issue?	Y	Y			

3. EXHIBIT B (EXBR, EXB)

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	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		
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AUDITS:

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity 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.					
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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 59 of the LBR Instructions?		Y	Y		
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4.2 Is the program component code and title used correct?		Y	Y		
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TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
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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		
---	--	---	---	--	--

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action	70010200	70010400			

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			
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 2021-22 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 64 through 69 of the LBR Instructions.)	Y	Y			
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 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			

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action	70010200	70010400			

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			
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y			
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 92 of the LBR Instructions.)	Y	Y			
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			
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 #23-003?	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 88 of the LBR Instructions.)	Y	Y			

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action	70010200	70010400			

7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXX) 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)	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			
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			
7.25	Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2022-23? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2022-23. 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 64 through 69 of the LBR Instructions.					

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	Program or Service (Budget Entity Codes)				
Action	70010200	70010400			

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 2022-23 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
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

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action	70010200	70010400			

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

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	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 analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in 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 pages 124 through 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.	

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action	70010200	70010400			

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 155 of the LBR Instructions.)					
	Y	N/A			

10. SCHEDULE III (PSCR, SC3)

10.1 Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)					
	Y	N/A			
10.2 Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See pages 93 through 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.					
	Y	N/A			

11. SCHEDULE IV (EADR, SC4)

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

12. SCHEDULE VIIIA (EADR, SC8A)

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

13. SCHEDULE VIIIB-1 (EADR, S8B1)

13.1 NOT REQUIRED FOR THIS YEAR					
TIP If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the nonrecurring portion in Column A92.					

14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)

14.1 Do the reductions comply with the instructions provided on pages 99 through 102 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.	

Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Department Administration
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	Program or Service (Budget Entity Codes)				
Action	70010200	70010400			

15. SCHEDULE VIII C (EADR, S8C) (NO LONGER REQUIRED)

16. SCHEDULE XI (UCSR, SCXI) (LAS/PBS Web - see pages 104-108 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 2021-22 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y	Y			
16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y	Y			
16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	N/A	N/A			
16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in Audit #3 do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	Y	Y			
16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y	Y			
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 109 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

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action	70010200	70010400			

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 128 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 154 through 156) 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			
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Fiscal Year 2023-24 LBR Technical Review Checklist

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

AUDITS:

1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y	Y	Y	Y	Y
1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I (SC1R, SC1 or SC1R, SC1D adding column A12) to verify.	Y	Y	Y	Y	Y
1.5 Has Column A12 security been set correctly to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? (CSDR, CSA)	Y	Y	Y	Y	Y

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

2. EXHIBIT A (EADR, EXA)

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 56 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 14 through 27)? Do they clearly describe the issue?	Y	Y	Y	Y	Y

Fiscal Year 2023-24 LBR Technical Review Checklist

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

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.					
	N/A	N/A	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.					
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TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
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TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
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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 59 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.					
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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

Fiscal Year 2023-24 LBR Technical Review Checklist

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

5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y	Y	Y	Y	Y
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y	Y	Y	Y	Y
TIP If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2021-22 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 64 through 69 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 66 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

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	Program or Service (Budget Entity Codes)				
	70031100	70031200	70031300	70031400	70031600
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	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	Y	Y	Y	Y
7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (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 92 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?	Y	Y	N/A	Y	Y
7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #23-003?	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.	N/A	N/A	N/A	N/A	N/A
7.16 Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 26 and 88 of the LBR Instructions.)	Y	Y	Y	Y	Y

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

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)?	N/A	N/A	N/A	N/A	N/A
7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y	Y
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
7.25 Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2022-23? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2022-23. 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 64 through 69 of the LBR Instructions.					

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

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 2022-23 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
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

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

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

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	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 analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in 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 pages 124 through 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.	

Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Security and Institutional Operations
Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Patricia Carpenter

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

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 155 of the LBR Instructions.)					
	N/A	N/A			

10. SCHEDULE III (PSCR, SC3)

10.1 Is the appropriate lapse amount applied? (See page 90 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 94 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

13. SCHEDULE VIIIB-1 (EADR, S8B1)

13.1 NOT REQUIRED FOR THIS YEAR					
TIP If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the nonrecurring portion in Column A92.					

14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)

14.1 Do the reductions comply with the instructions provided on pages 99 through 102 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.)					
TIP Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.					
TIP If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative.					

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

15. SCHEDULE VIII C (EADR, S8C) (NO LONGER REQUIRED)

16. SCHEDULE XI (UCSR, SCXI) (LAS/PBS Web - see pages 104-108 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 2021-22 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 109 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

Fiscal Year 2023-24 LBR Technical Review Checklist

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

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 128 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 154 through 156) 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
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Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)			
Action	70031900	70032000		

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 56 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 14 through 27)? Do they clearly describe the issue?	Y	Y			

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)			
Action	70031900	70032000		

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.		N/A	N/A			
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AUDITS:

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity 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			
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3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y	Y			
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TIP Generally look for and be able to fully explain significant differences between A02 and A03.					
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TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
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TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
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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 59 of the LBR Instructions?	Y	Y			
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4.2 Is the program component code and title used correct?	Y	Y			
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TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
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5. EXHIBIT D-1 (ED1R, EXD1)

5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y			
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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			
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Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)			
Action	70031900	70032000		

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			
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 2021-22 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 64 through 69 of the LBR Instructions.)	Y	Y			
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR Instructions?	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			

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	Program or Service (Budget Entity Codes)			
Action	70031900	70032000		

7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.5 of the LBR Instructions.)	Y	N/A			
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y			
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 92 of the LBR Instructions.)	Y	Y			
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?	Y	Y			
7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #23-003?	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 88 of the LBR Instructions.)	Y	Y			

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	Program or Service (Budget Entity Codes)			
Action	70031900	70032000		

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)?	Y	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)	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			
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	Y			
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			
7.25 Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2022-23? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2022-23. 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 64 through 69 of the LBR Instructions.					

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	Program or Service (Budget Entity Codes)			
Action	70031900	70032000		

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 2022-23 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
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

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	Program or Service (Budget Entity Codes)		
Action	70031900	70032000	

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

Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Security and Institutional Operations
Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Patricia Carpenter

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	Program or Service (Budget Entity Codes)		
Action	70031900	70032000	

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 analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in 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 pages 124 through 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.	

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)			
Action	70031900	70032000		

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 155 of the LBR Instructions.)		N/A	N/A	

10. SCHEDULE III (PSCR, SC3)

10.1 Is the appropriate lapse amount applied? (See page 90 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 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y	Y	

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
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13. SCHEDULE VIIIB-1 (EADR, S8B1)

13.1 NOT REQUIRED FOR THIS YEAR	
TIP If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the nonrecurring portion in Column A92.	

14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)

14.1 Do the reductions comply with the instructions provided on pages 99 through 102 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.	

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Action	70031900	70032000		

15. SCHEDULE VIII C (EADR, S8C) (NO LONGER REQUIRED)

16. SCHEDULE XI (UCSR, SCXI) (LAS/PBS Web - see pages 104-108 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 2021-22 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	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 109 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

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	Program or Service (Budget Entity Codes)			
Action	70031900	70032000		

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 128 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 154 through 156) 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			
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Fiscal Year 2023-24 LBR Technical Review Checklist

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

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	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 56 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 14 through 27)? Do they clearly describe the issue?	Y				

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)			
Action	70050100			

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A				
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AUDITS:

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity 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				
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3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
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TIP Generally look for and be able to fully explain significant differences between A02 and A03.					
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TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
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TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
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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 59 of the LBR Instructions?	Y				
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4.2 Is the program component code and title used correct?	Y				
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TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
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5. EXHIBIT D-1 (ED1R, EXD1)

5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y				
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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				
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Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action	70050100				

5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y				
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y				
TIP If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2021-22 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 64 through 69 of the LBR Instructions.)	Y				
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 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				

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action	70050100				

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.	Y				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 92 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				
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 #23-003?	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 88 of the LBR Instructions.)	Y				

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Action	70050100				

7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	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				
7.25	Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2022-23? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2022-23. 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 64 through 69 of the LBR Instructions.

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Action	70050100			

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 2022-23 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
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

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)			
Action	70050100			

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

Fiscal Year 2023-24 LBR Technical Review Checklist

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

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	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 analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in 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 pages 124 through 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.	

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)			
Action	70050100			

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 155 of the LBR Instructions.)	Y				
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10. SCHEDULE III (PSCR, SC3)

10.1 Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)	N/A				
10.2 Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See pages 93 through 94 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 NOT REQUIRED FOR THIS YEAR	N/A				
TIP If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the nonrecurring portion in Column A92.					

14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)

14.1 Do the reductions comply with the instructions provided on pages 99 through 102 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.	

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)			
Action	70050100			

15. SCHEDULE VIII C (EADR, S8C) (NO LONGER REQUIRED)

16. SCHEDULE XI (UCSR, SCXI) (LAS/PBS Web - see pages 104-108 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 2021-22 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y				
16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y				
16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	N/A				
16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in Audit #3 do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	Y				
16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y				
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					

17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)

17.1 Do exhibits and schedules comply with LBR Instructions (pages 52 through 109 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

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)			
Action	70050100			

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 128 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 154 through 156) 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 2023-24 LBR Technical Review Checklist

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

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	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 56 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 14 through 27)? Do they clearly describe the issue?	Y				

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)			
Action	70251000			

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A				
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AUDITS:

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity 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.					
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TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
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TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
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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 59 of the LBR Instructions?	Y				
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4.2 Is the program component code and title used correct?	Y				
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TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
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5. EXHIBIT D-1 (ED1R, EXD1)

5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y				
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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				
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Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Health Services
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	Program or Service (Budget Entity Codes)				
Action	70251000				

5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y				
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2021-22 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 64 through 69 of the LBR Instructions.)	Y				
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 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				

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action	70251000				

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.	Y				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 92 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				
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 #23-003?	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 88 of the LBR Instructions.)	Y				

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	Program or Service (Budget Entity Codes)				
Action	70251000				

7.17 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	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				
7.25 Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2022-23? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2022-23. 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 64 through 69 of the LBR Instructions.					

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action	70251000				

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 2022-23 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
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

Fiscal Year 2023-24 LBR Technical Review Checklist

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

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	Program or Service (Budget Entity Codes)			
Action	70251000			

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

Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Health Services
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	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 analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in 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 pages 124 through 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.	

Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Health Services
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	Program or Service (Budget Entity Codes)			
Action	70251000			

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 155 of the LBR Instructions.)	Y			

10. SCHEDULE III (PSCR, SC3)

10.1 Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)	N/A			
10.2 Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See pages 93 through 94 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 NOT REQUIRED FOR THIS YEAR	N/A			
TIP If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the nonrecurring portion in Column A92.				

14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)

14.1 Do the reductions comply with the instructions provided on pages 99 through 102 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.				

Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Health Services
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	Program or Service (Budget Entity Codes)			
Action	70251000			

15. SCHEDULE VIII C (EADR, S8C) (NO LONGER REQUIRED)

16. SCHEDULE XI (UCSR, SCXI) (LAS/PBS Web - see pages 104-108 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 2021-22 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")	N/A				
16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	N/A				
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.)	N/A				
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 109 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

Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Health Services
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	Program or Service (Budget Entity Codes)			
Action	70251000			

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 128 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 154 through 156) 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 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Education and Programs
Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Patricia Carpenter

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	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 56 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 14 through 27)? Do they clearly describe the issue?	N/A	Y	N/A	N/A

Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Education and Programs
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	Program or Service (Budget Entity C			
Action	70450100	70450200	70450300	70450400

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A	N/A	N/A	N/A
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AUDITS:

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity 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
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3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y	Y	Y	Y
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TIP Generally look for and be able to fully explain significant differences between A02 and A03.				
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TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.				
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TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.				
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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 59 of the LBR Instructions?	Y	Y	Y	Y
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4.2 Is the program component code and title used correct?	Y	Y	Y	Y
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TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.				
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5. EXHIBIT D-1 (ED1R, EXD1)

5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y
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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
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Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Education and Programs
Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Patricia Carpenter

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	Program or Service (Budget Entity Code)			
Action	70450100	70450200	70450300	70450400

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
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 2021-22 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 64 through 69 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 66 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

Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Education and Programs

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Action	Program or Service (Budget Entity C)			
	70450100	70450200	70450300	70450400
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	Y	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	Y	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 92 of the LBR Instructions.)	Y	Y	Y	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
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 #23-003?	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?	Y	Y	Y	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 88 of the LBR Instructions.)	Y	Y	Y	N/A

Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Education and Programs
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Action	Program or Service (Budget Entity C)			
	70450100	70450200	70450300	70450400

7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXX) 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?	Y	Y	Y	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)	Y	Y	Y	N/A
7.25	Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2022-23? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2022-23. 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 64 through 69 of the LBR Instructions.				

Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Education and Programs
Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Patricia Carpenter

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	Program or Service (Budget Entity Code)			
Action	70450100	70450200	70450300	70450400

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 2022-23 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?	
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
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

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity C			
Action	70450100	70450200	70450300	70450400

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

Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Education and Programs
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	Program or Service (Budget Entity C			
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 analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in 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 pages 124 through 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.	

Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Education and Programs
Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Patricia Carpenter

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	Program or Service (Budget Entity Code)			
Action	70450100	70450200	70450300	70450400

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 155 of the LBR Instructions.)				
	Y	Y	Y	N/A

10. SCHEDULE III (PSCR, SC3)

10.1 Is the appropriate lapse amount applied? (See page 90 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 94 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	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 NOT REQUIRED FOR THIS YEAR				
	N/A	N/A	N/A	N/A
TIP If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the nonrecurring portion in Column A92.				

14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)

14.1 Do the reductions comply with the instructions provided on pages 99 through 102 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.	

Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Education and Programs
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	Program or Service (Budget Entity C			
Action	70450100	70450200	70450300	70450400

15. SCHEDULE VIII C (EADR, S8C) (NO LONGER REQUIRED)

16. SCHEDULE XI (UCSR, SCXI) (LAS/PBS Web - see pages 104-108 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 2021-22 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	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")	N/A	N/A	N/A	N/A
16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	N/A	N/A	N/A	N/A
16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in Audit #3 do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	Y	Y	Y	Y
16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y	Y	Y	Y
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 109 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?	

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Code)			
Action	70450100	70450200	70450300	70450400

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 128 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 154 through 156) 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
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Fiscal Year 2023-24 LBR Technical Review Checklist

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

Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Patricia Carpenter

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	Program or Service (Budget Entity Codes)				
Action					

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)					

AUDITS:

1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)					
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.					
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)					
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 56 of the LBR Instructions?					
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?					
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 14 through 27)? Do they clearly describe the issue?					

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action					

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.					
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AUDITS:

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity 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")					
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3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")					
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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.					
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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 59 of the LBR Instructions?					
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4.2 Is the program component code and title used correct?					
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TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
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5. EXHIBIT D-1 (ED1R, EXD1)

5.1 Are all object of expenditures positive amounts? (This is a manual check.)					
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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")					
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Fiscal Year 2023-24 LBR Technical Review Checklist

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

Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Patricia Carpenter

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	Program or Service (Budget Entity Codes)				
Action					

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.)					
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 2021-22 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 64 through 69 of the LBR Instructions.)					
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 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?					

Fiscal Year 2023-24 LBR Technical Review Checklist

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

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	Program or Service (Budget Entity Codes)				
Action					

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 92 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?				
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 #23-003?				
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 88 of the LBR Instructions.)				

Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Department Level
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	Program or Service (Budget Entity Codes)				
Action					

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)					
7.25 Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2022-23? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2022-23. 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 64 through 69 of the LBR Instructions.					

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action					

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 2022-23 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
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

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action					

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?	Y
8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y
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

Fiscal Year 2023-24 LBR Technical Review Checklist

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	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 analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in 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 pages 124 through 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.	

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action					

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 155 of the LBR Instructions.)					

10. SCHEDULE III (PSCR, SC3)

10.1 Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)					
10.2 Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See pages 93 through 94 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
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13. SCHEDULE VIIIB-1 (EADR, S8B1)

13.1 NOT REQUIRED FOR THIS YEAR					
TIP If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the nonrecurring portion in Column A92.					

14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)

14.1 Do the reductions comply with the instructions provided on pages 99 through 102 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.					

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	Program or Service (Budget Entity Codes)				
Action					

15. SCHEDULE VIII C (EADR, S8C) (NO LONGER REQUIRED)

16. SCHEDULE XI (UCSR, SCXI) (LAS/PBS Web - see pages 104-108 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 2021-22 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	
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")	
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")	
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.)	
16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	
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 109 of the LBR Instructions), and are they accurate and complete?	Y
17.2 Does manual exhibits tie to LAS/PBS where applicable?	Y

Fiscal Year 2023-24 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action					

17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y
17.4 Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 128 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 154 through 156) 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?	Y
18.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y
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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